

# Rft 15342 - Leasing of Rail Wagons

**Buyer:** CTM Portal for the NDA Shared Services Alliance

**Department:** Lease of Rail Wagons

**Package:** Leasing of Rail Wagons

## Icons:

- ! Mandatory requirement
- Document attachment required to answer
- Document attachment allowed to answer
- ⌚ Expires

## Part 1: Potential supplier information

### 0.1

Part 1: Potential supplier information

NOTE: Important guidance for completing this questionnaire

1. Refer to the tender document pack for details regarding the evaluation methodology and approach.
2. Refer to the attached standard selection guidance contained in PPN 8/16 for background and guidance for these questions.
3. If more than one supplier has to respond to a question please complete the additional responses and upload to the question folder.
4. Respond with N/A if any of the questions are not applicable, do not leave the response blank.
5. You will be self-certifying compliance to several questions by responding either 'Yes' or 'No'. We will ask you to upload supporting evidence in the event that you are named as preferred bidder following announcement of the contract award decision (for Open Procedure procurements), or prior to being invited to tender (for Restricted Procedure procurements). The Contracting Authority does, however, reserve the right to request this evidence sooner if it is deemed necessary to ensure the proper conduct of the procurement procedure. Tenderers must note that if they are unable to provide valid supporting evidence in a timely manner then the Tenderer's preferred bidder status will be revoked and a contract will not be awarded to said Tenderer (for Open Procedure procurements) or you will no longer be invited to tender (for Restricted Procedure procurements).
6. Please answer the following questions in full. Key subcontractors must also fully complete the SQ (the definition of ""Key Subcontractors"" is stated in the ITT/EOI).
7. If you need to upload a document in response to a question, please ensure that the file name of the document is prefaced with the question reference e.g. Q1.1(a).
8. A European Single Procurement Document (ESPD) may be provided in response to the Part 1 and Part 2 questions of this SQ. All remaining questions must be answered in the form required by the ITT/EOI.
9. The questions may use a number of different terms to refer to the entity that is submitting a tender response e.g. supplier, company, tenderer, bidder, organisation, economic operator etc. Although the terms are different, they have the same meaning and are used interchangeably, unless stated otherwise.

## Section 1 - Potential Supplier Information

### 1.1(a)

Full name of the potential supplier submitting the information

Text

### 1.1(b) – (i)

Registered office address (if applicable)

Text

### 1.1(b) – (ii)

Registered website address (if applicable)

Text

### 1.1(c)

Trading status, please select one of the following;

- a) public limited company
- b) limited company
- c) limited liability partnership
- d) other partnership
- e) sole trader
- f) third sector
- g) other (please upload your trading status)

### 1.1(d)

Date of registration in country of origin

Text

### 1.1(e)

Company registration number (if applicable)

Text

### 1.1(f)

Charity registration number (if applicable)



Text

**1.1(g)**

Head office DUNS number (if applicable)

Text

**1.1(h)**

Registered VAT number

Text

**1.1(i) - (i)**

If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?

- Yes
- No
- N/A

**1.1(i) - (ii)**

If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).

Text

**1.1(j) - (i)**

Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?

- Yes
- No

**1.1(j) - (ii)**

If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.

Text

**1.1(k)**

Trading name(s) that will be used if successful in this procurement

Text

**1.1(l)**

Select which classification applies to your company

- a) Voluntary Community Social Enterprise (VCSE)
- b) Sheltered Workshop
- c) Public service mutual
- d) None of the above

**1.1(m)**

Are you a Small, Medium or Micro Enterprise (SME)?

The definition of an SME can be found at: [https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition\\_en](https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)

- Yes
- No

**1.1(n)**

Details of Persons of Significant Control (PSC), see Note 1 below, where appropriate:

- Name;
- Date of birth;
- Nationality;
- Country, state or part of the UK where the PSC usually lives;
- Service address;
- The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);
- Which conditions for being a PSC are met;
- Over 25% up to (and including) 50%,
- More than 50% and less than 75%,
- 75% or more.

Note 1

UK companies, Societates European (SEs) and limited liability partnerships (LLPs) are required to identify and record the people who own or control their company. Companies, SEs and LLPs need to keep a PSC register, and must file the PSC information with the central public register at Companies House.

