­

|  |  |  |
| --- | --- | --- |
| BoE logo_A4 master |  |  |

Bank of England

Real Time Gross Settlement (RTGS)

Selection Questionnaire (SQ)

**Bank reference** – RTGS- SQ

Contents

Glossary and document structure3

1. Introduction6
2. The Requirement6
3. Timetable for the Process8
4. Instructions for Completion9
5. Confidentiality, Freedom of Information and Data Protection12
6. Supplier Selection13
7. Selection Criteria13
8. Scoring Approach15
9. Evaluation Methodology 23
10. Assurance on Responses23
11. Vetting and Confidentiality for Selected Suppliers24

Appendix A: Selection Questions 25

Part 1: Supplier Information 26

Part 2: Exclusion Grounds 31

Part 3: Economic and Financial Standing 35

Part 4: Technical and Professional Ability 37

# Glossary & Document Structure

*Table 1 – Definitions*

|  |  |
| --- | --- |
| **Term** | **Definition** |
| Areas of Relevant Expertise | Shall have the meaning given to it at Question 10.2 at Section 10 of Appendix A (Testing). |
| Assurance Report  | The reports undertaken in accordance with paragraph 10.4. |
| Attributes | Shall have the meaning given to it at Question 8.1 at Section 8 of Appendix A (Resilience). |
| 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 Process.  |
| Clarification Deadline | The final date whereby questions clarifying the Procurement Materials must be made as set out in Table 2 in paragraph 3.1 of this SQ. |
| Consortium  | A group of companies who are jointly submitting a Response. |
| Consortium Members | All legal entities, including the Supplier, bidding as part of a Consortium.  |
| Contract | The contract which the Bank intends to enter into with the winning Supplier at the conclusion of the Process in respect of the Programme. |
| Financial Market Infrastructure | A multilateral system among participating institutions, including the operator of the system, used for the purposes of clearing, settling or recording payments, securities, derivatives or other financial transactions i.e. recognised payment systems, central securities depositories, and central counterparty clearing houses.  |
| FOIA  | The Freedom of Information Act 2000  |
| Highly Skilled Threat Actors | Shall have the meaning given to it at Question 8.2 at Section 8 of Appendix A (Resilience). |
| Information Commissioner | The UK Information Commissioner’s Office (and any replacement or successor body from time to time). |
| OJEU | Official Journal of the European Union. |
| OJEU Contract Notice | The Bank’s notice in relation to the Programme advertised in the OJEU. |
| Process | The procurement process being followed to select a technology delivery partner (**TDP**) for the Programme. |
| Procurement Materials | OJEU Contract Notice, SQ and any accompanying materials. |
| Programme  | The Bank’s RTGS renewal programme. |
| Regulations | The Public Contracts Regulations 2015. |
| Relevant Organisations | Shall have the meaning given to it at Question 8.1 at Section 8 of Appendix A (Resilience). |
| Response | The Supplier’s response to the SQ including any accompanying documentation.  |
| Scoring Approaches | The manner in which the Bank will score Supplier’s Responses for the relevant Selection Criteria, as set out in Section 8 (Scoring Approach). |
| Selection Criteria  | The criteria against which Supplier’s Responses will be evaluated as set out in Section 7 (Selection Criteria).  |
| Selection Questions | The questions a Supplier should provide a response to as set out in Appendix A.  |
| Selected Supplier | A Supplier who is in the top five (5) scoring Suppliers following completion of the Bank’s evaluation process. |
| SQ Response Deadline | The deadline for submission of completed Responses as set out in Table 2 in paragraph 3.1 of this SQ. |
| SI | Systems Integrator. |
| Supplier/You/Your | Refers to the potential supplier completing the SQ i.e. the legal entity responsible for the information provided.  |
| Testing Frameworks | Shall have the meaning given to it at Question 10.1 at Section 10 of Appendix A (Testing). |
| Testing Requirements | Shall have the meaning given to it at Question 10.1 at Section 10 of Appendix A (Testing). |
| TDP | Technology Delivery Partner. |
| Threat Actors | An individual or entity that has the potential to impact on the security of a system, including Highly Skilled Threat Actors. |
| Turnover Threshold | Shall have the meaning given to it at Question 4.1 at Section 4 of Appendix A (Accounts). |

**Structure of this Document**

This document has been divided into the following areas:

|  |  |
| --- | --- |
| Section 1 | Introduction. |
| Section 2 | Describes at a high level the Bank’s requirements. |
| Section 3 | Describes the timetable for this procurement process. |
| Section 4 | Describes how Suppliers should complete the SQ, and how and when to apply. |
| Section 5 | Describes the implications of confidentiality, the Freedom of Information Act and the Data Protection Act. |
| Section 6 | Explains how the Bank will choose its Selected Suppliers.  |
| Section 7 | States the Selection Criteria against which Suppliers will be assessed, and the relative weightings of those Selection Criteria. |
| Section 8 | Sets out the Scoring Approaches the Bank will use to assess the Selection Criteria.  |
| Section 9 | Sets out the evaluation methodology for how Responses will be assessed. |
| Section 10 | Sets out how the Bank may use Assurance Reports. |
| Section 11 | Sets out requirements for security vetting and signing of Non-Disclosure Agreement. |

**Appendix A:**  This contains the Selection Questions to be completed by the Supplier. This should be completed and returned, along with supplementary information requested, before the SQ Response Deadline.

|  |  |
| --- | --- |
| Part 1 | Contains a series of general questions regarding the Supplier.*Section 1: Supplier Information* |
| Part 2 | Contains questions relating to the Supplier’s good standing:*Section 2: Mandatory Exclusion Grounds**Section 3: Discretionary Exclusion Grounds*  |
| Part 3 | Contains Selection Questions regarding the Supplier’s economic and financial standing:*Section 4: Financial Standing**Section 5: Insurance*  |
| Part 4 | Contains Selection Questions regarding the Supplier’s technical and professional ability:*Section 6: Security* *Section 7: Payments Experience**Section 8: Resilience**Section 9: Complex Systems Integration**Section 10: Testing* |

#  Introduction

## This SQ is issued by the Bank in connection with the procurement of a renewed Real Time Gross Settlement (RTGS) service which follows the Competitive Dialogue procedure under the Public Contract Regulations 2015.

## This SQ has been produced to enable the Bank to evaluate the general standing, economic and financial standing, and technical and professional ability of those organisations that have expressed interest in the Process in accordance with and in response to the OJEU Contract Notice. This SQ is available to all parties who wish to be considered as participants in the Process.

## Following completion of this SQ stage, the Bank’s intention is to have a shortlist of up to five (5) qualified Suppliers who will progress to the next stage of this Process.

## **The Requirement**

# *Background context to RTGS*

## The Bank operates the RTGS service, infrastructure that holds accounts for banks, building societies and other institutions. The balances in these accounts can be used to move money in real time between these account holders. This delivers final and risk-free settlement. The Governor of the Bank of England described the RTGS service as “[the backbone of every payment in the UK](https://www.bankofengland.co.uk/speech/2018/mark-carney-speech-at-the-lord-mayors-bankers-and-merchants-dinner-mansion-house)”.

## The current RTGS infrastructure is over 20 years old and, despite its strong operational record, it needs to be modernised and developed to meet today’s needs, to ensure a balance between the safeguarding of stability whilst enabling innovation.

## The Bank has established the Programme to deliver this change. Ultimately the cost of change will be borne by the industry, who will have the benefit of that renewed service. However, achieving value for money is key to the Bank when implementing this change and it is seeking suppliers who can support this. As well as replicating the functionality provided today, the new RTGS service will deliver a range of new features and capabilities for payments and settlements between financial institutions. The Bank’s vision for the renewed RTGS service is organised around five (5) key features: higher resilience, broader access, wider interoperability, improved user functionality and strengthened end-to-end risk management of the high value payment system.

## More information can be found on the Bank’s website: (<https://www.bankofengland.co.uk/payment-and-settlement/rtgs-renewal-programme>).

# *Supplier and Bank split of responsibilities*

## The renewed RTGS will be delivered by the TDP and the Bank working together in close partnership. This means that the Programme will operate using multiple modes of delivery for specific deliverables. The following modes of delivery may be employed throughout the Programme:

## Mode 1 - the TDP designs and builds a component;

## Mode 2 - the Bank selects a product but wants the TDP to provide the services and warrant the end to end solution; and

## Mode 3 - the Bank provides a component as a client-furnished item for integration.

## Given the complex nature of the Programme there will need to be clear boundaries that set out the responsibility and ownership over aspects of the solution and delivery. These are outlined at a high-level below.

