Submission template

Organisation Info

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| **1** | **Tenderer information** | |
| Note to Tenderer: **PASS/FAIL Section Self-certification**  Response provided in full =PASS, No response or response incomplete=FAIL | | |
| Question number | Question | Response |
| 1.1(a) | Full name of the Supplier submitting the information |  |
| 1.1(b)– (i) | Registered office address (if applicable) |  |
| 1.1(b)–(ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status  public limited company  limited company  limited liability partnership  other partnership  sole trader  third sector  other (please specify your trading status) |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office DUNS number (if applicable) |  |
| 1.1(h) | Registered VAT number |  |
| 1.1(i) | Please confirm geographical coverage? (For Info) |  |
| 1.1(j) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | Yes / No (N/A) |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | Yes ☐  No ☐ |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)  Voluntary Community Social Enterprise (VCSE)  Sheltered Workshop  Public service mutual |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)? | Yes ☐  No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: 2  - Name;  - Date of birth;  - Nationality;  - Country, state or part of the UK where the PSC usually lives;  - Service address;  - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);  - Which conditions for being a PSC are met;  - Over 25% up to (and including) 50%,  - More than 50% and less than 75%,  - 75% or more. 3  (Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company:    - Full name of the immediate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office DUNS number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:  - Full name of the ultimate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office DUNS number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |

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| **2 Exclusion grounds Pass/ Fail** | | |
| 2.1 | Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?  If your answer to this question is YES, please provide details in a separate Appendix (clearly referenced) of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.  You may be excluded if you are unable to demonstrate to that appropriate remedial action has been taken to prevent similar occurrences or breaches reoccurring.  If you use sub-contractors, do you have processes in place to check whether any of the circumstances listed in question 10.2 apply to these other organisations? |  |
| 2.2 | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)?   If your answer to this question is “Yes”, please provide details in a separate Appendix (clearly referenced) of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.   If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation? |  |
| 2.3 | In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)?   If you have answered YES to the above question, please provide, as a separate Appendix (clearly referenced), a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.   If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.   You may be excluded if you are unable to demonstrate to that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring. |  |
| 2.4 | In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination?    If you have answered YES to the above questions in this section, please provide, as a separate Appendix (clearly referenced), a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.   If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.   You may be excluded if you are unable to demonstrate that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.  If you use sub-contractors, do you have processes in place to check whether any of the circumstances described in questions xx and xx apply to these other organisations |  |
| 2.5(a) | Modern Slavery Act  Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? 7.2 Compliance with Modern Slavery Act f you have answered yes to question are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?  If YES please provide the relevant url |  |
| 2.5(b) | If NO please provide an explanation. |  |
| 2.6 | Are you a real living wage employer? <https://www.livingwage.org.uk/what-real-living-wage>, if not please answer 2.6(b) |  |
| 2.6(b) | If not, can you confirm you will pay your employees and sub-contractors the real living wage for work carried out as part of the framework. |  |

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| **Policies and certification (Pass/ Fail)** | | |
| 3.1(a) | Does your organisation hold a recognised quality management certification e.g. ISO 9000 or formally documents quality management system?  If YES please provide a copy of your accreditation certificate, or management system in support of your tender. Proceed to Question 3.2   If NO – please answer 3.1(b) |  |
| 3.1(b) | (your organisation does not have a formal documented quality management system) Please explain here how you provide consistent and satisfactory service to your customers.     [1] ”system” means processes and procedures to ensure that the subject is properly managed.  This includes making sure that legal requirements are met. |  |
| 3.2 | Please confirm that your organisation complies with current Health & Safety legislative requirements.  Please note that if we request proof of compliance from your organisation we will require a copy of your organisation’s Health & Safety Policy (if 5 or more people are employed) or a statement of how your organisation ensures compliance with Health & Safety legislation (if less than 5 people are employed).  Please confirm if your organisation holds a recognised certification and provide a copy. |  |
| 3.3(a) | Please confirm if your organisation has an environmental policy? Please provide a copy. |  |
| 3.3(b) | Does the relevant section of your organisation have an Environmental Management System (EMS) certified by a UKAS accredited certifying body (or equivalent)? If so, please enclose a copy of the certificate and the Aspects Register. If not, please describe the main environmental impacts of your business and what you do to manage them. |  |
| 3.3(c) | Please can you outline what steps you are taking to reach net zero by 2050? |  |
| 3.4 | Please confirm you have completed the attached Data Protection due diligence form | (Yes / No) |
| 3.5 (a) | Please confirm if your organisation has a Cyber Essentials or Cyber Essentials Plus certificate? Please provide a copy.  If not please answer 3.5(b) |  |
| 3.5 (b) | If you do not have Cyber Essentials, please explain steps taken to ensure your organisation receives relevant training and steps in place to prevent cyber attacks. |  |
| 3.6 | Please confirm that your organisation has a formal Safeguarding Policy (and any associated procedures or guidelines which support the evidencing of minimum standards). Please provide a copy. |  |
| 3.7 | Does your organisation comply with Disclosure and Barring Service requirements in terms of pre-employment checks, updating and making referrals where appropriate to the Disclosure and Barring Service? |  |
| 3.8 | Please self-certify that your organisation has a formal Equality, Diversity and Inclusion Policy, and action plan? Please provide a copy (if not please answer 3.8 (b) |  |
| 3.8 (b) | If your organisation does not have a written Equalities and Diversity policy, please give the reasons why (for example, if you have less than 5 employees within your company) and provide a brief description of how Equalities and Diversity is managed in your organisation. |  |

