

Tender Reference Number: 2019/S 101-244606

Selection Questionnaire for P-006231/C-011462 NEPO 513 – Legal Services Framework

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

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion¹. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

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

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

Supplier Selection Questions: Part 3

The procurement document will provide instructions on the selection questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay we reserve the right to amend the contract award decision and award to the next compliant bidder.

Consequences of misrepresentation

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences. You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted

¹ For the list of exclusion please see

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf

and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

Framework Agreement for 006231 – NEPO 513 – Legal Services Framework

OPEN PROCEDURE

This Selection Questionnaire ("SQ") has been issued by the Lead Authority for use in a competitive procurement conducted in accordance with the Open Procedure above EU thresholds Procedure under the Public Contract Regulations 2015 ("the Regulations").

This Selection Questionnaire ("SQ") will be used for Services above or below delete as appropriate the EU Threshold of £181,302

Important notice

1. This SQ is for use by Organisations who are interested in providing the Legal Services Framework, their professional advisers and other parties essential to preparing responses to the SQ and for no other purpose.
2. The Lead Authority give this SQ, and any other documentation that it sends to you for this tender process on the basis that they remain the Lead Authority's property and you must treat the contents as confidential. If you are unable or unwilling to comply with this you:
 - must destroy this SQ and all associated documents at once; and
 - must not keep any electronic or paper copies.
3. This SQ is made available in good faith. The Lead Authority gives no warranty as to the accuracy or completeness of the information contained in it, and disclaim any liability for any inaccuracy or incompleteness contained in it.
4. The Lead Authority reserves the right to reject SQs which are not submitted in line with the instructions given.
5. The Lead Authority reserves the right to cancel the tender process at any point. The Lead Authority is not liable for any costs resulting from cancellation of this process or for any costs incurred by Organisations by taking part in the tender process.
6. SQs must be completed in the English language.
7. Organisations are deemed to understand fully the processes that the Lead Authority must follow under relevant European and UK legislation, particularly The Public Contracts Regulations 2015.
8. Freedom of Information and Environmental Information Statement
9. The Participating Authorities is subject to The Freedom of Information Act 2000 (Act) and The Environmental Information Regulations 2004 (EIR).

10. As part of the Participating Authority's duties under the Act or EIR, the Lead Authority may need to disclose information about the procurement process or the Contract to anyone who makes a request.
11. If an Organisation thinks that any of the information given in their SQ is commercially sensitive (meaning it could reasonably cause prejudice to the organisation if disclosed to a third party) then it should be clearly marked as 'Not for disclosure to third parties'. Organisations should also give valid reasons in support of the information being exempt from disclosure under the Act and the EIR.
12. The Lead Authority aims to consult with Organisations and consider comments and any objections before it releases any information to a third party under the Act or the EIR. However, the Lead Authority will be entitled to decide in its absolute discretion whether any information is:
 13. Exempt from the Act or the EIR; or to be disclosed in response to a request for information.
 14. The Lead Authority must make its decision on disclosure in line with the provisions of the Act or the EIR and can only withhold information if it is covered by an exemption from disclosure under either of them.
 15. The Lead Authority will not be held liable for any loss or prejudice caused by the disclosure of information that:
 - 15.1 has not been clearly marked as 'Not for disclosure to third parties' with supporting reasons (referring to the relevant category of exemption under the Act or EIR where possible);
 - 15.2 does not fall into a category of information that is exempt from disclosure under the Act or EIR (for example, a trade secret or would be likely to prejudice the commercial interests of any person); or
 - 15.3 where it is in the public interest to disclose this and there is no statutory duty to withhold it.

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Notes for completion

1. The “authority” means the contracting lead authority, or anyone acting on behalf of the contracting lead authority, that is seeking to invite suitable candidates to participate in this procurement process.

2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.

4. The lead authority recognises that arrangements set out in section 1.2 of the Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the lead authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The lead authority will make a revised assessment of the submission based on the updated information.

5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.

