



United Kingdom  
Debt Management  
Office

**The Lords Commissioners of Her Majesty's Treasury acting through the United  
Kingdom Debt Management Office (DMO)**

**REFERENCE NUMBER**

**RM3827**

**ATTACHMENT 2**

**PHASE ONE SELECTION QUESTIONNAIRE AND EVALUATION GUIDANCE**

**Debt Management Office Trading Systems Replacement RM3827**

Participation Requirements and Selection Questionnaire and Guidance

Attachment 2

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### **Notes for completion**

1. This document provides representations of the online 'Participation Requirements' and the online 'Selection Questionnaire'. You cannot submit your responses using this document – you must complete and submit only the online version of the Participation Requirements Questionnaire and Selection Questionnaire in the eSourcing Suite.
2. This document provides an overview of the methodology which will be adopted by the Customer to evaluate your response to each question set out within the Participation Requirements and Selection Questionnaire.
3. For the avoidance of doubt "You" / "Your" refers to the Applicant completing this Participation Requirements and Selection Questionnaire i.e. the legal entity responsible for the information provided. The term "Applicant" 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.
4. Unless the context provides otherwise, capitalised expressions in this Participation Requirements and Selection Questionnaire have the meaning given to them in the glossary in ITT Attachment 1.
5. The Customer recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a Group of Economic Operators 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 Customer immediately of any change in the proposed arrangements and ensure a completed Part 1 is submitted for any new organisation relied on to meet the selection criteria. The Customer will make a revised assessment of the submission based on the updated information.
6. 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'.
7. If you are tendering on behalf of a Group of Economic Operators, or you intend to use Sub-Contractors, you should complete all of the questions on behalf of the Group of Economic Operators and/or any Sub-Contractors, providing one composite response and declaration.
8. Applicants who do not meet the requirement criteria at the Selection Questionnaire evaluation, or who do not score sufficiently highly in respect of Professional and Technical Ability, or which are excluded on grounds of Non-compliance, will be notified accordingly.

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## Standard Selection Questionnaire

### Applicant Information and Exclusion Grounds: Part 1, Part 2 and Part 3

This Selection Questionnaire is a self-declaration, made by you (the Applicant), that you do not meet any of the grounds for exclusion<sup>1</sup>. 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 2 and Part 3 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. For example these could be parent companies, affiliates, associates, or essential Sub-Contractors, if they are relied upon to meet the selection criteria.

### Selection Questions: Part 4

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 Applicant.

### Participation Requirements (you must complete and submit the online version)

Below is a representation of the Participation Requirements in the eSourcing Suite. **You must complete the online version. You cannot submit your responses using this document.**

For the avoidance of doubt in the Participation Requirements questions “we” refers to the Applicant (Lead Contact for a Group of Economic Operators).

| PARTICIPATION REQUIREMENTS           |   |                              |
|--------------------------------------|---|------------------------------|
| PART A - Conditions of Participation |   |                              |
| PR1                                  | We accept the Terms of Participation as set out in ITT Attachment 5 | <input type="checkbox"/> Yes |

<sup>1</sup> 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](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf)

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|  |   |   |
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|  |   | <input type="checkbox"/> No                                 |
| PR2  | We accept and comply with all the statements in ITT Attachment 6  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <b>PR1 – PR2 Response Guidance</b><br><b>If you do not answer Yes to these questions you cannot participate in this Procurement.</b><br><p>If you respond <b>No</b> to these questions your Tender will be deemed to be Non-compliant. If a Tender is deemed to be Non-compliant, the Tender may be rejected and excluded from further participation in this Procurement.</p> <p>If you are tendering as a Group of Economic Operators and you are the Lead Contact, as the Lead Contact, you are required to respond Yes to confirm your acceptance of the conditions set out in these documents.</p> |   |   |
| <b>PART B - eSourcing Suite Tool Guidance</b>  |   |   |
| PR3  | We have read the document 'eSourcing Suite Supplier Guidance Part B - Tendering and Further Competitions' <a href="https://www.gov.uk/government/publications/esourcing-tool-guidance-for-suppliers">https://www.gov.uk/government/publications/esourcing-tool-guidance-for-suppliers</a> (select the eSourcing Suite guidance: how to respond to Tenders and Further Competitions)   | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| PR4  | We understand that it is essential to press the red 'Submit all Draft Bids' button to correctly submit our completed Tender and confirm we have read and understood the instructions on where and how to do this in paragraph 8.9 of the 'eSourcing Suite Guidance Part B - Tendering and Further Competitions' <a href="https://www.gov.uk/government/publications/esourcing-tool-guidance-for-suppliers">https://www.gov.uk/government/publications/esourcing-tool-guidance-for-suppliers</a> (select the eSourcing Suite guidance: how to respond to Tenders and Further Competitions) | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| PR5  | We understand that to send a message to the CCS Procurement team we must ensure that the name of the Procurement is in the context field and 'ALL HOSTS' is selected in the 'TO' box  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| <b>PR3 – PR5 Response Guidance</b><br><b>If you cannot answer "Yes" to these questions you are at significantly increased risk of misunderstanding the Procurement and of submitting a sub-optimal or a Non-compliant Tender Submission.</b><br><p>If you are tendering as a Group of Economic Operators and you are the Lead Contact, as the Lead Contact, you are required to answer "Yes" to confirm your understanding of how to use the e-Sourcing tool appropriately in this Procurement.</p>  |   |   |