## *TDP responsibilities*

## It is currently intended that the TDP will primarily be responsible for;

## the build of the replacement for the Core Settlement Engine (**CSE**),

## the design and delivery of the integration of the end to end replacement RTGS services.

## The CSE sits at the heart of the RTGS system. The Bank has taken the decision that this CSE will be a bespoke build carried out by the TDP. This bespoke build will be the responsibility of the TDP; however the Bank will work closely and collaboratively with the TDP to facilitate the delivery of this item. It is anticipated that the CSE will be the only bespoke build component of the architecture that the TDP will be responsible for, and the application development skills demanded of the TDP will be exercised mostly through this component.

## The end to end integration of the other RTGS services will then complete the solution, utilising the SI experiences and skills of the TDP. This will provide a wrapper around the entire system ensuring that all components within the architecture work together to produce the desired business services. The integration services will be required across new off the shelf products as well as incumbent Bank owned systems.

## These two areas will form the majority of the critical work that the TDP will be required to carry out. The TDP will however also be responsible for the successful delivery (and deployment) of various other components within the solution architecture. This may include but not be limited to the:

## Financial Messaging Gateway

## API Gateway

## Public Key Infrastructure (**PKI**)

## External Access Management

## Integration with contingency/tertiary settlement solution

## Outside of the responsibilities outlined above, there are various other components of the solution architecture that the Bank will be responsible for as outlined below.

## *Bank responsibilities*

## The Bank will work closely and collaboratively with the TDP. Whilst the TDP will retain overall accountability, there will be certain aspects of the architecture that the Bank currently expects to lead on. This may include but not be limited to the:

## Integration Layer product

## CRM – Billing and Charging

## Analytics and Reporting

## Internal Access Management

## Internal Security Products

## Infrastructure

## As well as these technical architecture components, the Bank is responsible for the overall Programme, including industry readiness. Given the number of external users of RTGS, considerable work and interaction will be necessary to ensure that they are all ready and prepared to transition to the renewed system at the right times.

# *Context for the Selection Questions*

## The Bank has set a high bar for Suppliers in the Selection Questions. The following key points below are outlined in order to provide some clarity as to why this bar has been set, and why the TDP must be suitably experienced to carry out the role.

## Resilience: Resilience is at the heart of the renewed and current service and is a criterion that must be met by the TDP. High resilience against all hostile threats and operational risks is imperative. The Bank would look for assurances that the TDP has worked successfully with suitably resilient and critical systems previously to ensure that it can be confident that this attribute will be embedded throughout the Programme.

## Availability: RTGS requires high uptime availability, and the renewed service will be tasked with the same requirement. Should RTGS experience an outage there is potential for the entire UK economy to be affected. Having experience of designing and delivering highly available and critical systems would be essential from the TDP.

## Security: RTGS is a key part of national infrastructure. It is the platform through which monetary policy decisions are implemented and provides liquidity to the financial system. In view of this it is important that comprehensive security controls are deployed to protect the renewed RTGS service, reflective of the sophisticated threats that national infrastructure is subject to. The Bank must have assurance and confidence that the TDP has relevant approaches and experiences of working in highly secure environments, similar to that which will pervade throughout this Programme.

## Finality of settlement: RTGS demands finality of settlement across one consistent ledger. RTGS acts as the authority on settlement across the financial system and must be able to, with certainty, report the correct settlement figures across its unique ledger. This means that zero data loss is required, as the integrity of the data is a pre-requisite for ensuring finality of settlement.

## Payments Experience: Building an RTGS service represents a uniquely complex set of problems to solve around settlement, queue management, data replication and resilience, all encompassed within the same system. The Bank retains a large amount of knowledge on each of these points in-house, however will look for skills and experience across these payments areas from the TDP.

## It is expected successful Suppliers would comply with the key principles set out in the Bank’s Supplier codes of conduct as included on ProContract access to which is detailed in paragraph 4.1.1.

## **Timetable for the Process**

## The provisional timetable for the Process is set out below. This is a guide only and, whilst the Bank does not intend to depart from the timetable, it reserves the right to do so at any time and for any reason.

*Table 2: Timetable for the Process*

| **Event Description** | **Start Date** |
| --- | --- |
| OJEU Contract Notice and SQ issued. | 8th February 2019 |
| Clarification Deadline.  | 27th February 2019 |
| SQ Response Deadline. | Midday on 15th March 2019 |
| SQ evaluation concludes. | April 2019 |
| Issue Invitation to Participate (**ITP**). | June 2019 |
| Issue Invitation to Continue Participation (**ITCP**). | October 2019 |
| End of dialogue. | December 2019 |
| Best and Final Offers (**BAFO**) Submission. | January 2020 |
| Sign Contract. | May 2020 |

# Instructions for Completion

## How to submit a Response

## You should provide a Response to the questions set out in Appendix A to this document. Your Response must be uploaded, and submitted on the Bank’s eTendering tool, ProContract ([www.bankofenglandtenders.co.uk](http://www.bankofenglandtenders.co.uk)) 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 Bank 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 Your Response, please contact the ProContract helpdesk: procontractsuppliers@proactis.com.

## Completion of SQ

## Suppliers should answer all Selection Questions 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 Bank has not set out within this SQ its detailed requirements for the delivery of services under the Contract. This information will be set out in other procurement documents published at later stages of the Process.

## Suppliers are responsible for analysing and reviewing all information provided in this SQ and for forming their own opinions, and should notify the Bank 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 this SQ (including section 10 (Assurance on Responses)) or unless otherwise allowed by applicable law, the Responses will be the single source of information used by the Bank in establishing if the Supplier’s Response is deemed to be acceptable. Suppliers are advised not to provide any information additional to that specifically requested in the SQ within their Response.

## Any 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 (subject to the Supplier having been invited by the Bank to proceed to the next stage of the Process), the Supplier must provide the Bank promptly with full written details of the relevant change(s). The Bank may re-apply the SQ assessment at this point, regardless of what stage of the Process, which may result in the Supplier being disqualified from the Process.

## The Bank 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 failure to comply with any other instructions contained in this 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 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 Bank.

## Suppliers should adhere to the word limits set out underneath each Selection Question. Where answers exceed the word limit specified, the Bank reserves the right to only consider the initial words. For example, if a 200 word answer is submitted for a Selection Question where the word limit is 100 words, only the first 100 words of the answer may be evaluated. The word limits are the maximum number of words allowed per topic and are not a recommendation by the Bank on the length of a response – each Supplier should determine the appropriate length of its answer within the maximum word limits.

##  Questions about the SQ or the procurement

## All questions in regard to the SQ must be submitted via ProContract. Questions must be submitted on or preferably before the Clarification Deadline. No approach of any other kind in connection with this SQ should be made to any person within, or associated with, the Bank.

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

## We recommend that Suppliers start to complete their 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 Bank will, as far as is practical, be responded to within five (5) working days.

## What happens after a SQ is submitted?

## The Bank will assess the Responses and make its assessment as set out in this SQ. Suppliers will be selected in accordance with the provisions of section 6 (Supplier Selection), Section 7 (Selection Criteria), Section 8 (Scoring Approach), Section 9 (Evaluation methodology and Section 10 (Assurance on Responses) of this SQ.

##  Additional Terms of Procurement

## No information contained in the SQ or in any communication made between the Bank 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 Bank 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 Process 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 Response. Under no circumstances will the Bank incur any liability in respect of this SQ or any supporting document.

## Where the Bank suspects anti-competitive behaviour, it 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 Process.

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

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

## The Bank is a public authority subject to the off-payroll working in the public sector legislation which came into force in April 2017 (see Sections 61K to 61X of Chapter 10 of Part 2 of the Income Tax (Earnings and Pensions) Act 2003). The off-payroll working rules require, in circumstances where an individual providing services through a personal services company would have been an employee for tax purposes if they were providing their services directly to a public authority, that the individual pays broadly the same income tax and National Insurance contributions as an employee. Prior to entering into any Contract the Bank will assess whether the legislation applies to any individual assigned by a successful supplier to work on the Programme and inform it of the outcome of its assessment. Where the off-payroll working rules apply income tax and employee National Insurance contributions will need to be deducted from payments made to the relevant individual’s personal services company. In addition employer National Insurance contributions and possibly apprenticeship levy will need to be paid by the entity making the payments to that personal services company. Any successful Supplier would need to take make its own determination as to their obligations under such provisions.