6. All sub-contractors are required to complete Part 1 and Part 2².

7. For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

The lead authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

Your completed questionnaires and any accompanying information must be uploaded to electronically via the web portal www.qtegov.com in a format which is compatible with Microsoft Office 2003 or Acrobat/PDF no later than the time stipulated on the portal.

² See PCR 2015 regulations 71 (8)-(9)

Late responses may not be accepted. You should allow plenty of time to complete your submission and upload the relevant attachments.

Please note uploading files can take a lot longer than you may expect. A 10MB file will take approximately 5 minutes on average to upload on a standard broadband connection (256Kbps upload speed). It is your responsibility to allow sufficient time for uploading of your documents to ensure any problems can be addressed prior to the tender deadline.

Part 1: Potential supplier Information

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

Section 1	Potential supplier information	
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 a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) 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 <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
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)	<p>Relevant classifications (state whether you fall within one of these, and if so which one)</p> <ul style="list-style-type: none"> a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual 	
1.1(m)	<p>Are you a Small, Medium or Micro Enterprise (SME)³?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
1.1(n)	<p>Details of Persons of Significant Control (PSC), where appropriate: ⁴</p> <ul style="list-style-type: none"> - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met; <ul style="list-style-type: none"> - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. ⁵ <p>(Please enter N/A if not applicable)</p>	
1.1(o)	<p>Details of immediate parent company:</p> <ul style="list-style-type: none"> - Full name of the immediate parent company - Registered office address (if applicable) - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) <p>(Please enter N/A if not applicable)</p>	
1.1(p)	<p>Details of ultimate parent company:</p> <ul style="list-style-type: none"> - Full name of the ultimate parent company - Registered office address (if applicable) - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) 	

³ See EU definition of SME https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

⁴ 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](#).

⁵ Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.

	(Please enter N/A if not applicable)	
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Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

Please provide the following information about your approach to this procurement:

Section 1	Bidding model				
Question number	Question	Response			
1.2(a) - (i)	Are you bidding as the lead contact for a group of economic operators?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3. If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3.			
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 <input type="checkbox"/> No <input type="checkbox"/>			
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 works and /or supplies e.g. key deliverables				
	The approximate % of contractual obligations assigned to each sub-				

	contractor
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Contact details and declaration

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

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

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

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

I am aware of the consequences of serious misrepresentation.

Section 1	Contact details and declaration	
Question number	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 meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

Section 2		
Grounds for mandatory exclusion		
Question number	Question	Response
2.1(a)	<p>Regulations 57(1) and (2)</p> <p>The detailed grounds for mandatory exclusion of an organisation are set out on this webpage, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the webpage.</p>	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
2.1(b)	<p>If you have answered yes to question 2.1(a), please provide further details.</p> <p>Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,</p> <p>Identity of who has been convicted</p> <p>If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.</p>	
2.2	If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the	Yes <input type="checkbox"/> No <input type="checkbox"/>

	organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	
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 <input type="checkbox"/> No <input type="checkbox"/>
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 lead authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

Section 3 Grounds for discretionary exclusion		
	Question	Response
3.1	Regulation 57 (8) The detailed grounds for discretionary exclusion of an organisation are set out on this webpage , which should be referred to before completing these questions. Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.	
3.1(a)	Breach of environmental obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/>

		If yes please provide details at 3.2
3.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(g)	Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(j)	Please answer the following statements	
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (ii)	The organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) –(iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at

3.1(j)-(iv)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.	3.2 Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.2	If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	

Part 3: Selection Questions⁶

SECTION 4 - Economic and Financial Standing

Section 4	Please provide the following to demonstrate your economic/financial standing; Please indicate your answer with an 'X' in the relevant box.	
4.1	Please confirm that you have provided the Lead Authority with a copy of the audited accounts for the most recent two years accompanied by the relevant profit and loss account, balance sheet and notes to the accounts, so a financial appraisal can be carried out. If you have answered yes the Lead Authority will evaluate as detailed below 'Notes to organisation'	<input type="checkbox"/> Yes <input type="checkbox"/> No

FINANCIAL INFORMATION

Notes to organisation:

- The Lead Authority will evaluate this section on a pass or fail basis. The Lead Authority use a system called the 'Calderdale Test' which financially appraises a set of accounts. This is a method specifically designed for the use in the public

⁶ [See Action Note 8/16 Updated Standard Selection Questionnaire](#)

sector by Calderdale Council some time ago.