## Selection Questionnaire

### Part 1: Applicant information (you must complete and submit the online version)

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Below is a representation of the online **Selection Questionnaire** in the eSourcing Suite. **You must complete the online version. You cannot submit your responses using this document.**

Please answer all questions in full.

| Section 1.1      | Applicant information   |  |
|------------------|---|--|
| Question number  | Question  | Response   |
| SQ1.1(a)         | Full name of the Applicant submitting the information   | Complete table in eSourcing Suite  |
| SQ1.1(b) – (i)   | Registered office address (if applicable)   |  |
| SQ1.1(b) – (ii)  | Registered website address (if applicable)  |  |
| SQ1.1 (c)        | Date of registration in country of origin   |  |
| SQ1.1 (d)        | Company registration number (if applicable)   |  |
| SQ1.1 (e)        | Charity registration number (please enter N/A if not applicable)  |  |
| SQ1.1 (f)        | Head office DUNS number   |  |
| SQ1.1 (g)        | Registered VAT number   |  |
| SQ1.1 (h ) – (i) | Trading status<br>a) public limited company<br>b) limited company<br>c) limited liability partnership<br>d) other partnership<br>e) sole trader<br>f) third sector<br>g) other (please specify your trading status at SQ 1.1 (h) – (ii) ) |  |
| SQ1.1(h) – (ii)  | If you selected g) to question SQ 1.1(h ) – (i) above please specify in the following text field, your trading status   | Complete text box in eSourcing Suite (character limit 255)                                 |
| SQ1.1(i) – (i)   | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?<br><br>(Please enter N/A if not applicable)  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>NA <input type="checkbox"/> |

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|                 |   |   |
|-----------------|---|---|
| SQ1.1(i) – (ii) | If you responded yes to SQ 1.1(i) – (i), please provide the relevant details, including the registration number(s).<br>(Please enter N/A if not applicable)   | Complete text box in eSourcing Suite (character limit 255)  |
| SQ1.1(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"/><br>No <input type="checkbox"/> |
| SQ1.1(j) – (ii) | If you responded yes to SQ 1.1(j) – (i), please provide additional details of what is required and confirmation that you have complied with this.<br>(Please enter N/A if not applicable)   | Complete text box in eSourcing Suite (character limit 255)  |
| SQ1.1(k)        | Trading name(s) that will be used if successful in this Procurement   | Complete text box in eSourcing Suite (character limit 255)  |
| SQ1.1(l) – (i)  | Relevant classifications (state whether you fall within one of these, and if so which one)<br>a) Voluntary Community Social Enterprise (VCSE)<br>b) Sheltered Workshop<br>c) Public service mutual  | Use Pick List<br>a)<br>b)<br>c)<br>N/A                      |
| SQ1.1(m)        | Are you a Small, Medium or Micro Enterprise (SME) <sup>2</sup> ?  | Yes <input type="checkbox"/><br>No <input type="checkbox"/> |
| SQ1.1(n) – (i)  | Do you have People with Significant Control (PSC) <sup>3</sup>  | Yes <input type="checkbox"/><br>No <input type="checkbox"/> |
| SQ1.1(n) – (ii) | If you have responded yes to SQ1.1(n)-(i) please provide details of the People with Significant Control (PSC), where appropriate:<br>- Name;<br>- Date of birth;<br>- Nationality;<br>- Country, state or part of the UK where the PSC usually lives; | Complete table in eSourcing Suite                           |

<sup>2</sup> See EU definition of SME: <http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/>

<sup>3</sup> UK companies, Societas Europaeae (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](#).

