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Bank of England

XBRL Processor with support services

Standard Selection Questionnaire and Guidance

**Procurement contact** – Stephen Green

**Authority reference** – SG/459

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# Glossary

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| **Term** | **Definition** |
| Authority/Bank | Means the Bank of England, or anyone acting on behalf of the Bank of England, that is seeking to invite suitable Suppliers to participate in this procurement process. |
| Clarification Deadline | The final date whereby questions clarifying the Procurement Materials must be made. |
| Consortium Members | All legal entities, including the Supplier, bidding as part of a consortium. |
| Contract | The contract which the Authority intends to enter into with the winning Supplier at the conclusion of the Process in respect of the Project |
| Disclosure Obligations | The Freedom of Information Act 2000 (“FOIA”), Environmental Information Regulations 2004 (“EIR”), and public sector transparency policies. |
| Financial Criteria | Shall have the meaning given to it in paragraph 8.4.3 |
| OJEU | Official Journal of the European Union. |
| OJEU Contract Notice | The Authority’s notice in relation to the Project advertised in the OJEU. |
| Process | The procurement process being followed for this Project. |
| Procurement Materials | The entire procurement documents created and issued as part of this exercise. Namely:   * OJEU Contract Notice. * SQ. * Instructions to Suppliers. * SOUR. * Pricing Schedule. * Pricing Guidance. * Contract. |
| Project | The project referred to on the front page of this SQ. |
| Regulations | The Public Contracts Regulations 2015. |
| SOUR | Statement of User Requirements |
| SQ Criteria | The criteria against which Supplier’s Response will be evaluated. |
| SQ Guidance | Guidance on completing and submitting the SQ as set out in this document. |
| SQ Requirements | The Authority’s requirements, as set out in the relevant OJEU Contract Notice and section 2 of this SQ. |
| SQ Response | The Suppliers response to the SQ including any accompanying documentation. |
| SQ Response Deadline | The deadline for submission of completed Responses as set out in the table in section 2 of this SQ. |
| SQ/Selection Questionnaire | The Standard Selection Questionnaire attached at Appendix A to this SQ Guidance which must be completed and submitted by Suppliers in order to respond to this SQ. |
| Supplier/You/Your | Refers to the potential supplier completing the SQ i.e. the legal entity responsible for the information provided. |

**Structure of this Document**

This document has been divided into the following sections:

**SQ Guidance:**

Provides guidance and instruction to Suppliers for completion of the SQ. These are intended to assist the Suppliers in providing responses.

|  |  |
| --- | --- |
| *Section 1* | Introduction. |
| *Section 2* | Describes at high level the Authority’s Requirements. |
| *Section 3* | Describes the timetable for this procurement process. |
| *Section 4* | Describes how Suppliers should complete the SQ, and how/when to reply. |
| *Section 5* | Describes the implications of the Freedom of Information Act and the Data Protection Act |
| *Section 6* | Explains how Suppliers will be evaluated at the SQ stage. |
| *Section 7* | States the scoring criteria against which Suppliers will be assessed, and the relative weightings of those scoring criteria. |
| *Section 8* | Sets out the evaluation methodology for how Responses will be assessed. |

**Appendix A: SQ:**

Contains the standard selection questionnaire to be completed by the Supplier. This should be completed and returned, along with supplementary information requested, before the SQ Response Deadline.

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| *Part 1* | Contains a series of general questions regarding the Supplier. |
| *Part 2* | Contains questions relating to the Suppliers’ good standing. |
| *Part 3* | Contains selection questions regarding the Supplier’s technical and professional ability and economic and financial standing. |

# Introduction

## This SQ is issued by the Authority in connection with the procurement of an XBRL Processor with support services following the Competitive Procedure with Negotiation under the Public Contract Regulations 2015.

## This SQ has been produced to enable the Authority to evaluate the general standing, economic and financial standing, and technical and professional ability of those organisations that have expressed interest in the procurement in accordance with and in response to the OJEU Contract Notice published on or around the date of this SQ. This SQ is available to all parties who have an interest in tendering for the Requirements.

## Following completion of this SQ stage, the Bank’s intention is to have a shortlist of three qualified Suppliers who will progress to the next stage of this Process.

## **The Requirement**

## The Authority is seeking a suitable Supplier to provide an XBRL Processor with support services, to allow the Authority to establish an XBRL processing capability that will enable the Bank to meet current and future XBRL based data collection requirements.

## The Requirements for that solution and supporting services are as set out in the Statement of User Requirements (SOUR) which has been published alongside this SQ.