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| **4 Contract referees** | | | |
| **Name of customer organisation** | **Contract 1** | **Contract 2** | **Contract 3** |
| Name of customer organisation |  |  |  |
| Point of contact in customer organisation |  |  |  |
| Position in the organisation |  |  |  |
| Email address |  |  |  |
| Description of contract |  |  |  |
| Contract Start date |  |  |  |
| Contract completion date |  |  |  |
| Estimated Contract Value |  |  |  |

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| **5 Insurance Certificate Pass/ Fail** | | |
|  | Please self-certify whether you already have or can commit to obtain, prior to award of the Framework, the levels of insurance cover indicated below:    £5M Employers’ Liability (any one occurrence)  £5m Public Liability insurance (any one occurrence)  £2m Professional indemnity insurance (any one claim and in the aggregate)    Please note that you will be required to provide copies of insurance certificates when we ask for supporting evidence and award cannot be made unless provided.  \*Employers’ Liability insurance is only required for those organisations who employ staff. | Yes / No |

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| **6 Economic and financial standing** Pass/ Fail | | |
|  | Please confirm you have provided a copy of your audited accounts for the last two years. Please provide a copy. | Yes / No |
|  | If not, can you provide one of the following (please state in the box):  (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.  (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.  (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). |  |

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| **7.1 - FORM OF TENDER** |
| Note to Tenderers: **PASS/FAIL Schedule**  Signed Declaration attached=PASS; Signed Declaration not attached=FAIL |

## To: Sustrans, 2 Cathedral Square, College Green, Bristol, BS1 5DD

I/We …………………………………………………

1. Carrying on business at

……………………………………………………………

……………………………………………………………

……………………………………………………………

## Having examined the Tender Documents for the performance of the above service, we offer to carry out the said Service in conformity, without qualification, therewith for the sum/sums enclosed in this Tender.

1. We agree that the insertion by us of any conditions qualifying this Tender or any unauthorised alteration to any of the Tender documents shall not affect the Contract and may cause the Tender to be rejected.
2. We agree that this Tender shall remain open to be accepted or not by Sustrans and shall not be withdrawn for a period of 6 months from this date.
3. Unless and until a formal agreement is prepared and executed, the Tender together with the Sustrans’ written acceptance thereof, shall constitute a binding Contract between the two parties

## We understand you are not bound to accept the lowest Tender or any Tender you may receive and you will not pay any expenses incurred by us in connection with the preparation and submission of this Tender.

## **Signed …………………………………………………………………………..**

## **Print Name ……………………………………………………………………….**

## **Date ……………………………………………………………………………….**

## **in the capacity of** **……………………………………………………………….**

## **duly authorised to sign Tenders and give such certificates for and on behalf of**

## **(in BLOCK CAPITALS) ………………………………………………………….**

## **Telephone No. ……………………………………………………………………**

## **Postal Address ……………………………………………………………………**

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| --- |
| **7.2 Suitability Assessment Declaration** |
| Signed Declaration attached = **PASS**  Signed Declaration not attached = **FAIL** |
| I declare that to the best of my knowledge the answers submitted and information contained in the response are correct and accurate.  I declare that, upon request and without delay; I will provide the certificates or documentary evidence referred to in the schedule(s).  I understand that the information will be used to assess my organisation’s suitability and if my organisation is awarded a ‘fail’ on any of the pass/fail criteria that my organisation will be disqualified from the procurement.  I understand that Sustrans may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.  I am aware of the consequences of serious misrepresentation. |

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| **7.3 Terms and Conditions of Contract Declaration** |
| Signed Declaration attached = **PASS**  Signed Declaration not attached = **FAIL** |
| Requirement contract to be carried out in accordance with **Sustrans Terms and Conditions**  Please indicate your acceptance of the terms and conditions below:   1. I/We fully accept the terms and conditions of Contract as detailed in this schedule |