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|          |   |                                   |
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|          | <ul style="list-style-type: none"> <li>- Service address;</li> <li>- The date he or she became a PSC in relation to the company (for existing companies pre 6 April 2016, you should insert the 6 April 2016);</li> <li>- Which conditions for being a PSC are met; <ul style="list-style-type: none"> <li>- Over 25% up to (and including) 50%,</li> <li>- More than 50% and less than 75%,</li> <li>- 75% or more.</li> </ul> </li> </ul> <p>(Please enter N/A if not applicable)</p> |                                   |
| SQ1.1(o) | <p>Details of immediate parent company:</p> <ul style="list-style-type: none"> <li>- Full name of the immediate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>  | Complete table in eSourcing Suite |
| SQ1.1(p) | <p>Details of ultimate parent company:</p> <ul style="list-style-type: none"> <li>- Full name of the ultimate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>  | Complete table in eSourcing Suite |

Please note: A Disclosure and Barring Service (**DBS**) check for relevant convictions may be undertaken for the successful Supplier and the People with Significant in Control (PSC) of them.

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

|                  |  |  |
|------------------|--|--|
| Section 1.2      | Bidding model  |  |
| Question number  | Question   | Response   |
| SQ1.2(a) - (i)   | Are you tendering as the Lead Contact for a Group of Economic Operators?   | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>If yes, please provide details listed in questions SQ1.2(a) (ii), (a) (iii) and to SQ1.2(b) (i), (b) (ii), Section 2 and 3.</p> <p>If no, please proceed to Part 2 (Grounds for Mandatory Exclusion)</p> |
| SQ1.2(a) - (ii)  | Name of Group of Economic Operators (if applicable)<br>(Please enter N/A if not applicable)  | Complete text box in eSourcing Suite (character limit 255)   |
| SQ1.2(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.  | Complete text box in eSourcing Suite (character limit 4096)  |
| SQ1.2(b) - (i)   | Are you or, if applicable, the Group of Economic Operators proposing to use Sub-Contractors?   | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>   |
| SQ1.2(b) - (ii)  | <p>If you responded yes to SQ1.2(b)-(i) please provide additional details for each Sub-Contractor in the following table:</p> <ul style="list-style-type: none"> <li>- The role each Sub-Contractor will take in providing the works and /or supplies e.g. key deliverables</li> <li>- The approximate % by value of contractual obligations assigned to each Sub-Contractor</li> <li>- Registered office address (if applicable)</li> <li>- Trading Status</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> </ul> | Complete table in eSourcing Suite  |

## Part 2: Grounds for mandatory exclusion

Please answer the following questions in full.

|           |                                 |
|-----------|---------------------------------|
| Section 2 | Grounds for mandatory exclusion |
|-----------|---------------------------------|

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| Question number | Question   | Response   |
|-----------------|--|--|
| SQ2.1(a)        | <b>Regulations 57(1) and (2)</b><br>The detailed grounds for mandatory exclusion of an organisation are set out on this <a href="#">webpage</a> , which should be referred to before completing these questions.<br>Please indicate if, within the past five (5) years you, your organisation, any member of your Group of Economic Operators, or any other person who has powers of representation, decision or control in such organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the <a href="#">webpage</a> . |  |
|                 | Participation in a criminal organisation.  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ2.1(b) |
|                 | Corruption.  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ2.1(b) |
|                 | Fraud.   | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ2.1(b) |
|                 | Terrorist offences or offences linked to terrorist activities  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ2.1(b) |
|                 | Money laundering or terrorist financing  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ2.1(b) |
|                 | Child labour and other forms of trafficking in human beings  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ2.1(b) |
| SQ2.1(b)        | If you have answered yes to question SQ2.1(a), please provide further details.<br>Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction<br>Identity of who has been convicted   | Complete text box in eSourcing Suite (character limit 4096)  |

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|          |  |   |
|----------|--|---|
|          | If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.   |   |
| SQ2.1(c) | If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)<br><br>(Please enter N/A if not applicable)  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>N/A <input type="checkbox"/> |
| SQ2.1(d) | <b>Regulation 57(3)</b><br><br>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"/><br>No <input type="checkbox"/>                                 |
| SQ2.1(e) | If you have answered yes to question SQ2.3(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.<br><br>Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,<br><br>Identity of who has been convicted<br><br>(Please enter N/A if not applicable) | Complete text box in eSourcing Suite (character limit 4095)                                 |

Please Note: The Customer reserves the right to use its discretion to exclude an Applicant where it can demonstrate by any appropriate means that the Applicant is in breach of its obligations relating to the non-payment of taxes or social security contributions.

