**DOCUMENT 4**

**QUALIFICATION QUESTIONAIRE AND DECLARATION**

**PLEASE NOTE: all of the pages contained in this document (Document 4) must be completed and returned with your bid.**

**Section 1 – Potential supplier organisation information**

Please answer the following questions in full.

|  |  |  |
| --- | --- | --- |
| **Question No.** | **Question** | **Applicant Response** |
| 1.1 | Full name of the potential supplier organisation submitting the information |  |
| 1.2 | Registered office address (if applicable) |  |
| 1.3 | Registered website address (if applicable) |  |
| 1.4 | Trading status:  a) limited company (registered at Companies House)  b) limited liability partnership  c) other partnership  d) sole trader  e) third sector  f) charity registered on the Charity Commission website  a) other (please specify your trading status) |  |
| 1.5 | Date of registration in country of origin |  |
| 1.6 | Company registration number (if applicable) |  |
| 1.7 | Charity registration number (if applicable) |  |
| 1.8 | Head office DUNS number  Please provide us with your Dun and Bradstreet Number, or a consortium, the lead bidder’s number.  <http://www.dnb.co.uk/dandb-duns-number>  The Department uses Dunn and Bradstreet Numbers to manage its data around grant recipients; we strongly encourage all grant recipients to apply for a free Dunn’s numbers. The link to apply is:  https://www.dnb.co.uk/duns-number.html  Please add ‘GOVERNMENT GRANT RECIPIENT’ as a reason for requesting your D&B DUNS number.  **NB. Do not delay returning your bid if you do not have a Dunn and Bradstreet number, returning your bid within the deadline is more important.** |  |
| 1.9 | Registered VAT number |  |
| 1.10 | Trading name(s) that will be used if successful in this application |  |
| 1.11 | **Defining Different Types of Organisations**  The DfE is keen to collect information about SMEs. We are particularly interested in discovering how many SMEs apply for our grants through the bidding process.  Completion of the information below is for departmental information purposes only and will have no effect on the evaluation process outcomes. Government is committed to changing how it does business to make sure that small companies, charities and voluntary sector organisations are included and encouraged to compete for our grants.  Relevant classifications are (state whether you fall within one of these, and if so which one):   1. Voluntary Community Social Enterprise (VCSE) 2. Sheltered Workshop 3. Public service mutual 4. Are you a Small, Medium or Micro Enterprise (SME)? 5. Other? |  |
| 1.12 | Are you proposing to use sub-contractors? | Yes/No? |
| 1.13 | If you responded yes to question 1.12, please provide additional details for each sub-contractor in the table below: |  |

**Table for providing details of sub-contractors (see point 1.13)**

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  |  |  |
| Registered address |  |  |  |
| Trading status |  |  |  |
| Company registration number |  |  |  |
| Head Office DUNS number (if applicable) |  |  |  |
| Registered VAT number |  |  |  |
| Type of organisation |  |  |  |
| SME (Yes/No) |  |  |  |
| The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables |  |  |  |
| The approximate % of contractual obligations assigned to each sub-contractor |  |  |  |

**Section 2 – Grounds for Mandatory Exclusion (Pass / Fail)**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit answers for this section.

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| Question number | Question | Applicant Response |
| 2.1 | Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation have been convicted anywhere in the world of any of the offences within the summary below. | |
|  | Participation in a criminal organisation. | YES / NO?  If Yes please provide details at 2.2 |
|  | Corruption. | YES / NO?  If Yes please provide details at 2.2 |
|  | Fraud. | YES / NO?  If Yes please provide details at 2.2 |
|  | Terrorist offences or offences linked to terrorist activities. | YES / NO?  If Yes please provide details at 2.2 |
|  | Money laundering or terrorist financing. | YES / NO?  If Yes please provide details at 2.2 |
|  | Child labour and other forms of trafficking in human beings. | YES / NO?  If Yes please provide details at 2.2 |
| 2.2 | If you have answered Yes to question 2.1 please provide further details, including:   * Date of conviction (specify which of the grounds listed the conviction was for, and the reasons for conviction); * Names of those convicted; and * If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.3 | 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? | YES / NO? |
| 2.4 | Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | YES / NO? |
| 2.5 | If you have answered Yes to question 2.4, please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.  **Please Note**: The DfE reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions |  |

**Section 3 – Grounds for Discretionary Exclusion (Pass / Fail)**

**The DfE may exclude any supplier who answers ‘Yes’ in any of the situations set out in Question 3.1 – 3.2.**

Every organisation that is being relied on to meet the selection must answer Questions 3.1 – 3.2. The lead applicant organisation must answer all questions in full.

