# 

# Social Work England

# Invitation to Tender

**Internal Audit Services**

# Reference Social Work England 10388

Closing date for submission of tenders:

17:00 hrs – Friday 28th October 2022

**Please complete your tender submission in accordance with the instructions provided.**

CONTENTS

This document is in two parts:

Part A is the invitation to tender and provides all the background information, a description of what is required, and an overview and instructions for the completion and submission of the tender document.

* Introduction
* Requirement (including specification)
* Procurement process
* Evaluation of tenders
* Instructions for completing the tender.

Part B is the tender submission document, this should be completed in full and returned in advance of the deadline in accordance with the instructions given.

**Part A**

1. Background

# Social Work England was established under The Children and Social Work Act 2017 (the Act) to be a new single-profession regulator for social workers in England. It is a separate legal entity in the form of a Non-Departmental Public Body (NDPB) and operates at arm’s length from government.

# Social Work England regulates both child and family social workers, and adult social workers. The Department of Education (DfE) has policy responsibility for the former, and the Department of Health and Social Care (DHSC) for the latter. Both Departments fund Social Work England and, as such, work in close partnership to oversee and support Social Work England in the delivery of its statutory responsibilities and objectives.

# Social Work England was established in April 2018 and took on regulatory functions from December 2019.

1. Aim

# Social Work England does not have an in-house audit capability. Our aim is to appoint a provider of internal audit services commencing April 2023. We are looking for a provider who can work in partnership with Social Work England to deliver the core internal audit brief to a high standard.

1. Objectives
   1. Social Work England is looking to procure an internal audit partner that can provide added value. Key features of the audit service should include:
      1. management letters that give business advice, including benchmarking, highlight basic systems failures and provide comments on application and use of risk assessments;
      2. audits which consider context when defining risk and audit opinion;
      3. comment on controls and systems;
      4. comment on the application of accounting policies and financial reporting issues;
      5. continuity of suitably skilled, qualified and experienced staff;
      6. experience of internal audit of regulatory bodies and capability to benchmark against good/best practice within similar types of organisation in order to support continual improvement;
      7. ability to meet timetables and deadlines, as well as the ability to be flexible around organisational requirements; and the
      8. ability to summarise a complex audit at the highest level and being brave enough to comment on potentially difficult problems.
2. The successful provider will be required to ensure that internal audit is carried out in accordance with the [Public Sector Internal Audit Standards (PSIAS)](https://www.gov.uk/government/publications/public-sector-internal-audit-standards) as adopted by HM Treasury
3. The successful provider may be required to investigate incidents of potential fraud, breach of information security and other areas, where these have been identified as a result of control procedures and/or brought to the attention of Social Work England’s Executive Leadership Team (ELT).
4. Duration
   1. The contract will run for a period of two years with an option to extend the contract for a further two years, subject to satisfactory annual review.
   2. As part of the current internal audit strategy (2022-2025) the successful provider is expected to commit a maximum of 40 days towards the annual internal audit plan, inclusive of all field work, management/partner reviews and attendance at Social Work England’s ARAC and board meetings. A copy of the strategy can be provided on request.
5. Service requirements
   1. The successful provider will deliver an internal audit service to Social Work England to give an independent and objective opinion on the adequacy and effectiveness of our system of risk management, control and governance. The provision of an internal audit service must be in compliance with the standards identified within HM Treasury’s [Public Sector Internal Audit Standards](https://www.gov.uk/government/publications/public-sector-internal-audit-standards).
   2. Social Work England will require independent assurance regarding the following areas:
      1. corporate governance;
      2. risk management;
      3. performance and delivery;
      4. health and safety;
      5. information security and governance;
      6. business continuity;
      7. business planning;
      8. human resource management and recruitment;
      9. key financial and operational controls;
      10. Procurement and commercial activities
      11. programme and change management.
   3. The successful provider will be expected to deliver the following as an integral part of their service:
      1. An annual refresh of the 3-year internal audit strategy in consultation with Social Work England for the. The strategy will need to be broken into three separate annual internal audit plans;
      2. an internal audit service in accordance with the internal audit strategy and annual audit plan for the financial years 2023-24, 2024-2025 and 2025-26;
      3. preparation and presentation of a written annual report and opinion to Social Work England’s Audit and Risk Committee (ARAC) upon completion of each year’s internal audit plan; and
      4. appointment of a named Audit Partner and Audit Manager/Lead Auditor. The Audit Partner will act as Social Work England’s head of internal audit and accordingly his/her time commitment must reflect the responsibilities of this role and be responsive to the requirements of the Executive Director People and Business Support, Accounting Officer and the Audit and Risk Committee.