### Part 3: Grounds for discretionary exclusion

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|                 |  |   |
|-----------------|--|---|
| Section 3       | Grounds for discretionary exclusion  |   |
| Question Number | Question   | Response  |
| SQ3.1           | <p><b>Regulation 57 (8)</b></p> <p>The detailed grounds for discretionary exclusion of an organisation are set out on this <a href="#">webpage</a>, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation, any member of your Group of Economic Operators, or any other person who has powers of representation, decision or control in such organisation.</p> |   |
| SQ3.1(a)        | Breach of environmental obligations?   | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(b)        | Breach of social obligations?  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(c)        | Breach of labour law obligations?  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(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"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(e)        | Guilty of grave professional misconduct?   | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(f)        | Entered into agreements with other economic operators aimed at distorting competition?   | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If yes please provide details at       |

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|                  |  |   |
|------------------|--|---|
|                  |  | SQ3.2   |
| SQ3.1(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"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(h)         | Been involved in the preparation of the procurement procedure?   | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(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"/><br>No <input type="checkbox"/><br>If yes please provide details at SQ3.2 |
| SQ3.1(j)         | Please answer the following statements   |   |
| SQ3.1(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"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ3.2 |
| SQ3.1(j) - (ii)  | The organisation has withheld such information.  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ3.2 |
| SQ3.1(j) – (iii) | The organisation is not able to submit supporting documents required under Regulation 59.  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ3.2 |
| SQ3.1(j)- (iv)   | The organisation has influenced the decision-making process of the Customer 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 <input type="checkbox"/><br>No <input type="checkbox"/><br>If Yes please provide details at SQ3.2 |

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| SQ3.2 | <p>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)</p> <p>(Please enter N/A if not applicable)</p> | Complete text box in eSourcing Suite (character limit 4095) |
|-------|--|---|

In certain circumstances the Customer is required by law to exclude Applicants from participating in this Procurement. If Applicants cannot answer 'no' to every statement in Part 2 of this Selection Questionnaire then, subject to the paragraph below - 'Self Cleaning', the Applicant's Tender shall be excluded from further participation in this Procurement (except where disproportionately small amounts of tax or social security obligations are involved).

The Customer is entitled (in its sole discretion) to exclude an Applicant from further participation in this Procurement if any of the statements in response to Part 3 (Discretionary grounds for exclusion) of this Selection Questionnaire apply. If Applicants cannot answer 'No' to every statement it is possible, subject to the paragraph below - 'Self Cleaning', that Applicant's Tender will be excluded from this Procurement.

'Self Cleaning' (covering both mandatory and discretionary exclusion)

If an Applicant provides sufficient evidence that remedial action has taken place subsequently that effectively "self cleans" the situation, the Customer could decide that that Applicant shall not be excluded from this Procurement. As a minimum, Applicants will have to demonstrate that Applicants have:

- (a) paid or undertaken to pay compensation in respect of any damage caused by any criminal offence or misconduct;
- (b) clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- (c) taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures Applicants have taken will be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct.

## Part 4: Selection Questions

| Section 4       | Economic and Financial Standing   |          |
|-----------------|---|----------|
| Question number | Question  | Response |
| SQ4.1(a)        | <p>For your organisation and, if applicable, each member of your Group of Economic Operators, the Customer will use the organisation's details provided in Section 1 'Applicant information' and Section 1.2 'Bidding Model' to obtain financial risk assessments.</p> <p>If you would prefer to have this financial assessment carried out in respect of (for example) a parent company providing a guarantee, then you may select this option on the understanding that, if awarded a contract, a guarantee or other form</p> |          |

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|          | of security which the Customer considered appropriate must be provided and accepted by the Customer prior to contract.  |  |
| SQ4.1(b) | Do you or, if applicable, any members of your Group of Economic Operators, wish the financial risk assessment to be carried out in respect of a guarantor?  | Yes <input type="checkbox"/><br>No <input type="checkbox"/>                                |
| SQ4.1(c) | If you responded Yes to question SQ4.1(b), please provide details of the Guarantor:<br><br>- Full name of the guarantor<br>- Registered office address (if applicable)<br>- Company registration number (if applicable)<br>- Head office DUNS number<br><br>Please enter N/A in first table cell if not applicable  | Complete table in the eSourcing Suite  |
| SQ4.1(d) | If you responded Yes to question SQ4.1(b), please confirm that the guarantor has committed to complete, prior to contract, a guarantee or other form of security which the Customer considers appropriate. Please enter N/A from the pick list if not applicable  | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>NA <input type="checkbox"/> |
| SQ4.1(e) | Please provide a copy of your audited accounts for the most recent two years and/or one or more of following in respect of your organisation or proposed guarantor (as the case may be);<br><br><ul style="list-style-type: none"> <li>• a statement of your 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;</li> <li>• a statement of your cash flow forecast for the current year and a bank letter outlining the current cash and credit position; and/or</li> <li>• an alternative means of demonstrating financial status.</li> </ul> Please select "Yes" to confirm that you have attached the documents. | Yes <input type="checkbox"/><br>No <input type="checkbox"/>                                |