**By signing below you are agreeing with the statements made within 7.2 and 7.3**

1. **Signed……………………………………………………………………………….**

**Print Name ………………………………………………………………………..**

1. **Date ………………………………………………………………………………...**
2. **In the capacity of**  **……………………………………………………………….**
3. **duly authorised to sign Tenders and give such certificates for and on behalf of**
4. **(BLOCK CAPITALS) ………………………………………………………….**
5. **Telephone No ……………………………………………………………………**
6. **Postal Address ……………………………………………………………………**
7. **………………………………………………………………………………………**

8. **Data Protection Due Diligence Questionnaire**

As a Data Controller, Sustrans must only appoint data processors who can provide ‘sufficient guarantees’ that the requirements of the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018 will be met and that the rights of data subjects will be properly protected. This means that Sustrans needs to carry out due diligence checks before contracting and as part of contract monitoring with all its providers and contracted companies.

**The following questions should be answered with regard to any personal data or sensitive personal data held in respect of this contract.**

|  |  |  |
| --- | --- | --- |
| **8** | **UK General Data Protection Regulation (UK\_GDPR) and the Data Protection Act 2018** | **Response** |
| **a.** | Please provide a valid and up to date notification (Registration Number) with the Information Commissioner’s Office (ICO) that covers all personal data processing arrangements.   1. Registration Number   Text Box   1. Reason for answering ‘No’   Text Box | Yes ☐  Please provide details at (i)  No ☐  Please explain why at (ii) |
| **b.** | Please provide details of your Data Protection Officer.   1. Name   Text Box   1. Job title   Text Box   1. Email   Text Box   1. Reason for answering ‘No’   Text Box | Yes ☐  Please provide details at (i), (ii) and (iii)  No ☐  Please explain why at (iv) and provide details at b(i). |
| **b(i).** | Please provide details of your organisation’s contact for data protection matters if different to the DPO.   1. Name   Text Box   1. Job title   Text Box   1. Email   Text Box | |
| **d.** | Are you able to provide data protection, data security and privacy policies in place within your organisation which meet current ICO recommended codes of practice?  Please provide a copy of these policies.   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Please explain why at (i) |
| **e.** | Are you able to provide details of privacy notices including online and published required UK GDPR documentation regarding processing etc.?   1. Relevant URL to your website   Text Box   1. Reason for answering ‘No’   Text Box | Yes ☐  Please provide relevant URL at (i)  No ☐  Please explain why at (ii) |
| **f.** | Are you able to provide policies and procedures for handling data subject rights? (We note that if you are a data processor for Sustrans we will be responsible for handling such requests for data processed under the contract.) Please provide a copy of these policies.   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Please explain why at (i) |
| **g.** | Are you able to provide a documented process and policy for managing and investigating personal data breaches, which meets UK\_GDPR requirements? Please provide a copy of these policies.   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Please explain why at (i) |
| **h.** | **Employees**  Are you able to provide details of your documented processes for recruitment to check the identity and reliability of employees? For example, by obtaining references, checking qualifications, ensuring they are checked with the Disclosure and Barring Service (where appropriate).   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Please explain why at (i) |
| **i.** | **Training**  Are you able to provide details of your mandatory data protection (induction and refresher) training for all employees?   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Please explain why at (i) |
| **j.** | **Third Party organisation**  Will you use a 3rd party e.g. sub-contractors, partner organisations etc. to deliver this contract?  If yes, are you able to provide the security and data protection processes in place with those 3rd parties to handle council data on your behalf? Do you have processes to ensure reliability of the organisation, due diligence checks to ensure awareness of data protection, security and confidentiality of personal data, appropriate sub-contractor contracts.   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Yes ☐  No ☐  Please explain why at (i) |
| **k.** | **Organisational and technical measures to ensure data security**  To enable Sustrans to be satisfied that appropriate levels of Data Security are in place, are you able to provide details of password and access policies, encryption installed on mobile devices, appropriate security systems etc.? Please provide a copy of these policies.   1. Reason for answering ‘No’   Text Box | Yes ☐  No ☐  Please explain why at (i) |
| **l.** | **Storage and processing of data**  Do any of the systems or processes you use allow for the storage or processing of data outside of the UK? This includes disaster recovery/back up servers and IT system support based abroad.   1. If ‘yes’ the countries involved and the relevant systems/processorsText Box | Yes ☐  Please provide details at (i)  No ☐ |
| **m.** | **Breach of data security or data protection**  Have you had **any** data security or data protection incidents (personal data breaches) in the past 2 years for which you have undertaken an investigation, whether or not they were reported to the ICO (or other supervisory authority if occurred in EU)?   1. Please provide additional information below, outline the circumstances and data involved, nature of the breach, including whether they were reported to the ICO (or other supervisory authority if occurred in EU), what action (if any) the ICO (or other supervisory authority if occurred in EU) took and whether any incidents have been repeat occurrences.   Text Box | Yes ☐  Please provide details at (i)  No ☐ |

**9 Technical Questions**

**Please provide your response in a separate document.**

9. 1 Management (500 words)

Please outline how you ensure that Projects are delivered on time, within budget and to the required quality.