### The successful provider will be required to attend, and present progress reports as requested at each of Social Work England’s Audit and Risk Committee meetings, which take place four times a year. The Audit Partner will be required to attend, accompanied by the Audit Manager/Lead Auditor.

* 1. The successful provider will also be required to participate in several project activities as agreed with the Executive Director People and Business Support prior to each year, to advise on, and provide assurance regarding project governance issues.
  2. All tendering parties are asked to set out their quality assurance processes and to explain how these will be applied to each element of the internal and general audit requirements.

### External Audit Liaison and Access

* 1. Social Work England’s Annual Report and Accounts (ARA) are subject to audit by the Comptroller and Auditor General under the [Government Resources and Accounts Act 2000](https://www.legislation.gov.uk/ukpga/2000/20/contents). The provider will be required to liaise with the National Audit Office (NAO) audit team and where so requested, to provide input to the NAO audit for assurance purposes. Further to this, there may also be occasions in which the provider is required to liaise with and provide input to the Government Internal Audit Agency (GIAA); these occasions will be communicated in advance of the annual audit plan.
  2. The internal auditor will have the right of access to all Social Work England’s records and information required in the exercising of their responsibilities and duties; excluding any personal data relating to Social Worker registrants, Fitness to Practise cases or sensitive personal data relating to employees or volunteers. The internal auditors will have right of access to the Chair of the Board, the Chair of the ARAC and the CEO/Accounting Officer.

1. Partnership
   1. Social Work England would like an open and constructive relationship with its internal auditors. As a Regulatory body, we expect our audit requirements to vary based upon the development of our regulatory function. We would therefore expect this to be reflected in the level of service provided.
   2. We do not want a relationship where we feel unable to pick up the phone or send an e-mail for fear of receiving a fee note.
2. Procurement

### Best Practice Criteria

* 1. Social Work England has agreed a set of best practice principles in relation to this tender. These principles provide a framework to ensure that we act in an ethically and commercially responsible way in our contractual arrangements. Adhering to these principles is an integral part of the procurement process for Social Work England.
  2. Social Work England will:
     1. encourage local employment and enterprise to create and maintain local job opportunities and training;
     2. seek value for money and the minimisation of risk;
     3. harness the capability, diversity, and innovation of our service provider to add value to our operational effectiveness and efficiency;
     4. adhere to a procurement process which is equitable, lawful, and compliant with regulations;
     5. seek to be easy to do business with, in order to minimise costs, risks and time;
     6. ensure the confidentiality of information entrusted to us while working with service providers who also respect this practice; and
     7. permit hospitality only to an extent that it cannot be perceived as an inducement.

# Instructions to Tenderers

* 1. Social Work England are using this Invitation to Tender (ITT) to conduct a competition for the procurement of an Internal Audit Service Provider. This procurement activity will be in two stages:

* + 1. Invitation to Tender - Written Tender Submission; and
    2. Interview.
  1. All questions regarding this ITT should be sent to: [tenders@socialworkengland.org.uk](mailto:tenders@socialworkengland.org.uk). Any questions posted after 17:00 hrs Friday 14 October 2022 will not receive a response.
  2. All tenders received that are compliant (submitted in accordance with the tendering instructions) will be evaluated based on the evaluation criteria set out below.
  3. Tenders should be prepared and submitted using part B of this document below.
  4. Tenders will be evaluated, and bids scored. Supplier bids which achieve the three highest scores overall will be invited to interview. Interviews will consist of an additional set of questions, which will be evaluated and scored.
  5. The following indicative timetable is provided for tenderers benefit. Please be aware that these are indicative timescales (except for the deadlines in bold) and may be subject to change at the absolute discretion of Social Work England.

| **ACTIVITY** | **EXPECTED DATE** |
| --- | --- |
| **Invitation to Tender launched** | **28th September 2022** |
| **Deadline for clarification questions from bidders** | **17:00 hrs 14th October 2022** |
| **Deadline for Social Work England responses to clarification questions from bidders** | **Friday 21st October 2022** |
| **ITT deadline for bid responses** | **17:00 hrs Friday 28th October 2022** |
| Call to Interview | No later than 16th November 2022 |
| Interviews held | Wednesday 23rd and Thursday 24th November 2022 |
| Contract Award | Week commencing 28th November 2022 |
| **Contract Commencement** | **1st April 2023** |