The information you submit in response to sections 1.1 Applicant Information and 1.2 Bidding Model will be used to carry out an assessment of your economic and financial standing. If in response to question SQ5.1, 5.2 or 5.3, you indicate that a guarantee will be provided, the Customer will perform an assessment of the proposed guarantor's economic and financial standing. The assessment of your organisation's or your proposed guarantor's financial risk will be conducted in accordance with the following process.

- The Customer will use a credit reference agency to request a detailed financial risk report;

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- The Customer will use the information provided in response to SQ4.1(e) to assess whether your organisation's or your proposed guarantor's financial risk is acceptable. This will be performed using the Customers financial assessment template which can be viewed using the template provided at Attachment 7 – Financial Assessment Template, which covers a range of financial risk indicators.
- If the Customer then determines that the financial risk is determined as being acceptable, then Applicant's response will proceed to assessment of Technical and Professional Ability.
- If the Customer determines that the financial risk is determined as being unacceptable, then the Customer may (in its sole discretion) request that Applicants nominate a guarantor.
- Only if, after evaluating all the information requested and provided, the level of financial risk is still deemed unacceptable, or where the requested information at has not been provided, then the Tender will be excluded from further involvement in the procurement.

The Customer may require the Applicant's agreement to provide a guarantee in the event that the Applicant is awarded a Contract.

| <b>Section 5</b> | <b>If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:</b>                  |   |
|------------------|---|---|
| Question Number  | Question  | Response  |
| SQ5.1            | Please provide details <ul style="list-style-type: none"> <li>- Name of organisation</li> <li>- Relationship to the Applicant completing these questions</li> </ul> | Complete table in the eSourcing Suite                       |
| SQ5.2            | Are you able to provide parent company accounts if requested to at a later stage?   | Yes <input type="checkbox"/><br>No <input type="checkbox"/> |
| SQ5.3            | If yes, would the parent company be willing to provide a guarantee if necessary?  | Yes <input type="checkbox"/><br>No <input type="checkbox"/> |
| SQ5.4            | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?  | Yes <input type="checkbox"/><br>No <input type="checkbox"/> |

| <b>Section 6</b> | <b>Technical and Professional Ability – Previous Supply ( Evaluated)</b> |
|------------------|--|
|------------------|--|

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**SQ 6.1 -Technical and Professional Ability**

Please provide three statements of your experience: one in response to each of the questions below:

This experience should have been gained during the past three years. The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below. Groups of Economic Operators should provide relevant examples of where that Group of Economic Operators have delivered similar requirements.

For a full list of the Customer's requirements, please refer to Attachment 4 Contract Schedule 3 – Services.

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 the statements of experience should be examples of the experience of members of the Group of Economic Operators. Applicants should note that, in this case, the experience of the relevant member of the Group of Economic Operators must remain available to that Group of Economic Operators - for example, through formation of an entity – following entry into the Contract.

For the avoidance of doubt, a maximum of three statements of experience should be provided, regardless of whether the Applicant is a single entity or a Group of Economic Operators.

**SQ6.1(a) - Statement of Experience 1 – Product Implementation (35%)**

Complete table in the eSourcing Suite

**SQ6.1(a)(i) -**

Please provide the following details:

- Name of customer organisation
- Name of the organisation which signed the contract with the customer organisation
- Current point of contact in customer organisation
  - o Position in the organisation
  - o Email address
- Implementation start date
- Implementation completion date
- Estimated contract value

Character Limit 8192  
[2 boxes containing 4096 characters]

**SQ6.1(a)(ii)**

Please also provide a statement of experience focussing on implementation of a contract or project similar to that which is the subject of this Procurement.

Maximum character count – 8192 [each box will allow 4096 characters including spaces and punctuation]. This character count cannot be exceeded within the eSourcing Suite. Responses must include spaces between words.