The process examines several different areas of the accounts provided, to produce an overall score; this score being calculated on a number of separately calculated ratios, thus avoiding over reliance on a certain aspect of the accounts. The ratios are combined to give an overall score and an advisory contract value limit based on the company's turnover and ratio assessments. We are not applying financial threshold to meet in order to pass this assessment, but ratios that prove negative will result in a failure. The Lead Authority may consider parent or other company guarantees in the case of a failure and reserves the right to seek additional information from any potential supplier if required.

- 2 The system has, as its basis, the fiduciary duty to the Participating Authorities' taxpayers.
- 3 If we need it, the Lead authority may seek evidence about the questions below. Where appropriate the Lead Authority will use the services of an independent third party to assess your financial standing or appraisal. Where the Lead Authority do use the services of an independent third party, it will take into account the result of the independent assessment at the date that this was conducted.
- 4 Where the organisation is a subsidiary of a group, all questions must be answered for both the subsidiary and the ultimate parent company. The Lead Authority reserve the right to ask for a parent company guarantee.
- 5 Where you are submitting this SQ as a consortium, we need the above information for each member organisation.

The Lead Authority reserves the right to seek clarification of financial information, if required.

Section 4	Economic and Financial Standing (continued)	
	Question	Response
4.2	Where you have answered no to 4.1 can you provide one of the following?	
	(a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/>

	(b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.	Yes <input type="checkbox"/> No <input type="checkbox"/>
	(c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).	Yes <input type="checkbox"/> No <input type="checkbox"/>

Section 5		If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:	
Name of organisation			
Relationship to the Supplier completing these questions			
5.1	Are you able to provide parent company accounts if requested to at a later stage?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
5.2	If yes, would the parent company be willing to provide a guarantee if necessary?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
5.3	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	

Section 6	Technical and Professional Ability
6.1	<p>Relevant experience and contract examples</p> <p>Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies should have been performed during the past three years.</p> <p>The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.</p> <p>Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).</p> <p>Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.</p> <p>If you cannot provide examples see question 6.3</p>

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

6.2	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s)</p> <p>Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries)</p>

6.3	<p>If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.</p>

Section 7	Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015	
7.1	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	Yes <input type="checkbox"/> N/A <input type="checkbox"/>
7.2	If you have answered yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Yes <input type="checkbox"/> Please provide the relevant url ... No <input type="checkbox"/> Please provide an explanation

8 Additional Project Specific Questions

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

8.1	Insurance	
	<p>Lot 1 – General Requirements – All Employers Liability - £10 million any one claim Public Liability - £10 million any one claim Professional Indemnity - £25 million</p> <p>Lot 2 – Specialist requirements – Conveyancing Employers Liability – £10 million any one claim Public Liability - £10 million any one claim Professional Indemnity - £15 million</p> <p>Lot 3 – Specialist Requirement – Housing Employers Liability – £10 million any one claim Public Liability - £10 million any one claim Professional Indemnity - £15 million</p> <p>Lot 4 – Specialist Requirement – Family Employers Liability – £10 million any one claim Public Liability - £10 million any one claim Professional Indemnity - £10 million</p> <p>Lot 5 – Specialist Requirement – Education Employers Liability – £10 million any one claim Public Liability - £10 million any one claim Professional Indemnity - £10 million</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