1. Completing the Invitation to Tender
   1. To enable evaluating officers to assess fully the tenderer’s suitability to provide the services, all the information requested in this invitation to tender must be provided. Failure to complete the tender submission in full or failure to provide any of the documents requested may result in your tender being rejected. Questions should be answered as instructed:
      1. please answer every question;
      2. questions must be answered in English; and
      3. when posed with Yes/No questions, please either circle your answer or delete as applicable.
   2. All other questions will require you to input text or numbers, or to tick boxes.
   3. Any figures requested should be stated in full (i.e., £4,000 not £4k) and in GBP.
   4. If the question does not apply to you, please write N/A; if you don’t know the answer please write N/K.
   5. Only the information contained within this invitation to tender or otherwise communicated in writing by Social Work England to the tenderer should be considered when submitting your tender.
   6. Any information and/or documents submitted on or with this tender must relate to ‘the tenderer’ only – ‘the tenderer’ being the organisation which it is proposed will enter a formal contract should their tender be successful. (All responses and submissions provided by the tenderer will form part of that contract). Where required, Social Work England may seek further clarification from the tenderer following submission of a completed bid pack.
2. Format of Tender Submission
   1. Tenderers are required to complete all the documentation listed below. You may complete the documentation electronically but must not make any changes to the structure and/or order of the document provided (except as necessary to accommodate your responses, i.e., enlarging response boxes etc.). In particular, please do not undertake any substantive changes to formatting, or add appendices instead of completing the tables provided, and so on, except when expressly requested or when necessary to properly present your offer.
   2. You should complete and submit all schedules in Part B of this document, namely:
      1. company details and general information;
      2. response to specification (method statements);
      3. pricing schedule;
      4. freedom of information exclusion schedule; and the
      5. tendering declaration.
   3. The declaration must be signed by a director, partner, or other senior authorised representative in her/his own name and on behalf of the organisation. The details contained in each tenderer’s response may be specified in any contract or may form an appendix thereof. Tenderers should therefore make sure that their responses are authorised at an appropriate level which would enable them, should they be successful, to become the subject of a binding contract.
3. Submitting your Tender
   1. Completed tender (Part B of this document) and all associated documentation, should be submitted via email to: [tenders@socialworkengland.org.uk](mailto:tenders@socialworkengland.org.uk).
   2. **Completed tender submissions must be received by 17:00hrs on 28h October 2022.** Social Work England reserves the right to reject any responses received after this deadline.
4. Conditions of Tender
   1. In submitting a response to this Invitation to Tender, tenderers do so on the conditions set out below. In the event of any breach of the conditions Social Work England shall be entitled to terminate any arrangement made because of such tender and to claim damages accordingly.

### Warnings and Disclaimers

* 1. Information supplied by Social Work England (whether in this document or otherwise) is supplied for general guidance in the preparation of tenders. Tenderers must satisfy themselves by their own investigations with regard to the accuracy of such information. Social Work England cannot accept responsibility for any inaccurate information obtained by tenderers.

### Tenderer Conduct and Conflicts of Interest

* 1. Tenderers shall not, before the date and time specified for return of the tender, communicate to any person the amount or approximate amount of the tender or proposed tender; except where the disclosure, in confidence, of the approximate amount of tender is necessary to obtain insurance cover.
  2. The tender submitted shall be a bona-fide tender and shall not be fixed or adjusted by or under or in accordance with any agreement or arrangement with any other person.
  3. Tenderers shall not enter into any agreement or arrangement with any other person with the intent that the other person shall refrain from tendering or agree to the amount of any other tender to be submitted.
  4. Tenderers must not, in connection with the proposed contract:
     1. offer any inducement, fee or reward to any member or officer of Social Work England;
     2. do anything which would constitute a breach of the [Bribery Act 2010](https://www.legislation.gov.uk/ukpga/2010/23/contents) or the [Section 117 (2) Local Government Act 1972](https://www.legislation.gov.uk/ukpga/1972/70/section/117); and/or
     3. canvass any of the persons referred to above in connection with the contract; or contact any member or officer or any person acting as an advisor to Social Work England (except as authorised by this invitation to tender for the purpose of asking genuine questions about the process or the contract) about any aspect of the proposed contract or for soliciting information in connection therewith.
  5. Tenderers are responsible for ensuring that no conflicts of interest exist between the tenderer (and its advisors) and Social Work England (and its advisors). Any tenderer who fails to comply with this requirement may be disqualified from the procurement process at the discretion of Social Work England.
  6. It is the tenderers responsibility to ensure that their submitted tender is complete, prepared and submitted in accordance with the instructions contained herein, and signed and dated where required. Social Work England are not obliged to consider any tender which is incomplete or not prepared or submitted in accordance with the said instructions, but at its sole discretion Social Work England may offer a tenderer who submits such a tender an opportunity to remedy the omission before evaluation of the tender takes place, provided that in the judgement of Social Work England this does not adversely affect the integrity and fairness of the tender exercise.
  7. Social Work England will not be liable for any tender costs, expenditure, work, or effort incurred by a tenderer in proceeding with or participating in this procurement process, including if the procurement process is terminated or amended by Social Work England.