**SQ6.1(b) - Statement of Experience 2 – Long term support (35%)**

Character Limit 8192

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|   |   |
|---|---|
| <p><b>SQ6.1(b)(i)</b> - Please provide the following details:</p> <ul style="list-style-type: none"> <li>- Name of customer organisation</li> <li>- Name of the organisation which signed the contract with the customer organisation</li> <li>- Point of contact in customer organisation <ul style="list-style-type: none"> <li>o Position in the organisation</li> <li>o Email address</li> </ul> </li> <li>- Contract start date</li> <li>- Contract completion date</li> <li>- Estimated contract value</li> </ul> <p><b>SQ6.1(b)(ii)</b></p> <p>Please also provide a statement of experience focussing on the support and maintenance elements of a contract or project similar to that which is the subject of this Procurement.</p> <p>Maximum character count – 8192 [each box will allow 4096 characters including spaces and punctuation]. This character count cannot be exceeded within the eSourcing Suite. Responses must include spaces between words.</p>   | <p>[2 boxes containing 4096 characters]</p>                             |
| <p><b>SQ6.1(c) - Statement of Experience 3 – Realised benefits to Client (30%)</b></p> <p><b>SQ6.1(c)(i)</b> - Please provide the following details:</p> <ul style="list-style-type: none"> <li>- Name of customer organisation</li> <li>- Name of the organisation which signed the contract with the customer organisation</li> <li>- Point of contact in customer organisation <ul style="list-style-type: none"> <li>o Position in the organisation</li> <li>o Email address</li> </ul> </li> <li>- Contract start date</li> <li>- Contract completion date</li> <li>- Estimated contract Value</li> </ul> <p><b>SQ6.1(c)(ii)</b> - Please also provide a statement of your experience of delivering business benefits to a client in the context of a project of contract similar to that which is the subject of this Procurement..</p> <p>Maximum character count – 8192 [each box will allow 4096 characters including spaces and punctuation]. This character count cannot be exceeded within the eSourcing Suite. Responses must include spaces</p> | <p>Character Limit 8192</p> <p>[2 boxes containing 4096 characters]</p> |

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|  |                |  |
|--|----------------|--|
|  | between words. |  |
|--|----------------|--|

### Scoring of Statements of Experience

The Customer will assess the experience statements noted above by in accordance with the following table.

The Customer will then divide the maximum score for each Statement of Experience (35, 35, 30 respectively) by 5, and multiply this figure by the score awarded to give a weighted score for each Statement of Experience. The aggregate of such scores will form the Applicant's overall score, out of 100, in relation to Technical and Professional Ability

| Score | Definition   |
|-------|--|
| 5     | A score of five will be awarded where the Applicant's response provides the Customer with complete confidence that the Applicant is capable of successful delivery of the aspects of the Procurement referred to in the relevant Statement of Experience   |
| 4     | A score of four will be awarded where the Applicant's response provides the Customer with confidence that the Applicant is capable of successful delivery of the aspects of the Procurement referred to in the relevant Statement of Experience . Any reservations are not considered material             |
| 3     | A score of three will be awarded where the Applicant's response provides the Customer with some confidence that the Applicant is capable of successful delivery of the aspects of the Procurement referred to in the relevant Statement of Experience , but with material reservations                     |
| 2     | A score of two will be awarded where the Applicant's response provides the Customer with little confidence that the Applicant is capable of delivery of the aspects of the Procurement referred to in the relevant Statement of Experience, and has significant reservations                               |
| 1     | A score of one will be awarded where the Applicant's response provides the Customer with no confidence that the Applicant is capable of successful delivery of the aspects of the Procurement referred to in the relevant Statement of Experience , as it demonstrates little, if any, relevant experience |

#### Factors the Customer will take into account in determining the score awarded

The following is a non-exhaustive statement of factors which the Customer will take into account in scoring Applicants' responses:

##### Nature of the client (Relevant to all Statements of Experience)

Contracts delivered for central banks, DMOs or major (global 100) banks will provide more assurance than those delivered to other financial institutions which, in turn, would provide more assurance that delivery to other organisations

##### Scope (Relevant to all Statements of Experience)

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Contracts delivered where the scope of the contract was very similar to that which is the subject of this Procurement, will provide greater assurance than experience gained in relation to matters which share only some similarities.

**Application of resources (Relevant to Statement of Experience 1)**

Statements of Experience demonstrating that the Applicant was able to demonstrate quality and quantity of resources (such as range of skills), and demonstrate effective controls over delivery, will provide additional assurance.