(Please enter N/A if not applicable)

Text

**1.1(o)**

Details of immediate parent company:

- Full name of the immediate parent company
- Registered office address (if applicable)
- Registration number (if applicable)
- Head office DUNS number (if applicable)
- Head office VAT number (if applicable)

(Please enter N/A if not applicable)

Text

**1.1(p)**

Details of ultimate parent company:

- Full name of the ultimate parent company
- Registered office address (if applicable)
- Registration number (if applicable)
- Head office DUNS number (if applicable)
- Head office VAT number (if applicable)

(Please enter N/A if not applicable)

Text

NOTE: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

**Section 1 - Bidding model**

**1.2(a) - (i)**

Are you bidding as the lead contact for a group of economic operators?

If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.

If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3.

- Yes
- No

**1.2(a) - (ii)**

Name of group of economic operators (if applicable)

Text

**1.2(a) - (iii)**

Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure.

Text

**1.2(b) - (i)**

Are you or, if applicable, the group of economic operators proposing to use sub-contractors?

- Yes
- No

## 1.2(b) - (ii)

If you responded yes to 1.2(b)-(i) please provide the details, listed below. for each sub-contractor. We may ask them to supply this detail as well.

Name

Registered address

Trading status

Company registration number

Head Office DUNS number (if applicable)

Registered VAT number

Type of organisation

SME (Yes/No)

The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables

The approximate % of contractual obligations assigned to each sub-contractor

Text

## Section 1 - Contact details and declaration

### 1.3

NOTE: Contact details and declaration

I declare that to the best of my knowledge the answers submitted and information contained in this response are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this questionnaire.

I understand that the information will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement.

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

#### 1.3(a)

Contact name

Text

#### 1.3(b)

Name of organisation

Text

#### 1.3(c)

Role in organisation

Text

#### 1.3(d)

Phone number

Text

#### 1.3(e)

E-mail address

Text

#### 1.3(f)

Postal address

Text

#### 1.3(g)

Signature (Not required this information is captured in the CTM audit trail)

Text

#### 1.3(h)

Date

Text

## Part 2: Exclusion Grounds

NOTE: Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self declaration.

## Section 2 - Grounds for mandatory exclusion

### 2.1(a)

NOTE: Regulations 57(1) and (2)

The detailed grounds for mandatory exclusion of an organisation are set out in the 'Standard Selection Guidance', part of the document pack for this requirement, which should be referred to before completing these questions.

Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary listed in the above document.

#### 2.1(a) (i)

Participation in a criminal organisation.

If Yes please provide details at 2.1(b) AND describe the technical organisational and personal measures that your organisation has taken to prevent further criminal offences or mis-conduct

- Yes
- No

#### 2.1(a) (ii)

Corruption.

If Yes please provide details at 2.1(b)

- Yes
- No

#### 2.1(a) (iii)

Fraud.

If Yes please provide details at 2.1(b)

- Yes
- No

#### 2.1(a) (iv)

Terrorist offences or offences linked to terrorist activities

If Yes please provide details at 2.1(b) AND describe the technical organisational and personal measures that your organisation has taken to prevent further terrorist offences or links to terrorist activities

- Yes
- No

#### 2.1(a) (v)

Money laundering or terrorist financing

If Yes please provide details at 2.1(b)

- Yes
- No

#### 2.1(a) (vi)

Slavery, servitude, forced or compulsory labour child labour or an offence in human trafficking and other forms of trafficking in human beings

If Yes please provide details at 2.1(b) AND describe the technical organisational and personal measures that your organisation has taken to prevent further criminal offences or mis-conduct

- Yes
- No

#### 2.1(b)

If you have answered yes to question 2.1(a)(i) - 2.1(a)(vi) inclusive, please provide the following further details:

i) Date of conviction; (ii) specify which of the grounds listed the conviction was for, (iii) the reasons for conviction; and (iv)

Identity of who has been convicted

If the above information is available electronically please provide the web address, issuing authority, precise reference of the documents.

Text

## 2.2

If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for

exclusion ? (Self Cleaning)

- Yes
- No
- N/A

### 2.3(a)

Regulation 57(3)

Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?

- Yes
- No

### 2.3(b)

If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.