1. Social Work England’s Rights
   1. Social Work England reserves the right to:
      1. seek additional information or clarification from tenderers at any time during the tender process;
      2. disqualify any tenderer that does not submit a compliant tender, in accordance with the instructions given in this invitation to tender;
      3. disqualify any tenderer that is guilty of serious misrepresentation in relation to its tender, expression of interest, the application form or the procurement process;
      4. withdraw this invitation to tender at any time, and to re-invite tenders on the same or any alternative basis;
      5. choose not to award any contract as a result of the procurement process;
      6. make whatever changes it sees fit to the timetable, structure or content of the procurement process; and
      7. retain copies of all tender submissions to satisfy its audit obligations and for other purposes.
2. Confidentiality and Freedom of Information Act
   1. This invitation to tender is made available on condition that its contents (including the fact that the tenderer has received this invitation to tender) is kept confidential by the tenderer and is not copied, reproduced, distributed or passed to any other person at any time, except for the purpose of enabling the tenderer to submit a tender.
   2. As a public body, Social Work England is subject to the provisions of the [Freedom of Information Act 2000](https://www.legislation.gov.uk/ukpga/2000/36/contents) (FOIA) in respect of information it holds (including third-party information). Any member of the public or other interested party may make a request for information.
   3. Social Work England shall treat all tenderers' responses as confidential during the procurement process. Requests for information received following the procurement process shall be considered on a case-by-case basis, applying the principles of the FOIA.
   4. While Social Work England aims to consult with third-party providers of information before it is disclosed, it cannot guarantee that this will be done. Therefore, tenderers are responsible for ensuring that any confidential or commercially sensitive information has been clearly identified to Social Work England in the form provided in the Tender Submission Document (i.e., the Freedom of Information Exclusion Schedule).
   5. Tenderers should be aware that, in compliance with its transparency obligations Social Work England may publish details of its contract(s), including the contract values and the identities of its service providers on its website and the Contracts Finder portal.
   6. No publicity regarding the contract or the award of any contract will be permitted unless and certainly until Social Work England has given express written consent to the relevant communication. For example, no statements may be made to the media regarding the nature of any tender, its contents or any proposals relating to it without the prior written consent of Social Work England.
3. Evaluation

Written Tender Submission

* 1. Tenders, and any supporting documentation will be evaluated on the basis of 30% price and 70% response to method statements. The evaluation will be based on the tenderer’s response to the requirement detailed and consideration of the following criteria:
     1. understanding of Social Work England’s needs and the specific requirements of this contract;
     2. evidence of the tenderers ability to comprehend and communicate key information with clarity and understanding;
     3. evidence of the tenderers ability to exercise good judgement and take decisions on unexpected problems that could have significant impact on audits;
     4. evidence of the tenderers ability to apply critical reasoning and questioning skills to identify when further investigation and evidence gathering is required;
     5. evidence of the tenderers track record of conducting audit activity within a regulatory environment including experience of working within multi-disciplinary teams; and
     6. the ability to work to strict deadlines.
  2. All completed tenders received will be evaluated by officers of Social Work England and members of ARAC (as appropriate). This evaluation panel will consist of between 3-5 individuals.
  3. In order to be transparent, and to ensure that tenderers fully understand how their tender submission will be evaluated, full details of the evaluation process are described below. The following price and quality weightings will be used to determine the most economically advantageous tender:
     1. Non-Price represents 70%
     2. Price represents 30%
  4. NOTE: Failure by a tenderer to comply with these instructions may invalidate your bid.
  5. Tenderers will be asked to provide a response to the following sections within Part B (the tender submission document).