# Confidentiality, Freedom of Information and Data Protection

## The Supplier shall not, without the prior written consent of the Bank, advertise or publicly state that it has received this SQ or that it has or intends to submit a Response to this SQ.

## 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 Bank in connection with this SQ, and shall not divulge the same without the prior written consent of the Bank.  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 Process.

## The Supplier should note that the Bank is subject to the FOIA and the Bank may be required to disclose details of the Supplier’s Response in response to a FOIA request from third parties, either during or after the SQ process. The Bank 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 Bank 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 Bank of a blanket labelling of its entire Response as confidential.

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

## Once the Process is complete the Bank 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 General Data Protection Regulation (EU) 2016/679). Where such information is provided, the Supplier agrees to such Personal Data being collected, held and used by the Bank in accordance with and for the purposes of administering this Process 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 General Data Protection Regulation (EU) 2016/679, Data Protection Act 2018, 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 Bank the Personal Data, and allow the Supplier to carry out the SQ process. The Supplier shall immediately notify the Bank if any of the consents are revoked or changed in any way which impacts on the Bank’s rights or obligations in relation to such Personal Data.

# Supplier Selection

## The Bank may remove from the Process any Supplier who:

## Provides an unsatisfactory answer to any of the Selection Questions. Unsatisfactory answers may include inadequately or incorrectly completed questions or missing information; or

## Fails to meet the standards for any of the Selection Criteria as detailed in Section 7 (Selection Criteria) of this SQ. For the avoidance of doubt this includes where a Supplier is awarded with a “Fail” for its answer to any Selection Question.

## Supplier’s Responses shall be evaluated in accordance with Section 7 (Selection Criteria), Section 8 (Scoring Approach) and Section 9 (Evaluation Methodology) of this SQ. Some Selection Questions are not scored. These are identified in Table 3.

## Of the Suppliers that have not been disqualified (as set out above), the Bank currently intends to select up to five (5) Suppliers who score the highest to proceed to the next stage of the Process, subject to Section 10 (Assurance on Responses) of this SQ.

## **Selection Criteria**

## Responses will be evaluated using the criteria and weightings below. Responses will be judged in accordance with the Scoring Approaches detailed in Section 8 (Scoring Approach) of this SQ.

*Table 3 – Selection Criteria*

|  |  |  |  |
| --- | --- | --- | --- |
| **Section of Appendix A** | **% Section Weighting** | **Question** | **% Question sub-weighting** |
| *Part 1 of Appendix A – Supplier Information*  |
| Section 1 of Appendix A: Potential Supplier information and bidding model. | For information  | All questions  | For information  |
| *Part 2 of Appendix A – Exclusion Grounds* |
| Section 2 of Appendix A: Mandatory Exclusion Grounds. | Pass/Fail | All questions | Pass/Fail |
| Section 3 of Appendix A: Discretionary Exclusion Grounds. | Pass/Fail | All questions | Pass/Fail |
| *Part 3 of Appendix A – Economic and Financial Standing* |
| Section 4 of Appendix A: Financial Standing | Pass/Fail | Question 4.1 | Pass/Fail |
| Section 5 of Appendix A: Insurance | Pass/Fail | Question 5.1 | Pass/Fail |
| *Part 4 of Appendix A – Technical and Professional Ability*  |
| Section 6 of Appendix A: Security  | Pass/Fail and 15 | Question 6.1 | Pass/Fail |
| Question 6.2 | Pass/Fail  |
| Question 6.3 | Pass/Fail and 17 |
| Question 6.4 | Pass/Fail and 17 |
| Question 6.5 | Pass/Fail and 8 |
| Question 6.6 | Pass/Fail and 5 |
| Question 6.7 | Pass/Fail and 8 |
| Question 6.8 | Pass/Fail and 8 |
| Question 6.9 | Pass/Fail and 17 |
| Question 6.10 | Pass/Fail and 8 |
| Question 6.11 | Pass/Fail and 8 |
| Question 6.12 | Pass/Fail and 4 |
| Section 7 of Appendix A: Payments Experience | Pass/Fail and 30 | Question 7.1.1 | Pass/Fail and 40 |
| Question 7.1.2 | 20 |
| Question 7.1.3 | 20 |
| Question 7.1.4 | 20 |
| Section 8 of Appendix A: Resilience | Pass/Fail and 20 | Question 8.1 | Pass/Fail and 50 |
| Question 8.2 | Pass/Fail and 50 |
| Section 9 of Appendix A: Complex Systems Integration | Pass/Fail and 30 | Question 9.1 | Pass/Fail |
| Question 9.2.1 | 30 |
| Question 9.2.2 | 12.5 |
| Question 9.2.3 | 12.5 |
| Question 9.2.4 | 10 |
| Question 9.2.5 | 10 |
| Question 9.2.6 | 10 |
| Question 9.2.7 | 5 |
| Question 9.2.8 | 10 |
| Section 10 of Appendix A: Testing | 5 | Question 10.1 | 50 |
| Question 10.2 | 50 |

# Scoring Approach

**Section 2 of Appendix A: 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 of Appendix A: 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.

**Section 4 of Appendix A: Financial Standing**

## Question 4.1 – the Scoring Approach at Table 4 below will be applied. If You score a Fail You will be removed from the Process

*Table 4 – Scoring Approach for Question 4.1*

|  |  |
| --- | --- |
| **Score** | **Criteria** |
| Pass | The Supplier meets the Turnover Threshold **and** demonstrates adequate financial standing. |
| Fail | The Supplier does not meet the Turnover Threshold **and/or** does not demonstrate adequate financial standing. |

**Section 5 of Appendix A: 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 6 of Appendix A: Security**

## Question 6.1: Suppliers will be excluded from the Process if the Bank does not have suitable confirmation they have performed a contract, within the last five (5) years, which required technical development work to be conducted at HMG SECRET classification[[1]](#footnote-1).

## Questions 6.2: the Scoring Approach at Table 5a below will be applied. If You score a Fail You will be removed from the Process.

## Questions 6.3 to 6.12 (inclusive) – the Scoring Approach at Table 5(b) below will be applied. If You score a Fail in respect of any of questions 6.3 to 6.12 You will be removed from the Process.

*Table 5a Scoring Approach for Question 6.2*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| Pass | Response gives the Bank sufficient confidence that a Supplier has, or will have prior to the start of any Contract, access to a List X[[2]](#footnote-2) facility which is suitable to undertake technical development work at HMG SECRET classification and for such facility to have sufficient capacity and equipment for both its staff and up to 20 Bank personnel to work on-site at any given point in time.  |
| Fail | Response **does not** give the Bank sufficient confidence that a Supplier has, or will have prior to the start of any Contract, access to a List X facility which is suitable to undertake technical development work at HMG SECRET classification and for such facility to have sufficient capacity and equipment for both its staff and up to 20 Bank personnel to work on-site at any given point in time.  |

*Table 5b Scoring Approach for Questions 6.3 to 6.12 (inclusive)*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| 10 | Response gives the Bank a high level of confidence that the Supplier meets the requirement set out in the relevant question.  |
| 8 | Response gives the Bank a reasonable level of confidence that the Supplier meets the requirement set out in the relevant question.  |
| 4 | Response gives the Bank limited confidence that the Supplier meets the requirement set out in the relevant question.  |
| Fail | Response gives the Bank insufficient confidence that the Supplier meets the requirement set out in the relevant question.  |

## Further detail is included within each question of what the Bank would be seeking from Suppliers to meet the above criteria.

## The Bank’s evaluation will be based on the answer provided to the question, however the Supplier should appendix any relevant internal policy, procedural, guidance or other documents which support the description provided. The Bank will gain greater confidence where the internal policies, procedures and guidance provide support for the descriptions provided.

**Section 7 of Appendix A**: **Payments Experience**

## Question 7.1: Each of the Scoring Approaches set out in Table 6 will be applied to the entire answer and weighted in accordance with the sub-weightings detailed in Section 7 (Selection Criteria) of this SQ.