*Text*

NOTE: The authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

## Section 3 - Grounds for discretionary exclusion

### 3.1

NOTE: Regulation 57 (8)

The detailed grounds for discretionary exclusion of an organisation are set out in the 'Standard Selection Guidance', part of the document pack for this requirement, which should be referred to before completing these questions.

Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.

#### 3.1(a)

Breach of environmental obligations?

If Yes please provide the following information : (a) Nature of the breach;

(b) whether any investigation has been undertaken or is underway by any regulatory body in respect of such a breach; and

(c) whether any enforcement action and / or remedial order has been made as a result; and describes any enforcement / remedial orders served; AND

(ii) The Tenderer/ Applicant has described and has provided supporting evidence of remedial action and/ or changes to procedures the Tenderer/ Applicant has made as a result of such action, including, to Sellafield Ltd's satisfaction:

(a) That the Tenderer/ Applicant has paid or undertaken to pay compensation in respect of any damage caused by the criminal offence on its conduct;

(b) Clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigative authorities; and

(c) Taken concrete technical organisational and personal measures that are appropriate to prevent further breaches of environmental obligations.

- Yes
- No

#### 3.1 (b)

Breach of social obligations?

If "Yes" please provide the following information:

• Nature of the breach; AND

• explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

- Yes
- No

#### 3.1 (c)

Breach of labour law obligations?

If "Yes" please provide the following information :

• Nature of the breach;

• explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

- Yes
- No

#### 3.1(d)

Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of

any State?

If Yes please provide the following information :

- Nature of the bankruptcy / insolvency proceedings;
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

If Yes please provide the details requested at 3.2 and include the following information :

- Nature of the bankruptcy / insolvency proceedings;
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

Yes

No

3.1(e)

Guilty of grave professional misconduct?

If Yes please provide the following information:

- Nature of the professional misconduct; and
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

Yes

No

3.1(f)

Entered into agreements with other economic operators aimed at distorting competition?

If Yes please provide the following information :

- details of the agreements that the contractor has entered into, including the names of the other economic operators which are party to the agreements; and
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

Yes

No

3.1(g)

Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?

If Yes please provide following information :

- details of the actual or perceived conflict of interest; and
- details of the measures that the Tenderer has or proposes to put in place to remedy the actual or perceived conflict of interest.

Yes

No

3.1(h)

Been involved in the preparation of the procurement procedure?

If Yes please provide the following information :

- nature of the Tenderer's prior involvement in the preparation of the procurement procedure; and
- the measures that the Tenderer has put in place to remedy any distortion of competition arising from the Tenderer's prior involvement in the procurement procedure.

Yes

No

3.1(i)

Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?

If Yes please provide the following information :

- details of the relevant contract(s); AND
- details of the relevant contracting entity; AND
- details of the deficiencies in the Applicant's/Tenderers performance in respect of those contracts;
- details the sanctions applied as a consequence of the Applicant's/Tenderer's performance (i.e. early termination, damages or other) AND
- details the measures the Applicant / Tenderer has put in place to prevent future performance deficiencies in contract delivery.

Yes

No

**3.1(j)**

NOTE: Please answer the following statements

3.1(j) - (i)

The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.

If Yes please provide the following information:

- Nature of the breach or misconduct; AND
- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion.

Yes

No

### 3.1(j)-(iv)

The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.

If Yes please provide the details requested at 3.2 and include the following information :

- explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a relevant ground for exclusion

Yes

No

### 3.2

If you have answered Yes to any of the above, explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)

*Text*

## Part 3: Selection Questions

### Section 7 - Modern Slavery Act 2015 requirements

#### 7.1

Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?

Yes

No

#### 7.2

If you have answered Yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?

If Yes please copy / paste the URL into a blank document and upload to the question folder.

If No please upload an explanation to the question folder.

Yes

No

N/A

### Section 8 - Additional Questions

#### Section 4 - Economic and Financial Standing

##### 4.3

Please indicate which of the following you have provided to demonstrate your economic/financial standing:

A copy of your audited accounts for the last two years?

Yes / No

If no, provide one of the following: answer with Y/N .

Yes

No

##### 4.3(a)

A statement of the turnover, Profit and Loss, Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.

Yes / No / N/A

Yes

No



N/A

**4.3(b)**

A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.

Yes / No / N/A

Yes

No

N/A

**4.3(c)**

Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).