**Project success (Relevant to Statement of Experience 1)**

Statements of Experience in relation to projects which were implemented and completed on time and on budget will provide greater assurance

**Technical platform (Relevant to Statement of Experience 1)**

Statements of Experience in relation to a project where the technical platform relevant to that contract was in line with the Customer's IT strategy (Microsoft stack: SQL Server, IIS etc.), will provide more assurance than those delivered with other platforms.

Please note that the Customer will consider procurement of solutions on any technical platform

**Support arrangements (Relevant to Statement of Experience 2)**

Contracts delivered where the support arrangements (as defined in the Customer's requirements, e.g. London-based operation, compatible escalation processes) of the contract was similar to the Customer's will provide more assurance than those delivered with other arrangements

**Realised benefits (Relevant to Statement of Experience 3)**

Contracts where business benefits were demonstrably realised by the client (for example, but not limited to:

- Reduced Total Cost of Ownership
- Reduced business risk
- IT platform consolidation
- Simplified application support)

will provide more assurance than contracts where these demonstrable benefits were not realised.

For a full list of the Customer's requirements, please refer to Attachment 4 Contract Schedule 3 – Services.

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| Section 7 Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015   |  |  |
|---|--|--|
| Question Number   | Question   | Response   |
| <p>If <b>you meet</b> the minimum turnover requirements, as stipulated in section 54 of the Modern Slavery Act 2015, you are required to answer 'Yes' to question SQ7.1a and are required to provide a response to question SQ7.1b.</p> <p>If you answer 'Yes' to question SQ7.1b you are required to provide the relevant url in response to question SQ7.1c.</p> <p>If you answer 'No' to question SQ7.1b you are required to provide an explanation in response to question SQ7.1d.</p> <p>If you answer 'No' to question SQ7.1(a) please enter N/A for questions SQ7.1(b), SQ7.1(c) and SQ7.1(d)</p> <p>Where the Applicant is a Group of Economic Operators, this question should be answered in respect of each member of that Group of Economic Operators.</p> |  |  |
| SQ7.1(a)  | 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"/><br>No <input type="checkbox"/>                                |
| SQ7.1(b)  | <p>If you have answered Yes to question 7.1a are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015</p> <p><a href="http://www.legislation.gov.uk/ukpga/2015/30/section/54/enacted">www.legislation.gov.uk/ukpga/2015/30/section/54/enacted</a></p> <p>Please enter N/A from the pick list if not applicable</p> | Yes <input type="checkbox"/><br>No <input type="checkbox"/><br>NA <input type="checkbox"/> |
| SQ7.1(c)  | If you have answered Yes to question 7.1a please provide the relevant url.   | character limit 4096   |
| SQ7.1(d)  | If you have answered No to question 7.1b please provide an explanation.  | character limit 4096   |

## 8. Additional Questions

Applicants 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 – this evidence is required to include the full scope of relevant insurances, Cyber Essentials Plus certification and ISO27001 certifications. Responses should be provided in respect of the Applicant or, in the case of a Group of Economic Operators, the Lead Contact.

The requirements at this Section 8 will be scored on a 'pass' or 'fail' basis. You will 'pass' the requirement if you respond 'Yes' to each of SQ8.1(a), SQ8.1(b), SQ8.1(c) and 'Yes' to

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any of SQ8.2(i) to (iv). A response of 'No' will be awarded a 'fail' and you will be excluded from this Procurement.

| Section 8 Additional Questions |  |  |
|--------------------------------|--|--|
| 8.1 Insurance                  |  |  |
| Question Number                | Question   | Response   |
| SQ8.1(a)                       | <p>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:</p> <p>Employer's (Compulsory) Liability Insurance = £5 million</p> <p>*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</p> | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> |
| SQ8.1(b)                       | <p>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:</p> <p>Public Liability Insurance = £5 million</p>   | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> |
| SQ8.1(c)                       | <p>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:</p> <p>Professional Indemnity Insurance = £10 million</p>  | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> |

| 8.2 Cyber Essentials Scheme |   |   |
|-----------------------------|---|---|
| Question Number             | Question  | Response  |
|                             | <p>In relation to the Services, please confirm that you comply with one of the following criteria:</p> <p>(i) You have a current and valid Cyber Essentials Plus certificate which has been awarded by one of the government approved Cyber Essentials Plus accreditation bodies within the most recent 12 months and where your organisation proposes to use Sub-Contractors to carry out the Services and these Sub-Contractors shall be involved in handling sensitive and personal information with regard to the Services, such Sub-Contractors will have in place a valid Cyber Essentials Plus certificate by the date on which your organisation proposes to use the Sub-Contractor;</p> <p><b>OR</b></p> | <p>Please select an option from the drop down list.</p> <p><input type="checkbox"/> (i) Yes</p> |