## **Timetable for Process**

## The provisional timetable for this Process is set out below. This is intended as a guide only and, whilst the Authority does not intend to depart from the timetable, it reserves the right to do so.

| **Event Description** | **Start Date** | | **End Date** |
| --- | --- | --- | --- |
| Procurement Launch (consisting of):   * *OJEU Advert.* * *Supplier Selection Questionnaire (SQ).* * *Instructions to Suppliers (ITS).* * *Statement of User Requirements (SOUR).* * *Pricing Schedule.* * *Pricing Guidance.* * *Contract.* | Tuesday 1st August 2017. | | |
| SQ Bidder Conference | Monday 14th August 2017. | | |
| SQ Deadline. | Monday 4th September 2017. | | |
| SQ Stage Evaluation. | Tuesday 12th September 2017. | | |
| Invitation to Tender (ITT) Commencement. | Wednesday 13th September 2017. | | |
| ITT Bidder Conference | Wednesday 20th September 2017. | | |
| ITT Initial Response Deadline. | Thursday 19th October 2017. | | |
| ITT Stage Evaluation. | Friday 20th October 2017. | | Friday 10th November 2017. |
| Product Assessment. | Monday 20th November 2017. | | Friday 24th November 2017. |
| Negotiations Round(s) (assumes 3 iterations) | Monday 27th November 2017. | | Wednesday 31st January 2018. |
| Finalise Evaluation (including De-brief Letters). | Thursday 1st February 2018. | | Friday 16th February 2018. |
| Award Announcement. | Wednesday 21st February 2018. | | |
| Contract Finalisation (population of Schedules only). | Thursday 22nd February 2018. | Friday 23rd March 2018. | |
| Effective Date. | Monday 26th March 2018. | | |

# Instructions for Completion

## How to submit a Response

## The SQ is set out in Appendix A to this document. A completed version of the SQ and all supporting information requested therein must be uploaded, and submitted on the Authority’s eTendering tool, ProContract by the SQ Response Deadline.

## It is the responsibility of the Supplier to ensure that their Response is uploaded and submitted before the SQ Response Deadline. Responses received after the SQ Response Deadline may be disregarded and the Authority reserves the right not to evaluate any Response received after the SQ Response Deadline.

## If you have any doubt whatsoever as to the successful submission of you response, please contact the ProContract helpdesk: [procontractsuppliers@proactis.com](mailto:procontractsuppliers@proactis.com).

## Completion and Assessment of SQ

## Suppliers should answer all questions in the SQ in English (any liability for errors or omissions in translated documents will remain with the Supplier), as accurately and concisely as possible and in the same order as presented. Where a question is not relevant to the Supplier’s organisation this should be indicated, with an explanation where this is required pursuant to the instructions in the SQ.

## The Authority has not set out within this SQ its detailed requirements that will be required for the delivery of services under the Contract. This information is available in the other procurement documents published and in particular the SOUR and Suppliers should not set out their proposals in relation to the Authority’s detailed requirements in their SQ Response.

## Suppliers are responsible for analysing and reviewing all information provided in this SQ and for forming their own opinions, and should notify the Authority promptly of any perceived ambiguity, inconsistency or omission in this SQ and/or any of its associated documents and/or any information provided to you as part of this Process.

## Responses must be explicit and comprehensive. Except as set out in the SQ/SQ Guidance or unless otherwise allowed by applicable law, the SQ Responses will be the single source of information used by the Bank in establishing if the Suppliers response to the SQ is deemed to be acceptable (thus enabling the Suppliers response to the SOUR to be evaluated). Suppliers are advised not to provide any information additional to that specifically requested in the SQ within their SQ Response.

## Supporting information should be presented in the same order as, and should be referenced to, the relevant question.

## If any of the information supplied in response to the SQ changes in the ensuing evaluation period or thereafter, the Supplier must provide the Authority promptly with full written details of the relevant change(s). The Authority may re-apply the SQ assessment at this point, regardless of what stage of the procurement, which may result in the Supplier being disqualified from the competition.

## The Authority expressly reserves the right to ask clarification questions in relation to information provided in response to this SQ or to ask for supplementary information. Failure to furnish the required information, make a satisfactory response to any question, supply documentation referred to in responses within the specified timescale or fail to comply with any other instructions contained in this SQ Guidance and the SQ may mean that a Supplier is excluded from this Process and will not be invited to participate further.

## Suppliers should identify a single contact point at the Supplier’s organisation in respect of their SQ Response.

## Suppliers should keep their single point of contact details on ProContract up to date in order to ensure they will be able to receive communications from the Authority.