## If You score a Fail in respect of Question 7.1.1 (Settlement Engine) You will be removed from this Process.

*Table 6 Scoring Approach for Question 7.1*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| **7.1.1** | **Settlement Engine** |
| 10 | Response demonstrates Supplier has designed **and** built a cash or securities settlement engine for a Real Time Gross Settlement system (RTGS) or other Financial Market Infrastructure. |
| 8 | Response demonstrates Supplier has designed **or** built a cash or securities settlement engine for a RTGS or other Financial Market Infrastructure. |
| 4 | Response demonstrates Supplier has built a bespoke core payment engine[[3]](#footnote-3) **or** implemented a third party RTGS package. |
| Fail | Response does not demonstrate the Supplier meets any of the criteria for the above scores. |
| **7.1.2** | **Queue Management**  |
| 10 | Response demonstrates Supplier has designed **and** built a complex payment queuing mechanism to provide optimised processing or settlement including deadlock detection and release. |
| 8 | Response demonstrates Supplier has designed **or** built a complex payment queuing mechanism to provide optimised processing or settlement including deadlock detection and release. |
| 4 | Response demonstrates Supplier has implemented a solution that has some queuing functionality. |
| 0 | Response does not demonstrate the Supplier meets any of the criteria for the above scores. |
| **7.1.3** | **Replication**  |
| 10 | Response demonstrates Supplier has designed **and** implemented a bespoke application level cross-site data replication solution. |
| 8 | Response demonstrates Supplier has implemented a payment engine using an off-the-shelf transaction-level replication technology (e.g. dataguard). |
| 0 | Response does not demonstrate the Supplier meets any of the criteria for the above scores. |
| **7.1.4** | **Resilience** |
| 10 | Response demonstrates Supplier has designed bespoke resilience features into a payments solutions to ensure data integrity and system availability. |
| 4 | Response demonstrates the Supplier has implemented resilience features into a payments solutions and adequately describes the resilience approach of that system. |
| 0 | Response does not demonstrate the Supplier meets any of the criteria for the above scores. |

**Section 8 of Appendix A: Resilience**

## Questions 8.1 and 8.2: The Scoring Approaches at Tables 7 and 8 below will be applied.

## If You score a Fail in respect of Questions 8.1 and/or 8.2 You will be removed from this Process.

*Table 7 Scoring Approach for Question 8.1*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| 10 | Response demonstrates that the Supplier has experience of:1. designing **and** delivering a technology system for a Relevant Organisation; and
2. such technology system met all three of the Attributes.
 |
| 8 | Response demonstrates that the Supplier has experience of:1. designing **or** delivering a technology system for a Relevant Organisation; **and**
2. such technology system met all three of the Attributes.
 |
| 4 | Response demonstrates that the Supplier has experience of:1. designing **and** delivering a technology system for a Relevant Organisation; **and**
2. such technology system met two out of the three Attributes
 |
| 2 | Response demonstrates that the Supplier has experience of:1. designing **or** delivering a technology system for a Relevant Organisation; **and**
2. such technology system met two out of the three Attributes.
 |
| Fail | Response demonstrates that the Supplier has experience of designing and/or developing a technology system for a Relevant Organisation, but such technology system did not meet two or more of the Attributes.**OR**Response does not demonstrate that the Supplier has experience of designing and/or developing a technology system for a Relevant Organisation.  |

*Table 8 Scoring Approach for Question 8.2*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| 10 | Response demonstrates: 1. Experience of designing and/or developing a technology system which required mitigants to be in place against threats from Highly Skilled Threat Actors;  **and**
2. A clear and detailed understanding of the threats faced and a strong approach to mitigating threats identified.
 |
| 8 | Response demonstrates: 1. Experience of designing and/or developing a technology system which required mitigants to be in place against threats from Highly Skilled Threat Actors; **and**
2. A reasonable but not clear and detailed understanding of the threats faced and/or a reasonable but not strong approach to mitigating threats identified.
 |
| 4 | Response demonstrates: 1. Experience of designing and/or developing a technology system which required mitigants to be in place against threats from lower skilled threat actors, but not Highly Skilled Threat Actors; **and**
2. A clear and detailed understanding of the threats faced and a strong approach to mitigating threats identified.
 |
| 2 | Response demonstrates: 1. Experience of designing and/or developing a technology system which required mitigants to be in place against threats from lower skilled threat actors, but not Highly Skilled Threat Actors; **and**
2. A reasonable but not clear and detailed understanding of the threats faced and/or a reasonable but not strong approach to mitigating threats identified.
 |
| 0/Fail | Response 1. does not demonstrate experience of designing and/or developing a technology system which required mitigants to be in place against threats from either Highly Skilled Threat Actors **or** lower skilled threat actors; **and/or**
2. demonstrates no understanding or only a limited understanding of the threats faced, with no clear approach to mitigating threats identified.
 |

**Section 9 of Appendix A: Complex Systems Integration**

## Question 9.1: Failure to provide at least one previous example of where You have been a prime SI for a complex large scale contract, will lead to You being removed from this Process. In this context a complex large scale contract means a multi-year contract for the delivery and implementation of a technology solution with a total contract value of £30m or more.

## Question 9.2: The Scoring Approach in Table 9 below will be applied. Each of a Supplier’s answers to Questions 9.2.1 to 9.2.8 will be marked separately and sub-weighted as detailed at Table 3. Further detail is included within the questions of what the Bank would be seeking from Suppliers to meet the criteria.

## **If a Supplier scores a 0 on two or more of the Selection Questions 9.2.1 to 9.2.8 (inclusive), that Supplier will be removed from the Process.**

*Table 9 Scoring Approach for Question 9.2*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| **10** | Response demonstrates excellent experience and expertise |
| **8** | Response demonstrates good experience and expertise |
| **4** | Response demonstrates satisfactory experience and expertise |
| **0** | Response does not demonstrate satisfactory experience or expertise |

**Section 10 of Appendix A: Testing**

## Questions 10.1 and 10.2: The Scoring Approaches at Tables 10 and 11 below will be applied. Further detail is included within the questions of what the Bank would be seeking from Suppliers to meet the criteria.

*Table 10 Scoring Approach for Question 10.1*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| 10 | Response demonstrates: 1. Experience of implementing **all three (3)** Testing Frameworks within one contract more than once; and
2. All eight (8) Testing Requirements have been met.
 |
| 8 | Response demonstrates:1. Experience of implementing **all three (3)** Testing Frameworks within one contract more than once; and
2. At least six (6) Testing Requirements have been met.
 |
| 4 | Response demonstrates: 1. Experience of implementing **automated unit testing** and **automated end to end regression testing** within one contract more than once; and
2. At least four (4) Testing Requirements have been met.
 |
| 2 | Response demonstrates: 1. Experience of implementing **automated end to end regression testing** more than once; and
2. At least four (4) Testing Requirements have been met.
 |
| 0 | Response does not demonstrate 1. Experience of implementing **automated end to end regression testing** more than once; or
2. At least four (4) Testing Requirements have been met.
 |

*Table 11 Scoring Approach for Question 10.2*

|  |  |
| --- | --- |
| **Score** | **Scoring Rational** |
| 10 | Supplier’s previous experience is excellent.  |
| 8 | Supplier’s previous experience is good. |
| 4 | Supplier’s previous experience is satisfactory. |
| 0 | Supplier’s previous experience is poor or insufficient detail is provided to enable a better score to be awarded. |

# Evaluation Methodology

## Where a question is scored, that question will be scored as against the relevant Selection Criteria and Scoring Approach.

## For all questions except those detailed at Part 1, Part 2, Part 3 of Appendix A and Question 6.1 a scoring panel will be appointed. Different scoring panels will be appointed for different questions. The scoring panel will agree a final score. Each panel member will undertake an independent evaluation before the consensus scoring.

## Once the relevant questions have been evaluated and a score awarded, these scores will then have the sub-weightings applied to them as detailed in Table 3.

## For example, where a score of 8 out of 10 has been awarded and the sub-weighting for that question is 15% the mark will be calculated by taking the score of 8 dividing this by 10 and then multiplying this by 15, giving a final sub-weighted mark of 12.

*Table 12 – Example of evaluation methodology*

|  |  |  |  |
| --- | --- | --- | --- |
| **Score** | **Top Score Available**  | **Weighting** | **Weighted Score** |
| 8 | 10 | 15% | 12 |

## The sub-weighted questions score for a section of questions will then be added to give a total section score and the total section score will then be weighted in accordance with the weightings detailed at Table 3 to give an overall score.

# Assurance on Responses

## The Bank reserves the right at any point to undertake its own due diligence of the information each Supplier has provided as part of their Response, including: (i) by seeking confirmation of those Responses from a previous client; (ii) credit reference reports; (iii) staff interviews; and/or (iv) via the use of the Assurance Reports (as described in paragraph 10.4).

## If the outcome of this assurance activity results in a Suppliers’ Response being non-compliant or inaccurate, the Bank may remove that Supplier from the Process.