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## **Mandatory Exclusion Grounds**

### **Regulation 57 (1), (2) and (3)**

#### **Public Contract Directives 2014/24/EU Article 57(1)**

##### **Participation in a criminal organisation**

Participation offence as defined by section 45 of the Serious Crime Act 2015

Conspiracy within the meaning of

- section 1 or 1A of the Criminal Law Act 1977 or
- article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983

where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime;

##### **Corruption**

Corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;

The common law offence of bribery;

Bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983;

##### **Fraud**

Any of the following offences, where the offence relates to fraud affecting the European Communities' financial interests as defined by Article 1 of the convention on the protection of the financial interests of the European Communities:

- the common law offence of cheating the Revenue;
- the common law offence of conspiracy to defraud;
- fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
- fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
- fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
- an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
- destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of

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the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;

- fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
- the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;

### **Terrorist offences or offences linked to terrorist activities**

Any offence:

- listed in section 41 of the Counter Terrorism Act 2008;
- listed in schedule 2 to that Act where the court has determined that there is a terrorist connection;
- under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by the previous two points;

### **Money laundering or terrorist financing**

Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002

An offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996

### **Child labour and other forms of trafficking human beings**

An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;

An offence under section 59A of the Sexual Offences Act 2003

An offence under section 71 of the Coroners and Justice Act 2009;

An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994

An offence under section 2 or section 4 of the Modern Slavery Act 2015

### **Non-payment of tax and social security contributions**

Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.

Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:

- HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; or
- a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle;
- a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS) or any equivalent or similar regime in a jurisdiction in which the supplier is established

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## **Other offences**

Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland

Any other offence within the meaning of Article 57(1) of the Directive created after 26<sup>th</sup> February 2015 in England, Wales or Northern Ireland

## **Discretionary exclusions**

### **Obligations in the field of environment, social and labour law.**

Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive as amended from time to time; including the following:-

- Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last three (3) years.
- In the last three (3) years, where the organisation has 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 of alleged unlawful discrimination.
- In the last three (3) years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
- Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
- Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;
- Where the organisation has been in breach of the National Minimum Wage Act 1998.

### **Bankruptcy, insolvency**

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;

### **Grave professional misconduct**

Guilty of grave professional misconduct

### **Distortion of competition**

Entered into agreements with other economic operators aimed at distorting competition

### **Conflict of interest**

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

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Been involved in the preparation of the procurement procedure.

### **Prior performance issues**

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.

### **Misrepresentation and undue influence**

The organisation has influenced the decision-making process of the Customer 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.

### **Additional exclusion grounds**

**Breach of obligations relating to the payment of taxes or social security contributions.**

### **Extract from Public Procurement Directive 2014/24/EU**

#### **LIST OF INTERNATIONAL SOCIAL AND ENVIRONMENTAL CONVENTIONS REFERRED TO IN ARTICLE 18(2) —**

- ILO Convention 87 on Freedom of Association and the Protection of the Right to Organise;
- ILO Convention 98 on the Right to Organise and Collective Bargaining;
- ILO Convention 29 on Forced Labour;
- ILO Convention 105 on the Abolition of Forced Labour;
- ILO Convention 138 on Minimum Age;
- ILO Convention 111 on Discrimination (Employment and Occupation);
- ILO Convention 100 on Equal Remuneration;
- ILO Convention 182 on Worst Forms of Child Labour;
- Vienna Convention for the protection of the Ozone Layer and its Montreal Protocol on substances that deplete the Ozone Layer;
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention);
- Stockholm Convention on Persistent Organic Pollutants (Stockholm POPs Convention)
- Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) (The PIC Convention) Rotterdam, 10 September 1998, and its 3 regional Protocols.

### **Consequences of misrepresentation**

A serious misrepresentation which induces a contracting authority to enter into a contract may have the following consequences for the signatory that made the misrepresentation:-

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- The potential supplier may be excluded from bidding for contracts for three years, under regulation 57(8)(h)(i);
- The Customer may sue the supplier for damages and may rescind the contract under the Misrepresentation Act 1967.
- If fraud, or fraudulent intent, can be proved, the potential supplier or the responsible officers of the potential supplier may be prosecuted and convicted of the offence of fraud by false representation under s.2 of the Fraud Act 2006, which can carry a sentence of up to 10 years or a fine (or both).
- If there is a conviction, then the company must be excluded from procurement for five years under regulation 57(1) (subject to self-cleaning).