## Questions about the SQ or the procurement

## All questions must be submitted via ProContract. Questions must be submitted on or before the Clarification Deadline set out in section 3 of this SQ Guidance. No approach of any other kind in connection with this SQ should be made to any person within, or associated with, the Authority.

## The Authority reserves the right to issue any question raised by you and the response, in a suitably anonymised form, to all Suppliers, unless you expressly notify the Authority that you require it to be kept confidential at the time the question is raised. If the Authority considers the content of the question not to be confidential, it will inform you and you will have the opportunity to withdraw the question prior to the Authority responding to you and the other Suppliers.

## We recommend that Suppliers start to complete their SQ responses promptly to allow as much time as possible to identify any questions they may have and to obtain help.

## Any question received by the Authority will, as far as is practical, be responded to within five working days.

## What happens after a SQ is submitted?

## The Authority will assess the SQ Responses and may undertake verification of any of the answers.

## The Authority will make its assessment as set out in this SQ. Suppliers will be selected in accordance with the provisions of sections 6, 7 and 8 of this SQ Guidance.

## Additional Terms of Procurement

## No information contained in the SQ/SQ Guidance or in any communication made between the Authority and any Supplier in connection with this SQ shall be relied upon as constituting a contract, agreement or representation that any contract shall be offered in accordance with this SQ.

## The Authority reserves the right to vary or cancel the SQ stage and subsequent stages of the Process in their entirety or in part, and not to proceed to award the Contract or to suspend any stage of this procurement at any time at its absolute discretion.

## The Supplier is solely responsible for the costs and expenses incurred in connection with the preparation and submission of its SQ Response. Under no circumstances will the Authority incur any liability in respect of this SQ/SQ Guidance or any supporting document or in respect of the Process (including where the Authority has acted as set out in the previous paragraph).

## The Authority will ensure that all Suppliers are treated equally and in a non-discriminatory way during the Process. This includes prohibiting any anti-competitive behaviour so as to ensure a fair procurement process. Where the Authority suspects anti-competitive behaviour, the Authority may require the Supplier to supply evidence that they are not behaving in an anti-competitive manner. Any evidence of anti-competitive behaviour may result in the Supplier being excluded from the procurement.

## The information contained in the SQ/SQ Guidance and the supporting documentation and in any written or oral communication made by the Authority is believed to be correct at the time of issue, but the Authority will have no liability for its accuracy, adequacy or completeness, and no warranty is given as such.

## Nothing in the SQ/SQ Guidance is intended to exclude or limit the liability of the Authority in relation to fraud or in other circumstances where the Authority’s liability may not be excluded or limited under any applicable law.

# Confidentiality, Freedom of Information and Data Protection

* 1. The Supplier shall not, without the prior written consent of the Authority, advertise or publicly

state that it has received this SQ or that it has or intends to submit a response to this SQ.

* 1. The Supplier shall keep confidential and continue to keep confidential, notwithstanding

whether or not the Supplier is invited to proceed to the next stage of this Process, all

information obtained from the Authority in connection with this SQ, and shall not divulge the

same without the prior written consent of the Authority.  The provisions of this paragraph

shall not apply to:

## Information already in the public domain otherwise than by breach of this paragraph.

## Information already in the possession of the Supplier that was not received under a duty of confidentiality.

## Information obtained from a third party who is free to divulge the same.

## Information required to be disclosed by law or a competent regulatory authority.

## Information disclosed to the Supplier’s legal or other professional advisers.

## The Supplier consents to sharing the information contained in its SQ Response with

## ProContract for the purposes of administering the procurement process.

## The Supplier should note that the Authority is subject to the Freedom of Information Act 2000 (“FOIA”) and the Authority may be required to disclose details of the Supplier’s SQ Response in response to a FOIA request from third parties, either during or after the SQ process. The Authority can only withhold information where it is covered by a valid exemption as set out in the FOIA.

## If a Supplier is concerned about possible disclosure of its Response it should notify the Authority accordingly via ProContract clearly identifying the specific parts of its Response that it considers commercially sensitive or confidential (within the meaning of the FOIA), the harm that disclosure may cause and an estimated timescale of how long the information will remain sensitive. The Supplier is recommended to familiarise itself with the Information Commissioner’s current position on the disclosure and non-disclosure of commercially sensitive information and should not notify the Authority of a blanket labelling of its entire Response as confidential.

## The Supplier must be aware that the receipt by the Authority of information marked “confidential” does not mean that the Authority may not release that information where it is required to do so pursuant to its obligations under FOIA.