| **Section** | **Total Score Available** |
| --- | --- |
| Company Details | Information Only |
| Compliance with Specification | Pass/Fail |
| Method Statements | 70 points |
| Price | 30 Points |

* 1. Please note that the ‘Compliance with Specification’ section will be assessed on a Pass/Fail basis. If a tenderer cannot or is unwilling to comply with the specification, their tender will be deemed as non-compliant and will be excluded from further consideration.
  2. When completing the questions tenderers must make sure that they answer what is being asked. Anything that is not directly relevant to the question should not be included, but wherever possible tenderers should demonstrate how they will go further than what is being asked for, to add value. Appendices should be provided where requested to offer further supporting evidence within the tenderer’s question response.
  3. Tenderers should also make sure that their answers inform not just what they will do, but how they will do it, and what their proposed timescales are (as relevant). It is useful to give examples or provide evidence to support your responses.
  4. Tenderers are encouraged to use the word count allowed to answer each method statement as fully as possible. The purpose should be to include as much relevant detail as required, so that the evaluation panel gets the fullest possible picture.
  5. Each method statement will be evaluated by the panel individually, one by one in order. When scoring each statement, no consideration is given to information included in other answers so please do not cross reference across responses or provide supporting information in your tender submission unless expressly requested. Once evaluated individually, the panel will come together to agree on a cumulative score.

Interview Stage

* 1. The **three** tenderers scoring the highest points overall at the written tender submission stage, will be invited to attend an interview (to take place via Microsoft Teams). Tenderers will be requested to provide up to a maximum of two representatives for interview and must be available for interview on the dates identified in 8.6 of this ITT.

* 1. Interviews will consist of a further series of questions that will be evaluated and scored. The interview questions, and full details of the interview format, will be sent to all interviewees ahead of the interview (for full interview details please see clause 19).
  2. The tenderer scoring the highest points at Interview stage, will be awarded the Contract under Social Work England’s Terms and Conditions (please see clause 20.1 for the full Terms and Conditions).

1. Scoring of written submission
   1. Method statements and price responses will be scored on a scale of 0 to 4, and the agreed scores will then be weighted according to the total number of points available for each section as detailed in the table below:

| **In the evaluating officers’ reasoned opinion, the response provided is a(n):** | | **Points available** |
| --- | --- | --- |
| 0 | **Unacceptable Response.** No response, response not relevant or question not answered. | 0 points. |
| 1 | **Poor Response.** The response is partially compliant, but with serious deficiencies in meeting service requirements (any supporting evidence is minimal). | 25% of points available. |
| 2 | **Fair Response.** The response is compliant (some evidence may be provided which supports compliant elements) with shortfalls in meeting service requirements. Any concerns are of a minor nature. | 50% of points available. |
| 3 | **Good Response.** The response is compliant and offers relevant evidence to support their claims, clearly indicating that service requirements would be met. | 75% of points available. |
| 4 | **Excellent Response.** The response is compliant and offers relevant detailed evidence to support their claims, clearly demonstrating a comprehensive understanding of the service requirements. | 100% of points available. |

1. Please note that scoring ‘0’ for any one or more method statements will give grounds for excluding the tender from further consideration. For any tenders that are deemed excludable on this basis, that tenderer’s price shall automatically be excluded from the ‘price’ evaluation.

### Response to Method Statements

1. Tenderers must provide method statements in response to the questions below, to describe how they will meet the requirements of the contract. There are 6 method statements in total.
2. Tenderers are required to respond to all the questions below. Questions should be answered in full on the template provided.
3. For each method statement, there is a maximum word limit. Please adjust as necessary the size of the ‘response’ box in order to accommodate your response. Where appendices are requested, please attach as part of your submission to Part B.