In addressing this question your response should include:

* + 1. What you perceive to be the main challenges and risks facing local government consultancy contracts
    2. Methodologies adopted by your organisation to avoid such occurrences.

9.2 Health & Safety (1000 words)

Please set out your approach and procedures around health and safety including:

1. Details on risk assessments and method statements
2. Details on safeguarding procedures, policies and processes

9.3 Stakeholders (500 words)

Please outline your approach to dealing with the various stakeholders who may be involved in a Project.

In addressing this question your response should include:

How you typically engage, communicate and keep stakeholders informed at all stages of a Project

How you intend to deal with any conflict.

9.4 Project Team (750 words)

Please provide details of the typical calibre of staff you intend to deploy on Projects commissioned under the Framework.

In addressing this question your response should include:

The amount and nature of experience, knowledge and qualifications associated with each category of Consultant

How you ensure that Consultants are kept up-to-date on key matters ensuring that advice given represents good practice

How you will provide continuity and quality of such staff in the event of both planned and unplanned absence.

9.5 Digital responses (500 words)

Please outline how you would provide digital responses within the turnaround time.

Your response should include:

* 1. what systems are used (e.g. snap surveys)
  2. How you would limit errors
  3. And how you would address issues with the data.

**9.6 Equality and Diversity**

9.6 (a) Please provide details below as to how equalities and diversity is promoted and implemented. (300 words)

9.6(b) Please provide the name and job title of the person within your organisation who has overall responsibility for your Equality and Diversity Policy and its effective implementation. Please provide details of their relevant experience and any qualifications. (300 words)

9.6 (c) Please provide details of your organisation’s Equalities and Diversity training for employees. (300 words)

# Costs

Please use the table below to set out the key tasks and costs involved in completing the required scenario. You may adjust and expand the table as you see fit, however, please ensure the basic elements remain in place – tasks and staff.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Task / Staff ie Director, Executive, Interviewer, Counter | Staff 1  (no. of days) | Staff 2  (no. of days) | Staff 3  (no. of days) | Staff 4  (no. of days) | Staff 5  (no. of days) | **TOTAL (£)** |
| Task 1 |  |  |  |  |  |  |
| Task 2 |  |  |  |  |  |  |
| Task 3 |  |  |  |  |  |  |
| Task 4 |  |  |  |  |  |  |
| Task 5 |  |  |  |  |  |  |
| etc…. |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Day rate (£) |  |  |  |  |  |  |
| No. of days |  |  |  |  |  |  |
| **TOTAL (£)** | **£** | **£** | **£** | **£** | **£** | **£** |

|  |  |
| --- | --- |
| **Any non-staff costs** | **Cost (£)** |
| Cost 1 |  |
| Cost 2 |  |
| Cost 3 |  |
| etc… |  |
|  |  |
| **TOTAL (£)** |  |

**Total cost: £** [staff and non-staff costs]

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| --- | --- | --- |
| **Costs** | | |
| Key requirements | please briefly (max 1000 words) address any key questions you have noted from the information provided i.e. how will you ensure the accuracy of the counts of gender and age. |  |
| Additional information | If necessary Please briefly (max 1000 words) highlight any other information you consider important to these tasks. |  |

Please outline the day rate of staff at each grade listed. These should we the same as the rates used in the scenario above.

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| --- | --- | --- |
| **Category** | **Description** | **Day rate** |
| Board Level / Chief Executive | As described in Category A roles, with further strategic decision making responsibility and overall accountability of organisation |  |
| Category A | Senior member of personnel, e.g. Research Director having assumed responsibilities in his/her profession through the performance of management and supervision roles. |  |
| Category B | Certified member of personnel e.g. Senior Researcher or Research Manager having received a high-level training in his/her profession and recruited for his/her appreciated skills as regards professional practice. |  |
| Category C | Member of personnel such as a researcher. With understanding and grounding in research projects and the type of tasks to be performed under the contract at this level. |  |
| Category D | Junior member of research personnel e.g. junior researcher. A newcomer to the profession but with training related to the type of tasks to be performed under the contract at this level. |  |
| Category E | Administrative or general junior personnel (e.g. those involved in ensuring the logistics of the tasks are undertaken). |  |