## Once the Process is complete the Authority may publish details of all contract awards in accordance with UK Government transparency standards.

## It is possible that Suppliers’ Responses may contain Personal Data (as defined under the Data Protection Act 1998). Where such information is provided, the Supplier agrees to such Personal Data being collected, held and used by the Authority in accordance with and for the purposes of administering this procurement and contract award. By providing such information, the Supplier warrants, on a continuing basis, that it has: (a) all requisite authority and has obtained and will maintain all necessary consents required under the Data Protection Regulations (which means the Data Protection Act 1998, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all relevant regulations together with any codes of conduct and guidance issued by the Information Commissioner; and (b) otherwise fully complied with all of its obligations under the Data Protection Regulations in order to disclose to the Authority the Personal Data, and allow the Supplier to carry out the SQ process. The Supplier shall immediately notify the Authority if any of the consents are revoked or changed in any way which impacts on the Authority’s rights or obligations in relation to such Personal Data.

# Supplier Selection

## The Authority may disqualify any Supplier who:

## Provides an unsatisfactory response to any of the questions in the SQ. Unsatisfactory responses may include inadequately or incorrectly completed questions or missing information.

## Fails to meet the standards for any of the Selection Criteria as detailed in section 7 and 8.

## Supplier’s SQ Responses shall be evaluated in accordance with sections 7 and 8. Some questions in the SQ are not scored. These are identified in section 7.

## Of the Suppliers that have not been disqualified (as set out above), the Authority will select three Suppliers who score the highest as being successful at this SQ stage.

## **Scoring Criteria**

## SQ Responses will be evaluated using the criteria below (refers to Appendix A as opposed to this guidance note).

|  |  |
| --- | --- |
| **Reference** | **Weighting** |
| **Part 1 – Supplier Information** | |
| *Section 1: Potential Supplier information and bidding model.* | Information only. |
| **Part 2 – Exclusion Grounds** | |
| *Section 2: Mandatory Exclusion Grounds.* | Suppliers will be excluded from the Process if “Yes” is answered, unless the evidence provided is deemed to be sufficient so as to not warrant exclusion. |
| *Section 3: Discretionary Exclusion Grounds.* | Suppliers may be excluded from the Process if “Yes” is answered, unless the evidence provided is deemed to be sufficient so as to not warrant exclusion. |
| **PART 3 – Selection Questions** |  |
| *Section 4: Economic & Financial Standing.*  **4.1** Evidence of Financial Status.  **4.2** Minimum Financial Threshold. | Information only.  Pass/Fail (see section 8 for scoring criteria). |
| *Section 5 – Details if Part of a Wider Group.*  **5.1** Parent Company Accounts.  **5.2** Parent Company Guarantee.  **5.3** Guarantee. | See section 8 for scoring criteria.  See section 8 for scoring criteria.  See section 8 for scoring criteria. |
| *Section 6: Technical & Professional Ability*  **6.1/6.2** Previous Experience  **6.3** Sub-Contracting | 90% (see section 8 for scoring criteria).  10% (see section 8 for scoring criteria). |
| *Section 7: Modern Slavery Act 2015*  **7.1** Relevant Commercial Organisation Definition – Modern Slavery Act 2015 s. 54  **7.2** Annual Reporting Requirements – Modern Slavery Act 2015 s. 54 | Information only.  Suppliers may be excluded from the Process if “No” is answered, unless the evidence provided is deemed to be sufficient so as to not warrant exclusion. |
| *Section 8 – Additional Questions*  **8.1** Insurance | Suppliers will be excluded from the Process unless “Yes” is answered, except where the evidence provided is deemed to be sufficient so as to not warrant exclusion. |
| *Section 9 - Project Specific Questions*  **9.1** Quality Control  **9.2** Security | Suppliers will be excluded from the Process unless they demonstrate alignment to ISO 9001 accreditation or equivalent, except where the evidence provided is deemed to be sufficient so as to not warrant exclusion.  Suppliers will be excluded from the Process unless they demonstrate alignment to ISO 27001:2013, NIST 800.53 accreditation or equivalent, except where the evidence provided is deemed to be sufficient so as to not warrant exclusion. |

# Evaluation Methodology

## Where a question is scored, that question will be scored as against the relevant scoring criteria as set out below.

## A selection panel will agree a final score. Each panel member will undertake an independent evaluation before the consensus scoring.