## Further, the Bank reserves the right to change the scores allocated to Responses in light of its findings from this assurance activity. Any changes to the scores will be documented and the justification for a change in score will be recorded. In circumstances whereby the Bank has completed its evaluation and a change to the scores would not impact on the outcome of the Bank’s evaluation, a Selected Supplier shall, subject to paragraphs 10.2 and 10.5, be invited to proceed to the next stage of the Process. In circumstances whereby a change to the scores would impact on the outcome of the Bank’s evaluation, the Bank may revoke that Supplier’s Selected Supplier status. The Bank would then proceed with the next highest scoring Supplier, subject to the assurance activity set out above.

## The Bank may, in cooperation with third party governmental departments and commercial security organisations, undertake assurance reports on the Suppliers to satisfy itself that a Supplier is suitable for the Programme (**Assurance Report**). The Assurance Report will aim to identify any key concerns and may consider both publicly available information and information received from third party sources, taking a holistic view of the Supplier’s status (including, for example, countries of operation and previous incidents.)

## Where the Assurance Report highlights a security risk for the Bank in proceeding with the Supplier, the Bank, where it is not restricted from doing so, will seek to discuss the findings with the Supplier. Where the Bank determines (either without or following discussions with the Supplier) that, in continuing with the Supplier, it cannot guarantee the protection of its essential security interests; the Bank may remove that Supplier from the Process. The Bank will be under no obligation to provide reasons for such decision where doing so would oblige the Bank to provide information, the disclosure of which it considers contrary to its essential of security interests.

# Vetting and Confidentiality for Selected Suppliers

## Selected Suppliers will be required to enter into a Non-Disclosure Agreement with the Bank, prior to any documents being released for the next stage of the Process. Where requested by the Bank, Selected Suppliers shall also ensure their staff and agents involved in the Process sign the Bank’s declaration of secrecy. The security requirements for Selected Suppliers are set out in the Bidder Security Requirements document. All three (3) documents are available on ProContract. The Bank may not proceed with any Supplier who does not comply with this paragraph 11.1.

## Individuals who are members of a Selected Supplier’s bid team and as such will have access to confidential procurement documents issued at the next stage of the Process will be required, subject to paragraph 11.5, to have UK government SC security clearance (**SC clearance**)[[4]](#footnote-4), prior to such access being provided.

## For those individuals who do not already hold SC clearance, the Bank will undertake this vetting process prior to the start of the next stage of the Process. All Suppliers should therefore submit a list of individuals who will form part of its bid team, along with the information required for the vetting process as detailed in the documents entitled Bid Team Vetting Form, Security Vetting Application Form and Confirmation Transfer Form, (available on ProContract) on or before the SQ Response Deadline.

## Access to confidential information shared by the Bank shall be restricted to those individuals who have the necessary clearance. If additional individuals are added to the bid team at a later date, the Bank will, where possible, vet such individuals in accordance with paragraph 11.3 or 11.5. However, Suppliers should note such vetting processes can take between six (6) to eight (8) weeks (or longer) and the Bank does not intend to amend the timetable for this Process to allow any additional time for such vetting to be undertaken.

## UK government SC clearance is restricted to individuals who are resident within the UK and have an address history for the past five (5) years. If members of Your bid team are not resident in the UK, this should be flagged on the Bid Team Vetting Form provided to the Bank. The Bank will seek to undertake security checks on such individuals to provide a level of assurance on each individual equivalent to that provided by SC clearance. Where such assurance can, in the Bank’s discretion, be provided, the Bank will allow such individuals access to the relevant information. Where the Bank cannot gain the necessary assurance, Selected Suppliers will be required to remove that individual from the bid team and shall not provide that individual with any access to the Bank’s confidential information.

# Appendix A: Selection Questions

**WHEN RESPONDING TO THE QUESTIONS IN THIS APPENDIX A, PLEASE TAKE NOTE OF THE SELECTION CRITERIA AND SCORING APPROACHES WHICH WILL BE APPLIED BY THE BANK SET OUT IN SECTION** **7 (SELECTION CRITERIA) AND SECTION 8 (SCORING APPROACH) OF THE MAIN DOCUMENT. INFORMATION IS PROVIDED WITHIN THE SCORING APPROACHES TO ASSIST SUPPLIER’S IN RESPONDING TO THE RELEVANT QUESTIONS.**

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

This SQ is a self-declaration, made by You (the 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.

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 Bank requires all the organisations that You will rely on to meet the requirements set out in the OJEU Contract Notice/SQ and the Selection Questions to provide a completed Part 1 and Part 2. For example these could be parent companies, affiliates, associates, or essential sub-contractors. Where You are bidding as a Consortium each Consortium Member must complete Part 1 and Part 2.

**Economic and Financial Standing and Technical and Professional ability: Part 3 and Part 4**

If You are bidding on behalf of a 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, there may be significant consequences. You may be excluded from the Process, and from bidding for other public 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 (5) years.

**Notes for completion**

1. 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 appendix. In deciding whether such additional information is necessary, please refer to Section 4 (Instructions for Completion) of the SQ.
2. The Bank recognises that arrangements set out in Part 1of this Appendix A, 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 Bank 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 requirements set out in the OJEU Contract Notice/SQ or the Selection Criteria. The Bank will make a revised assessment of the submission based on the updated information and this may result in the Supplier being disqualified from the Process.

## **Part 1: Supplier Information**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the requirements set out in the OJEU Contract Notice/SQ or Selection Criteria must complete and submit Part 1 and Part 2.

**Section 1 – Potential Supplier information and bidding 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)[[5]](#footnote-5)? | Yes | ☐ |
| No | ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC) [[6]](#footnote-6), 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 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), 1.2(a)-(iii) 1.2(b)-(i), 1.2(b)-(ii),1.3, Sections 2 and 3 of Appendix A.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, Sections 2 and 3 of Appendix A. |
| 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 Process.

I understand that the Bank 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.

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 set out in the OJEU Contract Notice/SQ or the Selection Criteria 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 (5) 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. | YesNo | ☐☐ |
|  |  | 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 Bank reserves the right to use its discretion to exclude a 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: Economic and Financial Standing**

**Section 4 - Financial Standing**

|  |  |
| --- | --- |
| 4.1  | Financial Standing |
| **Question: Provide the following information as to Your economic and financial standing.** The Bank requires any successful Supplier to demonstrate as a minimum adequate financial standing and a minimum turnover of £300 million per annum (**Turnover Threshold**).Please note: If a Supplier is a subsidiary of a group, the information under (a) & (b) is required for both the subsidiary and its parent company. Where a Consortium is proposed, the information is required under (a) & (b) for each Consortium Member and the ultimate parent company of each Consortium Member where that member is a subsidiary. Where a Consortium is proposed at least one member of the Consortium must individually meet the Turnover Threshold. **Please note the Bank may require, at its discretion, a parent company guarantee to be provided if the Supplier is successful. Failure to provide such parent company guarantee when requested may mean the Supplier is disqualified from the Process.** |

|  |  |
| --- | --- |
| (a) | A copy of Your audited accounts for the last two (2) years. Where audited accounts are not available please advise the Bank via ProContract, giving reasons. In some circumstances management accounts or similar may be acceptable. |
| (b) | The following data:Please ensure that where appropriate these data can be reconciled to the audited accounts provided under (a). |
| **Measure** | **Last financial year**  | **Previous financial year**  |
| Company turnover |  |  |  |
| Gross profit margin |  |  |  |
| Ratio of current assets to current liabilities |  |  |  |
| Ratio of total debt to net worth |  |  |  |
| Are there significant future developments planned during the term of this Contract to the Supplier, parent company or group structure? These may include: change in financial structure; change in ownership; prospective take-over bids; or closures.Yes/No |
| If yes, describe.(Max 1000 words) |

**Section 5 - Insurance**

Suppliers who self-certify that they meet the insurance requirements will be required to provide evidence of this if they are successful at contract award stage. If such evidence is not provided, the Supplier shall be removed from the Process.

|  |  |
| --- | --- |
| 5.1  | Insurance  |
| **Question**: 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:  |
| a. | Employer’s (Compulsory) Liability Insurance = £10million | Yes | ☐ |
| No | ☐ |
| b. | Public Liability Insurance = £10million | Yes | ☐ |
| No | ☐ |
| c. | Professional Indemnity Insurance = £5million | Yes | ☐ |
| No | ☐ |
| d. | Product Liability Insurance = £5million | 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.*