| **Ref** | **Method Statement Questions** | **Look Fors** | **Maximum**  **available points** |
| --- | --- | --- | --- |
| Q1 | How would you ensure that your approach to the planning and delivery of the internal audit service is as flexible as possible? | * Audit strategies. * Planning required. * Benchmarking. * Assessment and approach to changing priorities. * Systems, quality assurance processes and controls. | 15 Points |
| Q2 | What experience do you have of delivering audit services for Regulatory bodies? | * Compliance with relevant standards including public sector internal audit standards. * Evidence of successful delivery to Regulatory bodies over a period. | 10 Points |
| Q3 | How would you ensure the quality, suitability and consistency of the team undertaking the services over the period of the contract?  Please provide CVs of team members as an appendix. | * Accreditation and professional standards. * Capacity and capability for delivery of required service. * Evidence of staff training, development and career progression. | 15 Points |
| Q4 | Please provide evidence of how you would plan and carry out internal Audit requirements. | * Working with key stakeholders. * Identification and agreement of risks. * Reporting sensitive information. | 10 Points |
| Q5 | What type of approach would you consider when reporting to the Audit and Risk Committee and the Executive Leadership Team? | * Considers approaches to reporting to different client groups. * Examples of key documentation provided. | 10 Points |
| Q6 | Explain your approach to managing differences of opinion/ disagreements with clients and provide examples of how these have been resolved. | * Considers different approaches. * Manages risk appetite. * Develops stakeholder relationships. | 10 Points |

17.1 Response to Prices within written submission

* 1. Price carries 30% of the overall score. Questions for prices are weighted with the number of points available shown in the table below.
  2. Prices included in the tender submission should be **net** costs (excluding VAT). Associated VAT costs should be shown separately as part of your tender submission.
  3. Social Work England request a price breakdown based on the requirements identified within the ITT. Prices required are:
     1. A competitive rate card identifying the proportion of time allocated for each role;
     2. A total price for the delivery over the term of the contract.
  4. Tenderers are required to respond to all the price questions below. Questions should be answered in full on the template provided.
  5. In respect to question 1, pricing should be submitted via the cost matrix and rate card templates provided. For questions 2 and 3 there will be a maximum word limit. Please adjust as necessary the size of the ‘cost matrix and rate card’ templates and/or the ‘response’ box in order to accommodate your response.

| **Ref** | **Price Questions** | **Look Fors** | **Maximum available points** |
| --- | --- | --- | --- |
| Q1 | Please provide a total cost for the delivery of the services as described in the statement of requirements. | * Pricing as per table provided. * Includes assumptions. * Rate card. * Includes VAT as a separate item. | 15 points |
| Q2 | How would you seek to manage the risk of unexpected delays and its impact on additional costs? | * Identifies risk areas. * Provides solutions to mitigate risks. * Provides past experience of risk management. | 10 points |
| Q3 | Please provide evidence that your price provides value for money and identifies areas of value added activity? | * Identifies areas that provide value for money. * Identifies value added activity. | 5 points |

1. Moderation of written submission Scores
   1. The evaluation panel will be made up of officers from Social Work England and representatives from its ARAC committee. Evaluation panel members will separately evaluate all bids and will subsequently meet to discuss their scores.
   2. Upon conclusion of the evaluation of the ITT, the score for price and non-price will be combined to give a total score out of 100.
2. Moderation of Interview scores
   1. Interviews will consist of a further series of questions that will be evaluated and scored by an evaluation panel. The following details will be sent to each interviewee ahead of the interview:

19.1.1 the name and job role of each member of the evaluation panel.

19.1.2 the interview question set.

19.1.3 the scoring mechanism that will be used to evaluate each question, and the scoring points available to the interviewee for each question.

* + 1. the Microsoft Teams link that the interview will take place via.

1. Award of Contract
   1. The tenderer scoring the highest points at interview stage, will be awarded the contract under Social Work England’s Terms and Conditions:



* 1. The successful tenderer offered the Contract will be advised by email.
  2. We would expect that the successful tendered to engage with Social Work England in the period January to March 2023, to prepare for Contract commencement. This would include attending our ARAC meeting in February 2023.
  3. Unsuccessful tenderers will be advised by email and will be entitled to receive feedback upon request.

**Social Work England**

**Part B – Response to Tender**

**Internal Audit Services**

**Reference Social Work England 00047**

Closing date for submission of tender:

17:00 hrs – Friday 28th October 2022

**Please complete your tender submission in accordance with the instructions provided.**

**PART B**

1. COMPANY DETAILS AND COMPLIANCE WITH TENDER

2. RESPONSE TO SPECIFICATION (METHOD STATEMENTS)

3. PRICING SCHEDULE

4. FREEDOM OF INFORMATION EXCLUSION SCHEDULE

5. TENDERING DECLARATION

# Part B To be completed in response to Invitation to Tender

Please complete all the information requested below andreturn Part B by the latest

17:00 hrs - Friday 28th October 2022.