## The scoring criteria relating to each question is described in paragraphs 8.4 to 8.5 below.

## Section 4 and Section 5 of SQ: Economic and Financial Standing

## The Bank is seeking Suppliers who can demonstrate the necessary economic and financial capacity to fulfil the Contract. This will be assessed on the basis of whether the Supplier meets the Financial Criteria or confirms it shall provide Alternative Security from an entity which meets the Financial Criteria.

## "Alternative security" may take the form of (without limitation) a guarantee from an entity which meets the Financial Criteria e.g. a parent company or a bank, an on-demand bond from an entity which meets the Financial Criteria or the provision of funds or reserves by a third party which meets the Financial Criteria in the form of a cash deposit or escrow account. Regardless of whichever form is adopted, such alternative security shall have a value equal to ***£4 million***.

## For the purposes of this Project, the Authority has determined that the "Financial Criteria" are:

A minimum turnover threshold of £*4 million* per annum.

## Scoring Criteria

|  |  |
| --- | --- |
| **Question 4.2: Minimum Financial Threshold** | |
| **Score** | **Criteria** |
| Pass | The Supplier has confirmed that they meet the Financial Criteria or that it shall provide alternative security from an entity which meets the Financial Criteria. |
| Fail | The Supplier has not confirmed that they meet the Financial Criteria or that it shall provide alternative security from an entity which meets the Financial Criteria. |

## 

## Section 6 of SQ: Technical and Professional Ability

## The Authority is seeking Suppliers who can demonstrate their technical ability by showing strong experience and expertise of XBRL specifications and contributing to their development.

## The Authority is seeking a solution that allows it to process XBRL data quickly and efficiently and values Suppliers who have strong experience in providing and implementing XBRL processing solutions to organisations who are of a similar size and have a similar scope to that of the Authority.

## The Authority is keen to ensure that where sub-contractors are being used to meet the Requirements, the Supplier's previous experience demonstrates adequate processes are in place to maintain a healthy supply chain, including consideration of how sub-contractors are selected, managed and how the Authority deals with disputes which arise with its sub-contractors and evidence of previous work undertaken with the relevant sub-contractors.

## Scoring Criteria

|  |  |
| --- | --- |
| **Questions 6.1/6.2: Previous Experience** | |
| **Score** | **Criteria** |
| 10 | The response to Question 6.1 or 6.2 (as applicable) demonstrates that the Supplier has all of the following:  (a) Strong technical ability and expertise of XBRL specifications and contributing to their development.  (b) Provided a Solution that processes XBRL data quickly and efficiently.  (c) Implemented and supported a Solution for organisations of a similar size, scale and complexity to that of the Authority. |
| 5 | The response to Question 6.1 or 6.2 (as applicable) demonstrates that the Supplier has only two of the following:  (a) Strong technical ability and expertise of XBRL specifications and contributing to their development.  (b) Provided a Solution that processes XBRL data quickly and efficiently.  (c) Implemented and supported a Solution for organisations of a similar size, scale and complexity to that of the Authority. |
| 3 | The response to Question 6.1 or 6.2 (as applicable) demonstrates that the Supplier has only one of the following:  (a) Strong technical ability and expertise of XBRL specifications and contributing to their development.  (b) Provided a Solution that processes XBRL data quickly and efficiently.  (c) Implemented and supported a Solution for organisations of a similar size, scale and complexity to that of the Authority. |
| 0/Fail | The response to Question 6.1 or 6.2 (as applicable) does not demonstrate that the Supplier has none of the following:  (a) Strong technical ability and expertise of XBRL specifications and contributing to their development.  (b) Provided a Solution that processes XBRL data quickly and efficiently.  (c) Implemented and supported a Solution for organisations of a similar size, scale and complexity to that of the Authority. |
| **Questions 6.3: Sub-contracting** | |
| **Score** | **Criteria** |
| 10 | (i) The Supplier intends to deliver the Requirements itself without the use of sub-contractors; or  (ii) The Supplier intends to use sub-contractors and the response demonstrates to the Bank that the Supplier has a comprehensive approach and methodology on sub-contracting and a pro-active approach and methodology to problem resolution with its sub-contractors. |
| 5 | The Supplier intends to deliver the Requirements via sub-contractors and the response demonstrates to the Bank that the Supplier has an approach and methodology on sub-contracting and a pro-active approach and methodology to problem resolution with its sub-contractors but the Bank considers there are minor areas of weakness or the response is lacking in detail in some areas. |
| 0 | The Supplier intends to deliver the Requirements via sub-contractors but the level of clarity in the response is insufficient and provides the Bank with a lack of confidence in the Suppliers ability to manage its sub-contractors. |

**NOTE:** Once the relevant questions that are to be scored have been evaluated and a score awarded, these scores will then have weightings applied to them as detailed in section 7.