## **Part 4: Technical and Professional Ability**

**Section 6 - Security**

Please include Your answers to the questions in the space provided, remaining within the word limits set out in the individual questions. Only where relevant, please appendix the relevant internal policy, procedural, guidance or other documents which support the description provided.

|  |  |
| --- | --- |
| 6.1  | Experience at HMG Secret Classification |
| **Requirement**: It is a minimum requirement that Suppliers have performed a contract, within the last (5) years, which required technical development work to be conducted at HMG SECRET classification.**Question**: The Bank understands that Suppliers are unable to provide these details directly to the Bank. As such, please ensure that a suitable referee contacts the Bank’s Security and Privacy Division on the below email address prior to the SQ Response Date to confirm You meet this requirement. **The Bank will remove from the process any Supplier for whom it does not have suitable confirmation that this requirement is met.** RTGSRenewalSecurity@bankofengland.co.uk |
| 6.2 | Secure Facilities  |
| **Requirement**: It is a minimum requirement that prior to the start of any Contract a successful Supplier has access to a List X[[7]](#footnote-7) facility which is suitable to undertake technical development work at HMG SECRET classification and that such facility has sufficient capacity and equipment for both the Supplier’s staff (assigned to the Procurement) and up to twenty (20) Bank personnel to work on-site at any given point in time. **Question**: Please confirm that Your organisation has or will source such a facility prior to the start of the Contract and explain how this requirement is currently met or will be met. Such explanation should detail any existing facilities, including the size of any facility and nature of the work previously undertaken there. If existing facilities are not owned by the Supplier, please explain what partnerships the organisation may have with other parties to be able to meet this requirement i.e. an existing partnership where a Supplier has an agreement in place to use facilities.Where an answer does not demonstrate that the Supplier has either its own facility or an established partner to meet this requirement the Supplier **must** demonstrate that it has a credible approach to establishing such facility. **The Bank will remove from the Process any Supplier who is awarded a Fail for their answer to this question.** Your answer must be no more than 500 words. |
|  |
| 6.3 | Security within Your organisation  |
| **Question**: Describe Your organisation’s overarching approach to security. In particular, how is Your information management security system (**ISMS**) certified and/or audited? Please include details of Your alignment to ISO 27001, NIST or ISF standards or equivalent and in regards to ISO 27001 details of Your accreditation and any equivalent accreditations. In the case of any equivalent accreditation or alignment please detail the status and scope of Your ISMS, when You were last audited against that standard and by whom and detail how it demonstrates equivalence to either of ISO 27001, NIST or ISF standards. **Requirement**: The Bank is seeking a Supplier who can demonstrate information security is integral to the organisations’ internal governance and that procedures are in place to effectively manage its security risk. The Bank would expect information security to be given sufficient senior level oversight and be embedded within the governance processes for the organisation; with clear risks identified and distinct owners assigned to those risks. The Bank is seeking a Supplier who is aligned to ISO 27001, NIST, ISF standards or equivalent and whose ISMS is regularly reviewed, challenged and audited both internally and via external third parties. The Supplier should demonstrate that any feedback from such reviews and audits are incorporated into the content of their security policies. The Bank would expect any ISMS to span the scope of security risks which may arise including technical, physical, personnel and third party risks.Your answer must be no more than 700 words.  |
|  |
| 6.4 | Security Incident Management  |
| **Question**: Describe Your incident management processes and procedures and how these are implemented, reviewed and tested. Please describe examples of previous incidents You have had and how such incidents were managed and any lessons learned incorporated within Your processes. **Requirement**: The Bank is seeking Suppliers who can demonstrate they maintain a clear, well-structured and effective approach to managing security incidents including critical incident management. A Supplier should be able to demonstrate that when a security incident occurs it has procedures and processes in place to respond to that incident and ensure ongoing business continuity. Any approach should include how the Supplier ensures there are: mechanisms to ensure prompt and accurate reporting of security incidents internally; quick and clear communication of incidents to clients which may be impacted; engagement with impacted clients both at an operational and senior level; clear governance procedures to deal with the incident with sufficient senior level oversight; clear processes for recording actions and delegation of ownership for those actions; processes in place to ensure actions are followed up and mitigations identified are implemented. The approach should be embedded within the organisation and continually managed, tested and reviewed. Where relevant, a Supplier should be able to demonstrate that they have processes in place to ensure lessons learned are applied and incorporated into the organisations incident management responses.Your answer must be no more than 500 words. |
|  |
| 6.5 | Personnel Vetting  |
| **Question**: Describe Your vetting management processes. Your description should include details on the standard pre-employment checks You undertake; including what factors inform Your risk assessment decisions on potential employees and the on-going vetting Your organisation undertakes in respect of its staff. **Requirement**: The Bank is seeking a Supplier who has sufficient vetting procedures and controls in place to manage personnel security risk. The Bank will require all individuals who form part of a Supplier’s bid team at tender stage to have SC clearance (in accordance with HMG’s security classifications)[[8]](#footnote-8). Further it will be a requirement of the final Contract for any individuals involved in the provision of services to the Bank to have SC clearance. As such the Bank has particular interest in Supplier’s who already have a requirement for staff to hold SC clearance when working in roles with significant information security responsibilities or experience in having staff that hold SC clearance and as such familiar with the process. Where SC clearance has not been required, the Bank would expect Suppliers to, as standard, perform finance, criminal and reference background checks. The Bank is further seeking Suppliers who have in place processes to maintain sufficient comfort in the ongoing vetting position of their staff and resource and expertise within the organisation to manage the vetting processes. The Bank is keen to understand the factors that inform Suppliers risks assessments and is seeking Suppliers who have a clear understanding of the main risks that may be presented in the vetting process. Your answer must be no more than 500 words or a one page lifecycle plan |
|  |
| 6.6 | Secure Culture  |
| **Question**: Explain how You maintain a secure culture within Your organisation, in particular through providing employees with security awareness and education?**Requirement**: The Bank is seeking a Supplier who can demonstrate it ensures that awareness of security risks and concerns are embedded throughout its organisation. A Supplier’s staff should be aware of key security risks impacting the organisation, how to best work in a secure manner and with detailed knowledge of the security policies and procedures that are implemented by the organisation. The Bank would expect a Supplier to invest in education and training for staff to ensure they are cognisant of security matters whilst working within the organisation and in their engagement with clients and other third parties. This would include sufficient mandatory security education and awareness training to be in place to ensure colleagues within the organisation have a clear understanding of their personal security responsibilities. The highest scores are only likely to be awarded to answers which demonstrate security education strategies which capture key significant security topics such as phishing and password security for all employees and include secure software development training for all developers. Your answer must be no more than 500 words. |
|  |
| 6.7 | Access Management  |
| **Question**: Describe Your approach to access management for Your staff (and/or third party workers) with specific reference to Your joiners, movers and leavers process (**JML**).**Requirement**: The Bank is seeking a Supplier who can demonstrate it has a high degree of control over access to both its physical premises and technology systems. The Bank would expect a Supplier to have processes in place which detail how they manage and review access to sensitive information according to its classification and detail how access is managed through groups on a “need to know” basis. The Bank is ideally seeking Suppliers with expertise in managing access to sensitive information at the UK governments OFFICIAL SENSITIVE and SECRET standards and Suppliers should provide information on how access was managed in such environment. Suppliers should demonstrate that they have an information security policy for JML that denotes the security responsibilities of staff when they move internally within or leave the organisation entirely and that they have sufficient security controls in place to ensure that sensitive information is not disclosed and remains “need to know” when a member of staff moves post. The Bank is ideally seeking Suppliers who maintain a coordinated and centralised JML approach and a high score is only likely to be awarded if an answer demonstrates the Supplier has a system in place which provides for automated updates to access when staff (or third party workers join, move or leave the organisation). Your answer must be no more than 500 words. |
|  |
| 6.8 | Management of Confidential Information  |
| **Question**: Describe Your recording, retention and disposal processes for handling confidential information. Your answer should also detail how You audit such processes. **Requirement**: The Bank is seeking a Supplier who can demonstrate a high degree of control over the management of confidential information. The Bank would expect a Supplier to have information handling policies and processes in place to address how confidential information should be handled. A Supplier’s approach should be compliant with all regulatory and legislative requirements (for example General Data Protection Regulation) and demonstrate highly secure methods of disposing of confidential information, for example secure destruction of paper waste rather than only shredding such waste. Further the Bank is seeking Suppliers who have clearly nominated responsible personnel for the management of confidential information. Your answer must be no more than 500 words. |
|  |
| 6.9 | Security Capability  |
| **Question**: Please explain Your organisational approach to maintaining current defences against cyber-attack. **Requirement**: The Bank is seeking Suppliers who can demonstrate a strong approach to maintaining defences against cyber-attack. The Bank would expect Suppliers to be able to demonstrate that they are able to identify and maintain an understanding of both the general and targeted threats being faced by the organisation. The Bank would expect strong processes to be in place to mitigating threats which are specific and linked to a strong identification of the relevant threat. The Supplier should demonstrate a consistent and detailed approach is taken to identification, prevention and detection of threats, with high levels of resource and capability deployed in each of these areas.Your answer must be no more than 500 words |
|  |
| 6.10 | Secure Transmission  |
| **Question**: Please explain how You securely transmit information both internally and externally into client networks.**Requirement**: The Bank requires a Supplier who can demonstrate they have both technical solutions and security policies in place to ensure that information can be securely transmitted both within its organisation between its internal networks and also externally to client networks. The Bank would expect Suppliers to have processes which cover both the transmission of virtual data or physical information including paper copies, USB, discs etc. The Bank is seeking Suppliers who can demonstrate they have systems in place to ensure secure transmission for example government standard accredited secure email gateways or equivalent. Your answer must be no more than 500 words. |
|  |
| 6.11 | Working with Third Parties  |
| **Question**: Describe Your expertise and approach to ensuring security requirements are well managed in Your relationships with third parties, including sub-contractors. **Requirement**: The Bank is seeking Suppliers whose expertise and approach to the management of third parties demonstrates adequate processes are in place to maintain a secure supply chain. Any approach should include processes to initially assure the security of third parties’ use along with the continual review and governance to maintain such assurance and with the effective management of third party security incidents with any subsequent controls and identified actions being successfully implemented. The Bank is seeking Suppliers who can demonstrate they have the expertise to effectively flow down security requirements imposed by that organisations’ client to third parties and who have a high level of oversight and governance of the processes to ensure security is maintained. It is anticipated that a higher score will be awarded to answers which demonstrate alignment with publically recognised frameworks akin to the MoD DCPP supply chain framework and detail how they measure assurance of their suppliers meeting requirements.Your answer must be no more than 500 words  |
|  |
| 6.12 | Business Continuity Management |
| **Question**: Describe Your management processes and procedures for business continuity management and how these are implemented, reviewed and tested. **Requirement**: The Bank is seeking Suppliers who can demonstrate they maintain a clear, well-structured and effective approach to business continuity management. A Supplier should be able to demonstrate:* they have audited processes in place to demonstrate effective business continuity
* they have a policy, strategy and an activity programme to enable continuity of critical processes to be maintained in the event of disruption without significant impact on deliverables.
* risks to the loss of key persons are identified, information of assets is recognised and mitigated to enable continuity of delivery
* learning from events and incidents takes place; and
* suitable recovery strategy arrangements are in place for the loss of critical resources (including key persons) committed to contract related activity, this will include suppliers of essential services that are material to the meeting of deliverables.