Yes / No / N/A

Yes

No

N/A

**4.4**

Where we have specified a minimum level of economic and financial standing and / or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out.

Yes / No / N/A

Yes

No

N/A

**Section 5 - Group details (If applicable)**

NOTE:

This section is for Information Only

If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:

**5 (i)**

Name of organisation

*Text*

**5 (ii)**

Relationship to the Supplier completing these questions

*Text*

**5.1**

Are you able to provide parent company accounts if requested to at a later stage?

Yes

No

N/A

**5.2**

If yes, would the parent company be willing to provide a Parent Company Guarantee if necessary?

Yes

No

N/A

**5.3**

If no, would you be willing and able to obtain a guarantee elsewhere (e.g. from a bank)?

Yes

No

N/A

**Section 6 - Technical and Professional Ability (References)**

PPE001a

When responding to this question please state clearly which option you are addressing:

Option A:

Please provide details of two previous contracts or Framework Agreements, including references, from either or both the public or private sector, voluntary, charity or social enterprise that are relevant to this [Contract / framework's] Scope of Work, and value [there the Tenderer / Applicant has been the main contractor delivering the works / services]. Information required for each contract is as follows:

- a. Customer Organisation, name and address
- b. Customer contact name, position in the organisation phone number, email and address
- c. Contract start date
- d. Contract completion date at award of contract and Completion, with variance analysis from contract award;
- e. Contract value at contract award, and Completion, with variance analysis from Contract Award;
- f. Description of contract or framework, including full scope details and customer objectives
- g. Location of the contract / project
- h. Commentary on delivery performance demonstrating that performance has been successful and that customer objectives have been met.

Note contracts for the supply of goods or services should have been performed during the last 3 years. Works contracts should be from the last 5 years.

We reserve the right to speak to / visit the customer to confirm the accuracy of the information provided. Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract/framework ) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (two examples are not required from each member).

Responses are limited to 500 words, but may also include unlimited supporting evidence or reference information.

OR

Option B:

If you cannot provide examples of previous contracts [detailed above], in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.

Your response may also include unlimited supporting evidence or reference information.

Text

## 8.1 Insurances

### 8.1 (a)

Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated in the tender documentation.

Yes

No

## 8.5 General Data Protection Regulations

### 8.5 (a)

Please confirm that you have in place, or that you will have in place by contract award, the human and technical resources to perform the contract to ensure compliance with the General Data Protection Regulation and to ensure the protection of the rights of the data subjects

Text

### 8.5 (b)

Please provide details of the technical facilities and measures (including systems and processes) you have in place, or will have in place by contract award, to ensure compliance with the General Data Protection Regulation and to ensure the protections of the rights of data subjects. Your response should include, but should not be limited to facilities and measures:

- to ensure ongoing confidentiality, integrity, availability and resilience of processing systems and services;
- to comply with the rights of data subjects in respect of receiving privacy information, and access, rectification, deletion and portability of personal data;
- to ensure that any consent based processing meets standards of active, informed consent, and that such consents are recorded and auditable;
- to ensure legal safeguards are in place to legitimise transfers of personal data outside the UK (if such transfers will take place);
- to maintain records of personal data processing activities; and
- to regularly test, assess and evaluate the effectiveness of the above measures.

Text

## 9.1 Technical and Professional Ability

### 9.1 (a)

Please explain why you believe your company has the necessary technical and professional capacity and capability to support the supply of the goods and services that are the subject of this selection questionnaire? Please provide an organogram and skills matrix to support your response. Where sub-contractors are deemed to be key (please refer to the ITT / EOI (as applicable) for the definition of Key Subcontractors), please expand your response to include these sub-contractors also

Note: Where your response to question 1.2(b)(i) was Yes and you therefore identified those relevant sub-contractors in your response to question 1.2(b)(ii) - your response to this question 9.1(a) should be expanded to include those same sub-contractors also

Text

## 9.2 Environmental

9.2 (a)

Do you hold a UKAS accredited independent third party certificate of compliance with BS EN ISO 14001 or a valid Eco-management & Audit Scheme (EMAS) certificate?

If "Yes" please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.

If 'No' please answer question 9.2 (b).

Yes

No

9.2 (b)

Do you have an Environmental Management System which has not been accredited but fully meets the requirements of BS EN ISO 14001 or are you able to confirm that you are working towards meeting the requirements of BS EN ISO 14001 ?