For example, where a score of 5 out of 10 has been awarded and the weighting for that score is 10% the final weighted mark will be calculated by taking the score of 5 dividing this by 10 and then multiplying this by 10%, giving you a final weighted mark of 5.

|  |  |  |  |
| --- | --- | --- | --- |
| **Score** | **Top Score Available** | **Weighting** | **Weighted Score** |
| 5 | 10 | 10% | 5 |

|  |  |
| --- | --- |
| **Question 9.1: Quality** | |
| **Score** | **Criteria** |
| Pass | The response to Question 9.1 demonstrates that the Supplier has satisfactory quality policies, processes and quality procedures. |
| Fail | The response to Question 9.1 does not demonstrate that the Supplier has satisfactory quality policies, processes and quality procedures. |
| **Questions 9.2: Security** | |
| **Score** | **Criteria** |
| Pass | The response to Question 9.2 demonstrates that the Supplier has satisfactory security policies, processes and procedures. |
| Fail | The response to Question 9.2 does not demonstrate that the Supplier has satisfactory security polices, processes and procedures. |

# Appendix A: Standard Selection Questionnaire (SQ)

**Potential Supplier Information and Exclusion Grounds: Part 1 and Part 2**

This Standard Selection Questionnaire is a self-declaration, made by You (the potential Supplier), that you do not meet any of the grounds for exclusion. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently, the Authority requires all the organisations that you will rely on to meet a material part of the Requirements to provide a completed Part 1 and Part 2. For example these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the Selection Criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the Selection Criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

## When completed, this form is submitted via uploading it to on to the Authority’s eTendering tool, ProContract. The basis on which your response to the questions will be evaluated is set out in Sections 6-8 of the SQ Guidance.

**Supplier Selection Questions: Part 3**

If you are bidding on behalf of a group (Consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

**Consequences of Misrepresentation**

If you misrepresent any factual information in filling in the SQ, and so induce the Authority to enter into a contract, there may be significant consequences. You may be excluded from the Process, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

**Notes for completion**

1. The “Authority” means the contracting authority, in this case the Bank of England, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential Supplier completing this SQ i.e. the legal entity responsible for the information provided. The term “potential Supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “Regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The Authority recognises that arrangements set out in section 1.2 of this Supplier Selection Questionnaire, in relation to a group of economic operators (for example, a Consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the Authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the Selection Criteria. The Authority will make a revised assessment of the submission based on the updated information and this may result in the Supplier being disqualified from the procurement.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the Selection Criteria must complete and submit the self-declaration, including Consortium Members and sub-contractors which are material to the provision of the Requirements.
6. For answers to Part 3, you are bidding on behalf of a group, for example, a Consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the Consortium and/or any sub-contractors, providing one composite response and declaration.
7. The Authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the Regulations, or pursuant to an order of the court or demand made by any competent authority or body where the Authority is under a legal or regulatory obligation to make such a disclosure.

## **Part 1: Supplier Information**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the Selection Criteria must complete and submit Part 1 and Part 2.