Your answer must be no more than 500 words. |
|  |

**Section 7 – Payments Experience**

Please include Your answers to the questions in the space provided, remaining within the word limits set out in the individual questions.

|  |  |
| --- | --- |
| 7.1 | Payment Systems  |
| **Question**: Describe Your experience in designing, building and implementing payment systems, focusing on the key criteria and questions detailed in 7.1.1 to 7.1.4 (inclusive).Within Your answer You should describe examples of relevant previous contracts including: * details of the client (except in circumstances where You are restricted from doing so and in such circumstances a description of the type of client);
* high level details of the contract; and
* the scope of work You undertook.
 |
| 7.1.1 | Settlement Engine1. The business purpose of the systems You have built and deployed.
2. The particular features of the solution.
3. Your role(s) in the lifecycle of the system development.
 |
| 7.1.2 | Queuing Management1. How payment queue management was implemented.
2. The challenging requirements and how they were solved.
 |
| 7.1.3 | Replication1. How data replication was achieved, including ensuring data consistency and integrity.
 |
| 7.1.4 | Resilience1. What approaches did You use to ensure system resilience.
2. The application features You designed.
3. The products You used.
 |
| Your answer to questions 7.1.1-7.1.4 (inclusive) must combined be no more than 1000 words. |
|  |

**Section 8 – Resilience**

Please include Your answer to the questions in the space provided, remaining within the word limits set out in the individual questions.

|  |  |
| --- | --- |
| 8.1 | Designing and Developing a highly available system  |
| **Question**: Provide a description of a contract You have undertaken, within the past five (5) years, which: (i) has required You to design and/or deliver a technology system; (ii) for one of the organisations listed below (**Relevant Organisations**); and (iii) which has two or more of the attributes set out below (**Attributes**): **Relevant Organisations**:1. A state or central-governmental department;
2. An international governmental organisation such as the World Bank;
3. A peer (i.e. G20) central bank; or
4. A large multinational corporate.

**Attributes**:1. Required Service Availability of 99.95% or better. **Services Availability** in this context shall mean the calculated period of uptime as a percentage of the period when the service has been agreed with the client to be available (the **Agreed Service Time**, i.e., 24\*7, 22\*5).
2. A zero tolerance for data loss.
3. Is integral to, or critical for, the functioning or purposes of the Relevant Organisation.

Your description should include:* details of the client (except in circumstances where You are restricted from doing so and in such circumstances a description of the type of Relevant Organisation);
* high level details of the contract;
* the scope of work You undertook; and
* how the technology system met the Attributes.

Your answer must be no more than 500 words. |
|  |
| 8.2 | Designing and/or Developing a System Resilient to Hostile Threat Actors |
| **Question**: Provide a description of a contract You have undertaken within the past five (5) years, for the design and/or delivery of a technology system which required a high degree of resilience to hostile Threat Actors. Your description should include:* details of the client (except in circumstances where You are restricted from doing so and in such circumstances a description of the type of client),
* high level description of the contract;
* a summary of the scope of work You undertook;
* a summary of the types of threats faced by the system and Your approach to identifying those threats; and
* Your high level approach to threat mitigation.

The Bank is most interested in examples of technology systems which would likely face threats from organised crime and/or nation state groups (**Highly Skilled Threat Actors**), although if You do not have this expertise please provide an example of a system which faced threats from lower skilled Threat Actors. The Bank is seeking Suppliers who can demonstrate clear and detailed understanding of the threats that were faced with a strong approach to mitigation. Your answer must be no more than 500 words.  |
|  |

**Section 9 – Complex Systems Integration**

Please include Your answer to the questions in the space provided, remaining within the word limits set out in the individual questions.

|  |  |
| --- | --- |
| 9.1 | Previous SI experience |
| **Question**: Provide a description of a previous contract, which You have undertaken within the past five (5) years, for which You were a prime SI for a complex large scale contract. In this context a complex large scale contract means a multi-year contract for the delivery and implementation of a technology solution with a total contract value of £30m or more.Your answer should include: * details of the relevant client (except in circumstances where You are restricted from doing so and in such circumstances provide a description of the client);
* high level description of the contract;
* the scope of work which was undertaken; and
* an overview of how the technology system met the requirements set out in (a) and/or (b) above.

**Failure to provide an example which meets the requirements set out in the question, will lead to the Bank removing You from the Process.** Your answer must be no more than 350 words. |
|  |
| 9.2 | Detailed previous SI experience |
| **Question**: Please describe Your experience and expertise in the areas listed in questions 9.2.1 to 9.2.8, including the approach and methodology You followed. Where referencing previous experience please only reference contracts which You have undertaken within the past 5 years and provide: * details of the relevant client (except in circumstances where You are restricted from doing so and in such circumstances provide a description of the client);
* high level description of the contract; and
* a brief summary of the scope of work which was undertaken.

For each of the questions 9.2.1-9.2.8, the Bank is ideally seeking Suppliers who can demonstrate **significant** previous experience relevant to the question and in particular Suppliers who have demonstrated their previous experience has been undertaken whilst working on contracts where:* Supplier was a prime Systems Integrator (SI) for a complex large scale contract. In this context a complex large scale contract means a multi-year contract for the delivery and implementation of a technology solution with a total contract value of £30m or more; **OR**
* Supplier was a technical delivery partner for a highly secure technology solution which was integral to or critical for the functioning or purposes of the respective client.
 |
| 9.2.1 | Delivering the following core services, within one project.* 1. Capturing knowledge of the clients environment to enable effective delivery;
	2. Design (High Level Design and Low Level Design);
	3. Build;
	4. Test;
	5. Deployment;
	6. Production Support; and
	7. Knowledge Transfer back to client.