	<p>Lot 6 – Specialist Requirement – Prosecutions Employers Liability – £10 million any one claim Public Liability – £10 million any one claim Professional Indemnity – £10 million</p> <p>Lot 7 – Specialist Requirement – Licensing Employers Liability – £10 million any one claim Public Liability – £10 million any one claim Professional Indemnity – £10 million</p> <p>Lot 8 – Specialist Requirement – Litigation Employers Liability – £10 million any one claim Public Liability – £10 million any one claim Professional Indemnity – £25 million</p> <p>Lot 9 – Specialist Requirement – Insolvency Employers Liability – £10m any one claim Public Liability – £5 million Professional Indemnity – £5 million</p> <p>Lot 10 - Specialist Requirement - Debt Recovery Employers Liability – £10m any one claim Public Liability – £5 million Professional Indemnity – £5 million</p> <p>Lot 11 – Specialist Requirement – Highways Employers Liability – £10 million any one claim Public Liability – £10 million any one claim Professional Indemnity – £10 million any one claim</p> <p>Lot 12 – Specialist Requirement – Employment Employers Liability – £10 million any one claim Public Liability – £10 million any one claim Professional Indemnity – £10 million any one claim</p>	
<p>Note to organisation: This Insurance question is to be scored on a pass/fail basis. PASS – The bidding organisation confirms they have or will have the relevant insurance levels in place for the start of the Contract</p> <p>FAIL – The bidding organisation does not confirm they have or will have the relevant insurance levels in place for the start of the Contract</p>		

8.2	Environmental Management
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a.	<p>Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)?</p> <p>If your answer to the this question is “Yes”, please provide details in a separate Appendix of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.</p> <p>The Authority will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last 3 years, unless the Authority is satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches. And skills development through this contract.</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
b.	<p>If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

Note to organisation:

This Environmental question is to be scored on a pass/fail basis.

PASS – The bidding organisation confirms they have not been convicted of breaching environmental legislation or can satisfactorily demonstrate to the Authority that appropriate remedial action has been taken to prevent future occurrences/breaches.

FAIL – The bidding organisation has been prosecuted or served notice under environmental legislation in the last 3 years and cannot satisfactorily demonstrate to the Authority that appropriate remedial action has been taken to prevent future occurrences/breaches.

8.3	Health and safety	
a.	<p>Please self-certify by signing this section that your organisation has appropriate arrangements in place to adequately comply with Health and Safety and Fire Safety legislation. By signing this section you also confirm that your organisation has arrangements in place to identify, control, monitor and review the significant risks associated with the delivery of this contract.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>

Note to organisation:

This Health and Safety question is to be scored on a pass/fail basis depending upon ability to demonstrate your organisation has appropriate arrangements in place to adequately comply with Health and Safety and Fire Safety legislation.

PASS – The bidding organisation self-certifying that appropriate arrangements are in

place.

FAIL – Failure by the bidding organisation to self-certify and not have satisfactory reasons or remedies.

8.4	Skills and Apprentices ⁷ – (please refer to supplier selection guidance)
a.	<p>Public procurement of contracts with a full life value of £10 million and above and duration of 12 months and above should be used to support skills development and delivery of the apprenticeship commitment. This policy is set out in detail in Procurement Policy Note 14/15.</p> <p>Please confirm if you will be supporting apprenticeships and skills development through this contract.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
b.	<p>If yes, can you provide at a later stage documentary evidence to support your commitment to developing and investing in skills, development and apprenticeships to build a more skilled and productive workforce and reducing the risks of supply constraints and increasing labour cost inflation?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
c.	<p>Do you have a process in place to ensure that your supply chain supports skills, development and apprenticeships in line with PPN 14/15 (see guidance) and can provide evidence if requested?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

Note to organisation:

This Skills and Apprentices question is to be scored on a pass/fail basis.

PASS – The bidding organisation confirms they will be supporting apprenticeships and skills development through this Contract.

FAIL – The bidding organisation does not confirm they will be supporting apprenticeships and skills development through this Contract.

⁷ [Procurement Policy Note 14/15– Supporting Apprenticeships and Skills Through Public Procurement](#)

8.5	Compliance with equality legislation (For organisations working outside of the UK please refer to equivalent legislation in the country that you are located).	
1.	In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	<p>In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds or alleged unlawful discrimination?</p> <p>If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.</p> <p>If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring. You may be excluded if you are unable to demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Note to organisation:</p> <p>This compliance with equality legislation section is to be scored on a pass/fail basis.</p> <p>PASS – The bidding organisation confirms that in the last three years it has not had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors and or can demonstrate to the Lead Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.</p> <p>FAIL – Failure by the bidding organisation to demonstrate to the Lead Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.</p>		