*Section 1 – Potential Supplier information and bidder model*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Question Number** | **Question** | **Response** | | |
| 1.1(a) | Full name of the potential supplier submitting the information. |  | | |
| 1.1(b)-(i) | Registered office address (if applicable). |  | | |
| 1.1(b)-(ii) | Registered website address (if applicable). |  | | |
| 1.1(c) | Trading status:   * Public Limited Company. * Limited Company. * Limited Liability Partnership. * Other Partnership. * Sole Trader. * Third Sector. * Other (please specify your trading status). |  | | |
| 1.1(d) | Date of registration in country of origin. |  | | |
| 1.1(e) | Company registration number (if applicable). |  | | |
| 1.1(f) | Charity registration number (if applicable). |  | | |
| 1.1(g) | Head office DUNS number (if applicable). |  | | |
| 1.1(h) | Registered VAT number. |  | | |
| 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). |  | | |
| 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. |  | | |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement. |  | | |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one):   * Voluntary Community Social Enterprise (VCSE). * Sheltered Workshop. * Public Service Mutual. |  | | |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[1]](#footnote-1)? | Yes | | ☐ |
| No | | ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC) [[2]](#footnote-2), where appropriate: |  | | |
| 1.1(n)-(i) | Name. |  | | |
| 1.1(n)-(ii) | Date of birth. |  | | |
| 1.1(n)-(iii) | Nationality. |  | | |
| 1.1(n)-(iv) | Country, state or part of the UK where the PSC usually lives. |  | | |
| 1.1(n)-(v) | Service address. |  | | |
| 1.1(n)-(vi) | The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used). |  | | |
| 1.1(n)-(vii) | 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   (Please enter N/A if not applicable). |  | | |
| 1.1(o) | Details of immediate parent company: |  | | |
| 1.1 (o)-(i) | Full name of the immediate parent company. |  | | |
| 1.1(o)-(ii) | Registered office address (if applicable). |  | | |
| 1.1(o)-(iii) | Registration number (if applicable). |  | | |
| 1.1(o)-(iv) | Head office DUNS number (if applicable). |  | | |
| 1.1(o)-(v) | Head office VAT number (if applicable). |  | | |
| 1.1(p) | Details of ultimate parent company: |  | | |
| 1.1(p)-(i) | Full name of the ultimate parent company. |  | | |
| 1.1(p)-(ii) | Registered office address (if applicable). |  | | |
| 1.1(p)-(iii) | Registration number (if applicable). |  | | |
| 1.1(p)-(iv) | Head office DUNS number (if applicable). |  | | |
| 1.1(p)-(v) | Head office VAT number (if applicable). |  | | |

***Please note:*** *A criminal record check for relevant convictions may be undertaken for the preferred Suppliers and the persons who have significant control in them.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 1.2(a)-(i) | Are you bidding as the lead contact for a group of economic operators? | Yes | ☐ |
| No | ☐ |
| If yes, please provide details listed in questions 1.2(a)(ii), 1.2a(iii) 1.2(b)(i), 1.2(b)(ii),1.3, Sections 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. | |
| 1.2 (a)-(ii) | Name of group of economic operators (if applicable). |  | |
| 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. |  | |
| 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 additional details for each sub-contractor in the following table. We may ask them to complete this form 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 work and/or supplies e.g. key deliverables. |  | |
| The approximate percentage of contractual obligations assigned to each subcontractor. |  | |

**Contact Details and Declaration**

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

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

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.

|  |  |  |
| --- | --- | --- |
| **Reference** | **Question** | **Response** |
| 1.3(a) | Contact name. |  |
| 1.3(b) | Name of organisation. |  |
| 1.3(c) | Role in organisation. |  |
| 1.3(d) | Phone number. |  |
| 1.3(e) | E-mail address. |  |
| 1.3(f) | Postal address. |  |
| 1.3(g) | Signature (electronic is acceptable). |  |
| 1.3(h) | Date. |  |

## **Part 2: Exclusion Grounds**

Please answer the following questions in full. Note that every organisation that is being relied on to materially meet the Requirements must complete and submit Part 1 and Part 2.

*Section 2 – Mandatory Exclusion Grounds*

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), 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 below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | | |
| 2.1(a)-(i) | Participation in a criminal organisation. | Yes | ☐ |
|  |  | No | ☐ |
|  |  | If “Yes” please provide details at 2.1(b) | |
| 2.1(a)-(ii) | Corruption. | Yes | ☐ |
|  |  | No | ☐ |
|  |  | If “Yes” please provide details at 2.1(b) | |
| 2.1(a)-(iii) | Fraud. | Yes | ☐ |
|  |  | No | ☐ |
|  |  | If “Yes” please provide details at 2.1(b) | |
| 2.1(a)-(iv) | Terrorist offences or offences linked to terrorist activities. | Yes | ☐ |
|  |  | No | ☐ |
|  |  | If “Yes” please provide details at 2.1(b) | |
| 2.1(a)-(v) | Money laundering or terrorist financing. | Yes | ☐ |
|  |  | No | ☐ |
|  |  | If “Yes” please provide details at 2.1(b) | |
| 2.1(a)-(vi) | Child labour and other forms of trafficking in human beings | Yes | ☐ |
|  |  | No | ☐ |
|  |  | If “Yes” please provide details at 2.1(b) | |
| 2.1(b) | If you have answered “Yes” to any question in 2.1(a), please provide further details:   * Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction. * Identity of who has been convicted   If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  | |
| 2.2 | If you have answered “Yes” to any of 2.1(a), have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning). If yes, please detail the actions which have been taken. | Yes  No | ☐  ☐ |
|  |  | Details: |  |
| 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. |  | |