The Bank is particularly interested in knowledge transfer back to the client which has spanned multiple subject matters i.e. governance, processes etc. The Bank is further seeking Suppliers whose answer demonstrates that the approach and methodology used by the Supplier ensured: * Client engagement and input into selecting the methodology;
* Logical and consistent approaches which provided for end to end accountability for the Supplier;
* Clear processes to ensure risk management with evidence of suitable mitigations being put in place; and
* Ways to ensure the effectiveness of any actions was measured.

Your answer must be no more than 800 words. |
|  |
| 9.2.2 | Working within the following development methodologies: waterfall, agile, iterative. The Bank is particularly interested in Suppliers who have previous experience in each of the development modes and ideally experience of undertaking a combination of development modes within the same project; The Bank is further seeking Suppliers whose answer demonstrates that the approach and methodology used by the Supplier ensured: * Client engagement and input into selecting the methodology;
* Logical and consistent approaches which provided for end to end accountability for the Supplier;
* Clear processes to ensure risk management with evidence of suitable mitigations being put in place; and
* Ways to ensure the effectiveness of any actions was measured.

Your answer must be no more than 400 words. |
|  |
| 9.2.3 | Undertaking delivery work within the following various mixed modes of delivery:* 1. SI-led.
	2. Client recommended product, with services from the SI to implement.
	3. Client-led deliverable.

The Bank is particularly interested in previous experience in each of the delivery modes and ideally experience of undertaking a combination of the delivery modes within the same project.The Bank is further seeking Suppliers whose answer demonstrates that the approach and methodology used by the Supplier ensured: * Client engagement and input into selecting the methodology;
* Logical and consistent approaches which provided for end to end accountability for the Supplier;
* Clear processes to ensure risk management with evidence of suitable mitigations being put in place; and
* Ways to ensure the effectiveness of any actions was measured.

Your answer must be no more than 400 words. |
|  |
| 9.2.4 | Integrating a new technology solution into an existing enterprise wide technology landscape, where You have had to oversee heritage changes and integration changes.The Bank is further seeking Suppliers whose answer demonstrates that the approach and methodology used by the Supplier ensured: * Client engagement and input into selecting the methodology;
* Logical and consistent approaches which provided for end to end accountability for the Supplier;
* Clear processes to ensure risk management with evidence of suitable mitigations being put in place; and
* Ways to ensure the effectiveness of any actions was measured.

Your answer must be no more than 400 words. |
|  |
| 9.2.5 | Building a new enterprise integration layer and implementing such layer into an existing enterprise technology landscape. Your answer must be no more than 500 words. |
|  |
| 9.2.6 | Building bespoke software and integrating that bespoke software with either existing or new COTS packages. Your answer must be no more than 500 words. |
|  |
| 9.2.7 | Implementing a technology solution where the client has recommended the underlying infrastructure.Your answer must be no more than 300 words. |
|  |
| 9.2.8 | Providing application maintenance and support in an environment whereby You take accountability for the service, but underpinning functions such as Infrastructure and Service Management are performed by the client.For the avoidance of doubt, maintenance includes development and delivery of small to medium enhancements, as well as patching and testing, maintaining supportability (software version upgrades), etc.The Bank is seeking Suppliers whose answer demonstrates that the approach and methodology used by the Supplier ensured: * Client engagement and input into selecting the methodology;
* Logical and consistent approaches which provided for end to end accountability for the Supplier;
* Clear processes to ensure risk management with evidence of suitable mitigations being put in place; and
* Ways to ensure the effectiveness of any actions was measured.

Your answer must be no more than 500 words. |
|  |

**Section 10 – Testing**

Please include Your answer to the questions in the space provided, remaining within the word limits set out in the individual questions.

|  |  |
| --- | --- |
| 10.1 | Testing Frameworks |
| **Question**: Describe Your previous experience in designing, delivering and maintaining the following automation framework(s) and tests capable of supporting each stage of the software development lifecycle:1. automated testing during unit testing / component integration testing;
2. automated testing during system and integration testing; and
3. automated end to end regression testing;

(together the **Testing Frameworks**).Within Your answer You should describe examples of relevant previous contracts including: * details of the client (except in circumstances where You are restricted from doing so and in such circumstances provide a description of the client);
* high level details of the contract;
* the scope of work You undertook;
* detail of the strategy You implemented for the development, implementation and ongoing maintenance of those Testing Frameworks; and
* where relevant, how those Testing Frameworks achieved the following **requirements**, with details of the associated challenges and benefits:
	1. supported efficient, rapid development, maintenance and execution within a “continuous integration/continuous deployment” context to support fast feedback, without reference to a development methodology;
	2. achieved the short run times and need for frequent repeated runs within a “continuous integration/continuous deployment” context;
	3. were leveraged together to maximise reuse, minimise duplication of tests and significant rework of any tests, with an emphasis on this in relation to end to end regression testing;
	4. ensured that there was a suitable balance of workload of the developers, testers and automation specialists available, and took into account the need for a collaborative approach between the Suppliers team and the client;
	5. ensured integration of the Suppliers solution into an existing client automation framework;
	6. used AI / machine learning capabilities to provide for benefits of delivery;
	7. ensured the creation, management and safe destruction of data and environments used in each phase; and
	8. provided a strategy for the use of stubs, drivers and associated harnesses in each phase;

(together the **Testing** **Requirements**).Your answer must be no more than 2000 words. |
|  |
| 10.2 | Areas of Relevant Expertise |
| **Question:** Describe Your previous experience in: (i) continuous improvement; (ii) quality management; and (iii) defect prevention (together the **Areas of Relevant Expertise**), when undertaking software development projects.Within Your answer You should describe examples of relevant previous contracts. Details should include but need not be limited to:* details of the client (except in circumstances where You are restricted from doing so and in such circumstances provide a description of the client);
* high level details of the contract, including the scale of the project;
* the scope of work You undertook;
* the methods, processes and approaches You used;
* how You worked with the client in implementing consistent practises; and
* where applicable, how You have demonstrated both “release on release” and “year on year” improvements in the overall quality of **both** the delivery process and the product being delivered, focusing on:
	+ the speed of identification of issues,
	+ the speed of implementation of improvements/changes; and
	+ measuring the effectiveness of the improvement/change.

The Bank is seeking Suppliers with previous experience of addressing all of the Areas of Relevant Expertise and whose previous experience demonstrates: * Significant previous experience in those Areas of Relevant Expertise;
* Experience of addressing the Areas of Relevant Expertise on large and complex projects;
* A clear understanding of the principles of continuous improvement and how they apply in the context of a large project;
* Practices being implemented to ensure ownership of ongoing activity. The Bank’s strong preference is for Suppliers who have experience in implementing practices which ensure such ongoing activity is owned and driven by the team working on the project. The Bank will consider experience where such ongoing activity has been owned by external assurance functions, but this will be given less weight;
* Approaches being implemented which ensured consistent practises in the Areas of Relevant Expertise covering delivery activities. The Bank’s preference is for Suppliers who have experience in implementing approaches which cover all delivery activities, including client-led activities. The Bank will also consider experience of implementing approaches which cover all supplier led delivery activities, but exclude client-led activities within the lifecycle – however this will be given less weight; and
* Evidence that the supplier has implemented improvements in the overall quality of both the delivery process and the product being delivered. Ideally the Bank is seeking Suppliers who can demonstrate such improvements both year on year and also release on release (or increments within year).

Your answer must be no more than 1000 words. |
|  |

1. https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\_data/file/715778/May-2018\_Government-Security-Classifications-2.pdf [↑](#footnote-ref-1)
2. <https://www.gov.uk/government/publications/security-requirements-for-list-x-contractors> [↑](#footnote-ref-2)
3. For the avoidance of doubt a core payment engine would, for example, manage payments within an institution, whereas a settlement engine, for example, takes numerous institutions payments and settles them. [↑](#footnote-ref-3)
4. https://www.gov.uk/guidance/security-vetting-and-clearance [↑](#footnote-ref-4)
5. See EU definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-5)
6. 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-6)
7. <https://www.gov.uk/government/publications/security-requirements-for-list-x-contractors> [↑](#footnote-ref-7)
8. <https://www.gov.uk/guidance/security-vetting-and-clearance> [↑](#footnote-ref-8)