If 'Yes' please be prepared to provide evidence (provide a matrix identifying how the Quality Management System in place aligns to BS EN ISO 14001 or a programme including timings demonstrating how accreditation will be achieved prior to Contract / Framework award)

Yes

No

N/A

**9.2 (c)**

Do you have an EMS which has not been accredited but fully meets the requirements of BS EN ISO 14001 or equivalent, or are you able to confirm that you are working towards meeting the requirements of BS EN ISO 14001 or equivalent?

If 'Yes' please be prepared to provide evidence

Yes

No

N/A

### 9.3 Health & Safety

9.3 (a)

Do you hold a UKAS accredited independent third party certificate of compliance with ISO 45001 or equivalent?

If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.

If 'No' please answer question 9.3 (b)

For the avoidance of doubt, you must be able to provide a positive response to at least one of these questions (9a, b, c or d) to Pass this section

Yes

No

**9.3 (b)**

Have you within the the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum?

If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.

If 'No' please answer question 9.3 (c) or 9.3 (d) (the relevant question will be included within the SQ).

Yes

No

N/A

9.3 (c)

Does your organisation have a Health and Safety Policy that fully complies with current legislative requirements and meets the requirements of ISO 45001 or equivalent?

Yes / No / N/A

If 'Yes' please be prepared to provide evidence if requested.

Yes

No

N/A

9.3 (d)

Does your organisation have a Health and Safety Policy that fully complies with current legislative requirements and meets the requirements of ISO 450011 or equivalent, or are you able to confirm that you are working towards meeting the requirements of BS OHSAS 18001 or equivalent?

Yes / No / N/A

If 'Yes' please be prepared to provide evidence if requested.

- Yes
- No
- N/A

#### 9.4 Quality

9.4 (a)

Do you hold a UKAS accredited independent third-party certificate of compliance with BS EN ISO 9001:2015 or internationally accepted equivalent as defined by the International Accreditation Forum or are you able to confirm that you are working towards meeting the requirements of BS EN ISO 9001:2015 or equivalent prior to Contract /Framework award?

If "Yes" please provide evidence (Provide copy of certificate of registration and scope for which that registration applies or a programme including timings demonstrating how accreditation will be achieved prior to Contract/ Framework award) and mark 9.4 (b) as "N/A"

If 'No' please answer question 9.4 (b)

For Magnox Tenders

Do you hold a UKAS accredited independent third party certificate of compliance with BS EN ISO 9001 or equivalent?

If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.

If 'No' please answer question 9.4 (b)

- Yes
- No

9.4 (b)

Do you have a policy and quality management system that fully meets the requirements of BS EN ISO 9001:2015 or equivalent?

If 'Yes' please provide a matrix identifying how the Quality Management System in place aligns to BS EN ISO 9001:2015 for the scope of the work to be undertaken and a copy of the following:

- Quality Policy,
- Quality Manual,
- Controls in place to ensure delivery to an agreed specification.

For Magnox Tenders

Do you hold a UKAS accredited independent third party certificate of compliance with BS EN ISO 9001 or equivalent?

If 'Yes' please be prepared to provide evidence and mark the rest of the questions in this section as 'N/A' and move to the next question section.

If 'No' please answer question 9.4 (b)

- Yes
- No
- N/A

#### 9.4 (c)

Do you have a policy and organisation for quality management that fully meets the requirements of BS EN ISO 9001 or equivalent, or are you able to confirm that you are working towards meeting the requirements of BS EN ISO 9001 or equivalent?

If 'Yes' please be prepared to provide evidence if requested.

- Yes
- No
- N/A

#### 9.5 a Cyber

##### 9.5 (a)

Do you hold ISO27001 accreditation and/or Cyber Essentials or Cyber Essentials Plus or equivalent?

If yes, please upload your certificate(s) and controlling procedure(s)

If no, please answer q. 9.5 (a) (i)

For the avoidance of doubt, you must be able to provide a positive response to at least one of these questions (9.5a or b) to Pass this section

- Yes
- No

##### 9.5 (a) (i)

If you answered No to question 9.5 (a), please confirm you are committed to obtaining one of the above mentioned (ISO 27001, Cyber Essentials or Cyber Essentials Plus) prior to contract go live.