***Please 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 – Discretionary Exclusion Grounds*

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 3.1(a) | **Regulation 57(8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), 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)-(i) | Breach of environmental obligations. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(ii) | Breach of social obligations. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details 3.2 | |
| 3.1(a)-(iii) | Breach of labour law obligations. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(iv) | 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. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(v) | Guilty of grave professional misconduct. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(vi) | Entered into agreements with other economic operators aimed at distorting competition. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(vii) | Aware of any conflict of interest within the meaning of regulation 24 of the Public Contracts Regulations 2015 due to the participation in the procurement procedure. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(viii) | Been involved in the preparation of the procurement procedure. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(ix) | 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. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(x) | 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. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(xi) | The organisation has withheld such information. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(xii) | The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.1(a)-(xiii) | 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 provide misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes | ☐ |
| No | ☐ |
| If “Yes” please provide details in 3.2 | |
| 3.2 | If you have answered “Yes” to any of the above in 3.1 (a), explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning) |  | |

## **Part 3 – Selection Questions**

*Section 4 – Economic & Financial Standing*

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 4.1(a) | Are you able to provide a copy of your audited accounts for the last two years, if requested?  If “No, can you provide one of the following: | Yes | ☐ |
| No | ☐ |
| 4.1(a)-(i) | 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 | ☐ |
| 4.1(a)-(ii) | A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | Yes | ☐ |
| No | ☐ |
| 4.1(a)-(iii) | 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 | ☐ |
| 4.2 | Where we have specified a minimum level of economic and financial standing (Please see Section 7 of the SQ Guidance) 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 | ☐ |

*Section 5 – Details if Part of a Wider Group*

|  |  |
| --- | --- |
| Name of Organisation. |  |
| Relationship to the Supplier completing these questions. |  |

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 5.1 | Are you able to provide parent company accounts if requested to at a later stage? | Yes | ☐ |
| No | ☐ |
| 5.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | Yes | ☐ |
| No | ☐ |
| 5.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | Yes | ☐ |
| No | ☐ |

*Section 6 – Technical & Professional Ability*

|  |  |
| --- | --- |
| **Reference** | **Question** |
| 6.1 | Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts should have been performed in the past three years.  The named contact should be able to provide written evidence to confirm the accuracy of the information below.  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) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).  Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.  If you cannot provide examples see question 6.2 |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Contract 1** | **Contract 2** | **Contract 3** |
| Name of customer organisation |  |  |  |
| Point of contact in the organisation |  |  |  |
| Position in the organisation |  |  |  |
| E-mail address |  |  |  |
| Description of contract |  |  |  |
| Contract Start date |  |  |  |
| Contract completion date |  |  |  |
| Estimated contract value |  |  |  |

|  |
| --- |
| 6.2 |
| If you cannot provide at least one example for question 6.1, 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 must be no more than 500 words. |
|  |
| 6.3 |
| Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).  Your response must be no more than 500 words. |
|  |

*Section 7 – Modern Slavery Act 2015*

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 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? | Yes | ☐ |
| Please provide the relevant URL: | |
| No | ☐ |
| Please provide an explanation: | |
| N/A | ☐ |

*Section 8 – Additional Questions*

Suppliers who self-certify that they meet the requirements to these additional questions will be required to provide evidence of this if they are successful at contract award stage.

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference** | **Question** | **Response** | |
| 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 below: |  |  |
|  |  |
| 8.1(a)-(i) | Employer’s (Compulsory) Liability Insurance = £10 million | Yes | ☐ |
| No | ☐ |
| 8.1(a)-(ii) | Public Liability Insurance = £10 million | Yes | ☐ |
| No | ☐ |
| 8.1(a)-(iii) | Professional Indemnity Insurance = £10 million | Yes | ☐ |
| No | ☐ |
| 8.1(a)-(iv) | Product Liability Insurance = £10 million | Yes | ☐ |
| No | ☐ |

***Please Note:*** *It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.*

*Section 9 – Project Specific Questions*

|  |
| --- |
| 9.1 Quality |
| Please provide details of your quality assurance policy. You should include details of any relevant accreditations your company holds. These could be IS0 9001, or any other equivalent standard. Please include a copy of any certificate/s where appropriate.  Your response must be no more than 500 words excluding certificates. |
|  |
|
| 9.2 Security |
| Please describe your information management system, including detail of any ISO 27001, NIST 800.53 accreditation or equivalent and in the case of any ISO 27001, NIST 800.53 accreditation or equivalent please state status and scope of certificate, and when were you last audited against that standard and by whom.  Your response must be no more than 500 words. |
|  |
|

1. See EU definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-1)
2. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-2)