General information questions are asked for information purposes only and the responses will not be evaluated. The answers do however give the evaluation panel an overview of the organisation and its structure. Please complete in full:

|  |  |  |
| --- | --- | --- |
|  | **ORGANISATION DETAILS** | |
|  | Please state the full name of the organisation submitting this tender | |
|  | |
|  | Please state the registered office address | |
| Address: | |
| Postcode: | |
|  | Please state the company registration number | |
|  | |
|  | Please state the VAT registration number | |
|  | |
|  | To the best of your knowledge, does any director or senior officer of your organisation have any personal or financial connection with any member or senior officer of Social Work England? | YES / NO |
| If yes, please provide details | |
|  | **Contact Details** (for communications, correspondence and enquiries relating to this tender submission) | |
|  | Please state the contact’s name, and position within the organisation: | |
| Name:  Position: | |
|  | Please state the contact’s address: | |
| Address:  Postcode: | |
|  | Please state the contact’s telephone number and email address: | |
|  | |

Compliance with Specification

Tenderers must provide a response to the Compliance with Specification section included below. Tenderers should note that this section will be assessed on a Pass/Fail basis. If a tenderer cannot or is unwilling to answer ‘Yes’, their tender will be deemed non-compliant and will be excluded from further consideration. Tenderers should confirm by deleting the inappropriate answer.

|  |  |
| --- | --- |
| I confirm I/we comply with all elements of the requirement and specification as outlined in part A of this Invitation to Tender. | YES / NO |
| Please use the space below to outline any areas where you cannot comply, or to provide any further information regarding compliance with the specification that you have not been able to state elsewhere in your tender submission. | |
| **I confirm I/we meet the standard requirements and hold the necessary qualifications to deliver the required audit services.** | **YES/ NO** |
| Please use the space below to outline any areas where you cannot comply, or to provide any further information regarding compliance with the specification that you have not been able to state elsewhere in your tender submission. | |
| I confirm upon request, that I/we will provide available representation for interviews on either Wednesday 23rd or Thursday 24th November 2022. | YES/ NO |
| Further information will be available for tenderers that are successful at gaining an interview. Please use the space below to outline any areas where you cannot comply, or to provide any further information regarding compliance with the specification that you have not been able to state elsewhere in your tender submission. | |

Response to Method Statements

Tenderers are referred to (Part A) of the ITT and reminded that evaluation of their method statements will account for 70% of their total tender score.

Tenderers must provide method statements in response to the questions below, to describe how they will meet the requirements of the contract. There are 6 method statements in total.

Tenderers are required to respond to all the questions below. Questions should be answered in full and should not refer to other documents or appendices unless otherwise specified.

For each method statement, there is a maximum word limit. Please adjust as necessary the size of the ‘response’ box in order to accommodate your response.

| **Ref** | | **Method Statement Questions** |  |
| --- | --- | --- | --- |
| 1 | | How would you ensure that your approach to the planning and delivery of the internal audit service is as flexible as possible?  *A maximum number of 1,000 words should be submitted for this section.*  *A maximum of 15 points are available for this response.* | |
| **Response:** | | | |
| 2 | | What experience do you have of delivering audit services for Regulatory bodies?  *A maximum number of 1,000 words should be submitted for this section.*  *A maximum of 10 points are available for this response.* | |
| **Response:** | | | |
| 3 | | How would you ensure the quality, suitability and consistency of the team undertaking the services over the period of the contract?  Please provide CVs of team members as an appendix (these will not be included in the word count).  *A maximum number of 1,000 words should be submitted for this section.*  *A maximum of 15 points are available for this response.* | |
| **Response:** | | | |
| 4 | | Please provide evidence of how you would plan and carry out internal Audit requirements*.*  *A maximum of 500 words should be submitted for this section.*  *A maximum of 10 points are available for this response.* | |
| **Response:** | | | |
| **5.** | What type of approach would you consider when reporting to the Audit and Risk Committee and the Executive Leadership Team?  *A maximum of 500 words should be submitted for this section.*  *A maximum of 10 points are available for this response.* | | |
| **Response:** | | | |
| **6.** | Explain your approach to managing differences of opinion/disagreements with clients and provide examples of how these have been resolved.  *A maximum of 500 words should be submitted for this section.*  *A maximum of 10 points are available for this response.* | | |
| **Response:** | | | |

Response to Pricing

Tenderers are referred to Part A of the ITT and reminded that evaluation of price will account for 30% of their total tender score.

Responses to pricing for question 1 should be complete in the tables provided. Response to questions 2 and 3 should be completed within the response section provided in the template below.