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|  | Question | Applicant Response |
| 3.1 | Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. | |
| 3.1 (a) | Breach of environmental obligations? | YES / NO?  If Yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations? | YES / NO?  If Yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations? | YES / NO?  If Yes please provide details at 3.2 |
| 3.1 (d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | YES / NO?  If Yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | YES / NO?  If Yes please provide details at 3.2 |
| 3.1(f) | Aware of any conflict of interest due to the participation in the procurement procedure?  Note  DfE shall take appropriate measures to effectively prevent, identify and remedy conflicts of interest arising in the conduct of a grant application process to avoid any distortion of competition and to ensure equal treatment of all supplier applicants. | YES / NO?  If Yes please provide details at 3.2 |
| 3.1(g) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | YES / NO?  If Yes please provide details at 3.2 |
| 3.1(h) | Please answer the following statements:   * 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. * The organisation has withheld such information. * The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | YES / NO?  If Yes please provide details at 3.2    YES / NO?  If Yes please provide details at 3.2  YES / NO?  If Yes please provide details at 3.2 |
| 3.2 | If you have answered Yes to any of the questions 3.1(a) 3.1(h) above, explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (Self Cleaning). |  |
| **Economic and Financial Standing (questions 3.3 – 3.3C )** | | |
| 3.3 | As the lead application organisation, are you able to provide a copy of your audited accounts for the last two years, if requested?  If Yes, please provide separate documents as part of your response.  If no, can you provide **one** of the following 3.3(a) – 3.3(c) answer with Y/N in the relevant box. | YES / NO? |
| 3.3(a) | A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | YES / NO? |
| 3.3(b) | A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | YES / NO? |
| 3.3(c) | Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | YES / NO? |
| **Technical and Professional Ability (3.4 – 3.6)** | | |
| 3.4 | Please provide details of up to three grants or contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Examples provided should have been performed 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.  Consortia bids (if applicable?) should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the organisation / consortium is newly created for the purpose of this grant) then three separate examples can be provided between the principal member(s) of the proposed consortium (three examples are not required from each member).  If you cannot provide examples see question 3.5. | |
| |  |  |  |  | | --- | --- | --- | --- | |  | **Example 1** | **Example 2** | **Example 3** | | **Name of customer organisation** |  |  |  | | **Point of contact in the organisation** |  |  |  | | **Position in the organisation** |  |  |  | | **E-mail address** |  |  |  | | **Description of grant / contract** |  |  |  | | **Grant / Contract Start date** |  |  |  | | **Grant / Contract completion date** |  |  |  | | **Estimated value** |  |  |  | | | |
| 3.5 | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance. |  |
| 3.6 | If you cannot provide at least one example for questions 3.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. |  |

**Section 4 - Management Information Declaration (Pass / Fail)**

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| **Management Information** |
| The Department will specify the format for providing management information as part of the process of issuing the grant agreement. Bidders who are subsequently awarded a grant will be required to agree on the approach to measuring and evaluating the project and the expected impact of planned outcomes.  The successful bidder will be asked to provide management information to meet the needs of the Department. These will be subject to further negotiation, but will include as a minimum:   * monthly written reports on achievement of key outputs and milestones; and * two meetings per grant funded year with DfE policy leads to review overall performance and to set new key performance indicators (KPIs).   Your bid must indicate that you agree to this requirement. Please provide your response in the space provided below. |
| Bidder response: |

**Section 5 - Additional Questions (Not Scored)**

Please answer all of the following questions in full.

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

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| **Section 4** | **Additional Questions** - **Insurance** | **Applicant Response** |
| 4.1 | 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:    Employer’s (Compulsory) Liability Insurance = £5M  Public Liability Insurance = £5M  Professional Indemnity Insurance = £1M  \*It is a legal requirement to hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders. | Yes / No?  Yes / No?  Yes / No? |

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| --- | --- |
| **DECLARATION**  **Note:** Please ensure that a person who is appropriately authorised to act on behalf of your organisation(s) completes the following declaration:  I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.  I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.  I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited to participate further in this grant application.  I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.  I am aware of the consequences of serious misrepresentation. | |
| 1 ...............................................……………………………. (Name of tenderer) declares that we accept the Department’s standard terms and conditions included at <https://www.gov.uk/government/publications/grant-funding-agreement-terms-and-conditions> as the basis of the grant;  2 agree that the Department may disclose the Grant Recipients’ information/documentation (submitted to the Department during this invitation to bid / call for proposal) more widely within Government for the purpose of ensuring effective cross-Government procurement processes, including value for money and related purposes;  3 declare that we have not communicated to any other party the amount or approximate amount of the bid costs other than in confidence and for the express purpose of obtaining insurances or a bond in connection with this bid. The bid costs have not been fixed nor adjusted in collusion with any third party, and  4 declare that the bid will remain valid until a final decision is made and the grant is awarded and that we are not entitled to claim from the Department any costs or expenses incurred in preparing the bid or subsequent negotiations whether or not the bid is successful. | |
| **FORM COMPLETED BY** | |
| Contact Name: |  |
| Position (Job Title): |  |
| Signature (electronic is acceptable) |  |
| Date: |  |
| Telephone number: |  |
| Email Address: |  |