- Yes
- No
- N/A

### 9.5 b-d Security

#### 9.5 (b) (i)

Is your computer network Government Accredited to process Protectively Marked Information?

If yes, please upload your evidence of your accreditation certificate(s) and controlling procedure(s)

If no, please answer question 9.5 (b)(ii)

For the avoidance of doubt, you must be able to provide a positive response to at least one of these questions (9.5(b)(i) a or 9.5b(ii) to Pass this section

- Yes
- No

#### 9.5 (b) (ii)

If your answer to 9.5 (b) (i) is No, do you commit to obtaining the relevant accreditation and co-operating with the Contracting Authority to commence the vetting process in parallel with this procurement?

If "Yes" please provide a programme including timings demonstrating how accreditation will be achieved prior to Contract / Framework award

- Yes
- No
- N/A

### 9.5 (c)

Is your company able to handle, store and process Protectively Marked Information?

Please list the full address of all locations where your company, or consortium, intend to handle, store and process Protectively Marked Information. Where sub-contractors are used to support this scope and intended to process Protectively Marked Information, your response should be expanded to include them also.

- Yes
- No

### 9.5 (d) (i)

Are the locations in 9.5(c) approved for handling protectively marked information? e.g. LISTN or LISTX

If Yes which organisation gave approval?

- Yes
- No

#### 9.5 (d) (ii)

If your answer to 9.5 (d) (i) is No, do you commit to obtaining the relevant accreditation prior to Contract / Framework Award?

If "Yes" please provide a programme including timings demonstrating how accreditation will be achieved prior to Framework award

- Yes
- No
- N/A

## 9.6 Counterfeit, Fraudulent and Suspect Items (CFSI)

### 9.6

Are you able to demonstrate that you either currently have in place, or you commit to having in place prior to the start of the contract, all of the following arrangements and you will be able to provide evidence to the Authority when requested at a later stage:

- (a) Your company has formal arrangements for the identification, mitigation and prevention of Counterfeit, Fraudulent and Suspect Items (CFSI)
- (b) Your CFSI arrangements are integrated into the company's management processes/ procedures
- (c) Your company has established measures to ensure that its staff are aware of the risks of CFSI and understand and support the company's mitigation methods
- (d) Your company takes measures to raise awareness throughout all levels of its supply chain that there are parties who might wish to substitute CFSI for genuine items or services for commercial gain
- (e) Your company deploys assurance methods to ensure material and component traceability back to source suppliers, including testing methods by third party specialist organisations, including sampling of proprietary high risk items
- (f) Where examples of CFSI have been identified, your company takes appropriate remedial actions (e.g. quarantine arrangements, investigation and dispose of CFSI and information shared within the company, licensee organisation, supply chain and wider industry as appropriate to support learning, prevent use and encourage remedial measures)
- (g) For companies working in the Nuclear Industry, where examples of CFSI have been identified, your company has notified these to the Office of Nuclear Regulation (ONR)

- Yes
- No

### 9.6(a)

Please demonstrate that your company has formal arrangements for the identification, mitigation and prevention of Counterfeit, Fraudulent and Suspect Items (CFSI)

Text

**9.6(b)**

Please demonstrate that your CFSI arrangements are integrated into the company's management processes/ procedures

Text

**9.6(c)**

Please demonstrate that your company has established measures to ensure that its staff are aware of the risks of CFSI and understand and support the company's mitigation methods

Text

**9.6(d)**

Please demonstrate that your company takes measures to raise awareness throughout all levels of its supply chain that there are parties who might wish to substitute CFSI for genuine items or services for commercial gain

Text

**9.6(e)**

Please demonstrate that your company deploys assurance methods to ensure material and component traceability back to source suppliers, including testing methods by third party specialist organisations, including sampling of proprietary high risk items

Text

**9.6(f)**

Please demonstrate that where examples of CFSI have been identified, your company takes appropriate remedial actions (e.g. quarantine arrangements, investigation and dispose of CFSI and information shared within the company, licensee organisation, supply chain and wider industry as appropriate to support learning, prevent use and encourage remedial measures)

Text

**9.6(g)**

Please demonstrate that, for companies working in the Nuclear Industry where examples of CFSI have been identified, your company has notified these to the Office of Nuclear Regulation (ONR)

Text