All prices should be quoted in GBP (£), and prices quoted should be net of VAT. Please ensure all assumptions on price are detailed within the table and against each costed item.

| **Ref** | | **Method Statement Questions** |  |
| --- | --- | --- | --- |
| 1 | | Please provide a total cost for the delivery of the services as described in the statement of requirements.  *A maximum of 15 points are available for your response.* | |
| **Response: Please provide your response in the tables below.** | | | |
| **2.** | How would you seek to manage the risk of unexpected delays and its impact on additional costs?  *A maximum of 10 points are available for your response.* | | |
| **Response:** | | | |
| **3.** | Please provide evidence that your price provides value for money and identifies areas of value added activity?  *A maximum of 5 points are available for your response.* | | |
| **Response:** | | | |

Cost Matrix: to be completed by bidder.

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **23-24** | **23-24** | **24-25** | **24-25** | **25-26** | **25-26** | **26-27** | **26-27** | **Overall Cost (inc. VAT)** | **Assumptions** |
|  | Costs | VAT | Costs | VAT | Costs | VAT | Costs | VAT |  |  |
| Fixed costs |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Variable Costs |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Travel |  |  |  |  |  |  |  |  |  |  |
| Accommodation |  |  |  |  |  |  |  |  |  |  |
| Disbursements |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Profit |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| **Total Cost** |  |  |  |  |  |  |  |  |  |  |

Rate Card: to be completed by bidder.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Role** | **Percentage of time allocated** | **Hour Rate** | **VAT** | **Daily Rate** | **VAT** | **Assumptions** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

Freedom of Information Exclusion Schedule

Tenderers attention is drawn to the conditions of tender. Tenderers should state here which items of information (if any) supplied by them in their tender they regard as confidential and/or commercially sensitive or which should not be disclosed in response to a request for information under the Freedom of Information Act. Tenderers should state why they consider the information to be confidential or commercially sensitive.

Disclosure of information is at the sole discretion of Social Work England.

**Commercially sensitive information**

I declare that I wish the following information to be designated as Commercially Sensitive:

|  |
| --- |
|  |

The reason(s) it is considered that this information should be exempt under Freedom of Information Act 2000 is:

|  |
| --- |
|  |

The period of time for which it is considered this information should be exempt is until award of contract **OR** during the period of the contract **OR** for a period of 6 years.

|  |
| --- |
|  |

Signed:

Date:

Name of Signatory:

Name of Organisation:

Tendering Declaration

In response to the invitation to tender for the provision of Audit services 26TH September 2023, I/We, the undersigned, confirm that in submitting a tender against this contract that I/We:

1. Undertake that this offer shall remain valid and open for acceptance for a period from the date of submission unless specifically withdrawn in writing.
2. Understand that Social Work England is not bound to accept any tender it receives.
3. Certify that I/We have not done, and I/We will not, at any time before the notification of tender results, do any of the following:
   1. communicate to any person other than the person calling for the tenders the amount or approximate amount of the proposed tender, except where the disclosure, in confidence, of the approximate amount of the tender is necessary to obtain insurance premium quotations required for the preparation of the tender;
   2. enter into any agreement or arrangement with any person that he/she shall refrain from tendering or as to the amount of any tender to be submitted; and
   3. offer to pay or give or agree to pay any sum of money or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to this or any other tender or proposed tender for the said work any act or thing of the sort described above. In the context of this clause the word ‘person’ includes any persons and anybody or association, corporate or unincorporated; and ‘any agreement or arrangement’ includes any such transaction, formal or informal, and whether legally binding or not.
4. Understand that my/our responses to the questions posed in this invitation to tender including any explicit or reasonably implied undertakings, will form part of any contract subsequently entered into between myself/ourselves and Social Work England.
5. Confirm that if our tender is accepted, we will, if required, upon demand:
   1. produce evidence that all relevant insurances and compliance certificates with relevant legislation and policy are held and in force; and
   2. sign a formal contract document if required.
6. Agree that unless and until a contract is prepared and executed, this tender, together with your written acceptance thereof, shall constitute a binding contract between us.
7. Certify that the information supplied is accurate to the best of my/our knowledge and I/we accept the conditions and undertakings requested in this invitation to tender. I/We understand that false information could result in my/our exclusion from further participation in this and future tender processes.

This Tendering Declaration should be signed by a director, partner or other senior authorised representative in his/her own name and on behalf of the organisation.

Signed:

Date:

Name of Signatory:

Name of Organisation: