

RSSB Invitation to Negotiate (ITN)

Industry Supplier Assurance Scheme

Date OJEU Notice issued for publication: 09/12/2016

Deadline for initial bids: 10/03/2017 at 10:00am

Reference: RSSB1982

1. Introduction

- 1.1 RSSB intends to procure two contracts for the creation and delivery of a Supplier Assurance Scheme (hereinafter referred to as the “Services”) both for 3 years 10 months (10 months implementation period leading up to 30th April 2018 and 3 years following) with the option to extend by 2 no. annual extensions. **Lot 1. Is for IT, Verification and Management Services. Lot 2 is for Audit Services.**
- 1.2 The current Rail Industry Supplier Qualification Scheme (RISQS) was developed to assist buyers search for suppliers working or wishing to work within Great Britain’s (GB) Rail Industry by providing a fair, open and transparent third party qualification process. RISQS helps to reduce the duplication of effort that organisations see from capability checks (e.g. Pre-Qualification Questionnaires (PQQs) and systems assessments) carried out by multiple buyers. It gives suppliers of all sizes an equal opportunity to demonstrate their capabilities and market their products and services whilst ensuring compliance to cross industry standards. RISQS services include collection of the industry’s supplier pre-qualification questionnaire, verification of the data provided and audits for suppliers that have indicated they provide services that require audit. The electronic collection and verification of data Services are included in Lot 1 and the audit Services in Lot 2. Please see associated specifications for further details.
- 1.3 RSSB is using the Competitive Procedure with Negotiation (CPN) for the process of awarding these contracts in line with the Public Contracts Regulations 2015. RSSB chose to use the CPN procedure because the needs of the contracting authority cannot be met without adaptation of readily available solutions. This procedure should also allow RSSB to discuss Tenderer’s proposed solutions and negotiate a solution that represents best value for the authorities.
- 1.4 This procedure is split into three distinct phases – Selection Questionnaire (SQ), Negotiation initiated by ITN and call for final tenders initiated by Invitation to Submit Final Tenders (or BAFO).
- 1.5 SQs submitted in response to the Contract Notice were evaluated to arrive at a shortlist of 5-7 Applicants for each Lot.
- 1.6 This ITN is being issued to all Applicants shortlisted at the SQ stage. This ITN document is intended to identify the 3 most economically advantageous offers in relation to the Services. Only the top 3 scoring tenderers for each Lot will be invite to further negotiation. However, RSSB reserves the right to award contracts based on the initial tenders without negotiation.
- 1.7 The basis of the reduction to no more than 3 Tenderers will be against the total score for each of the top 3 submissions which represent the Most Economically Advantageous Tender (MEAT) in the terms of quality and price. Please see Section 7 for more details regarding the evaluation process.
- 1.8 The outcome of these negotiation sessions will result in the submission of a Best and Final Offer (BAFO) submitted by the Tenderer will form the final evaluation decision made by RSSB in selecting its preferred Tenderer for Due Diligence.

1.9 Submission of initial bids is by email only to shareditt@rssb.co.uk by 10/03/2017 at 10:00am

1.2 Background

RSSB

1.2.1 RSSB was established in April 2003. The Company's primary objective is to facilitate the railway industry's work to achieve continuous improvement in the health and safety performance of the railways in Great Britain, and thus to facilitate the reduction of risk to passengers, employees and the affected public. The railway is a complex system with multiple interfaces delivered by many different organisations. At RSSB we bring these different organisations together to make collective decisions. We help the rail industry carry out research, understand risk, set standards and improve performance. We provide a constant point of reference in a changing environment.

1.2.2 We support rail in the areas of safety standards, knowledge and innovation and a wide range of cross- industry schemes requiring our knowledge and independence. Our work involves close collaboration, but as technical experts we also appoint suppliers in the wider market to provide an informed view.

1.2.3 Key elements of the company's remit are to:

- Manage Railway Group Standards on behalf of the industry
- Lead the development of long-term safety strategy for the industry, including the publication of annual Railway Strategic Safety Plans
- Propose change through facilitation of the research and development programme, education and awareness
- Measure, report and inform on health and safety performance, safety intelligence, trends, data and risk
- Support cross-industry groups in national programmes which address major areas of safety concern
- Facilitate the effective representation of the UK rail industry in the development of European legislation and standards that impact on the rail system

1.2.4 RSSB is a not-for-profit company owned by major industry stakeholders. The company is limited by guarantee and is governed by its members, a board and an advisory committee. It is independent of any single railway company and of their commercial interests.

RISQS (Rail Industry Supplier Qualification Scheme)

1.2.5 RISQS was developed to assist buyers search for suppliers working or wishing to work within Great Britain's (GB) Rail Industry by providing a fair, open and transparent third party qualification process.

1.2.6 Suppliers enter their pre-qualification information into the platform and this is then verified to agreed levels. The information is then published to the RISQS portal and searchable by the buying community. The scheme also includes system assessment audits for suppliers that have indicated they provide services that require audit due to the increased risk the service imports to the infrastructure.

- 1.2.7 RISQS provides assurance regarding management systems and corporate legitimacy and also acts a tool to help organisations improve system performance.
- 1.2.8 RISQS helps to reduce the duplication of effort that organisations experience from capability checks (e.g. Supplier Questionnaires and systems assessments) carried out by multiple buyers. It gives suppliers of all sizes an equal opportunity to demonstrate their capabilities and market their products and services whilst ensuring compliance to cross industry standards.
- 1.2.9 This procurement exercise will be the culmination of an industry led improvement project to deliver through the 2 contracts:
- (i) Adoption of the new Rail Industry Commodity Classification List (RICCL)
 - (ii) Rationalisation of supplier qualification information requirements
 - (iii) Streamlining of the audit activity in terms of scope and depth
 - (iv) Enhancement of qualification arrangements to embrace sustainable development
 - (v) New IT platform to support the more effective operations of the scheme.

Governance

- 1.2.10 Stakeholder involvement is a key matter when developing an industry scheme to ensure that the scheme continues to deliver what the industry requires. To achieve this the governance of the RISQS procurement has been established from industry leading organisations which has formed two bodies, the Supplier Assurance Project Board and the Supplier Assurance Advisory Group. These groups review and approve the outputs from the project working group to ensure they meet the industry's needs.
- 1.2.11 The Supplier Assurance Project Board provides the formal governance for the project providing strategic oversight and direction. The Board is made up of leadership representatives from Network Rail, Transport for London, Rail Delivery Group, ROSCO's, Rail Industry Association, the Freight Operators, Rail Alliance, and the RSSB. Each Project Board Representative has sector representation on the RSSB Board.
- 1.2.12 The Supplier Assurance Advisory Group is formed from procurement, assurance and delivery senior representatives from the industry's leading organisations Network Rail, Transport for London, Rail Delivery Group, Rail Alliance, Rail Industry Association, Rail Industry Contractors Association, ROSCO's, RISQS Board and RSSB. The groups role is to review working group output and advise the Project Board on the general running of the project, the requirements and the procurement process and documents, to enable the Project Board to perform its role.

1.3 Contents

1.3.1 This ITN contains:

- (i) An explanation of the ITT process and (Section 2)
- (ii) Guidance on bid preparation (Section 3)
- (iii) TUPE and Staff Transfer (Section 4)
- (iv) Specification (Section 5)
- (v) Response requirements (Section 6)
- (vi) Guidance on how RSSB will evaluate the Tender responses (Section 7)

1.3.2 Tenderers should note this ITN refers to the following additional documents:

- (i) Appendix A: Schedule of Requirements MS Excel format
- (ii) Appendix B: Schedule of Requirements MS Word format (with workflow processes and additional information and context)
- (iii) Appendix C: Data Room Documents
- (iv) Appendix D: Form of Tender
- (v) Appendix E: Pricing Schedule
- (vi) Appendix F: Draft Contract (Lot 1 & Lot 2 Versions)
- (vii) Appendix G: Draft Contract Schedules (Lot 1 & Lot 2 Versions)

2. The procurement process

2.1 The timetable for this procurement is currently anticipated to be as follows. This is intended as a guide and whilst RSSB does not intend to depart from the timetable, RSSB reserves the right to do so at any stage and will inform Tenderers as soon as possible. Stages already undertaken shaded out in grey.

Activity	Start Date	End Date	Time
OJEU Contract Notice sent for publication and procurement documents available from:		09/12/2016	
Deadline for SSQ clarifications		13/01/2016	
Deadline for SSQ responses		23/01/2017/2016 (at least 30 days from the date on which the contract notice was sent)	10:00
Notification of SSQ results		31/01/2017	
Issues of Invitation to Negotiate		31/01/2017	
Deadline for Tenderers to submit initial questions to be addressed at the supplier day		03/02/2017	10:00
Supplier day to clarify scope, process and answer initial questions from Tenderers		07/02/2017	10:00
Clarification Process		Following the supplier day RSSB shall collate responses received each week on Friday and aim to issue a list of responses the following Tuesday	
Deadline for submitting initial tenders		10/03/2017	10:00
Notification of suppliers invited to negotiate*		31/03/2017	
Negotiations	03/04/2017	28/04/2017	
Issue of best and final offer documents		01/05/2017	
Deadline for submitting		12/05/2017	10:00
Estimated notification of award decision		05/06/2017	
Target contract commencement date (after 10-day standstill period has elapsed since notification of award decision)		30/06/2017	

***As per article 29 of the Public Procurement Regulations RSSB reserve the right to award contracts on the basis of the initial tenders without negotiation**

2.1 Single point of contact

- 2.1.1 Your main point of contact is: Gemma Cuthbert: shareditt@rssb.co.uk
- 2.1.2 Tenderers must not approach any of RSSB's staff except where expressly permitted by this ITT.
- 2.1.3 RSSB accepts no liability for unanswered correspondence which is not submitted via the single point of contact.

2.2 Supplier Day

- 2.2.1 A meeting to clarify the scope and answer any initial questions will be held at RSSB's offices – The Helicon, One South Place, EC2M 2RB on the 07/02/2017 at 10:00am. The objective of the meeting is for RSSB to clarify whether the requirements are sufficiently clear for Potential Providers to submit an effective response. We expect the scope clarification meeting to be a two-way dialogue, with an open floor to general Q&A. Commercial information will not be shared.
- 2.2.2 Any questions should be prepared in advance of the clarification of scope meeting and sent by email to shareditt@rssb.co.uk, by the Date and time, to ensure that questions can be answered on the day. Please ensure you quote RSSB1982 in the subject line.
- 2.2.3 Tenderers must notify RSSB of their intention to attend by the 03/02/2017 by 12:00pm – email shareditt@rssb.co.uk . Maximum 2 attendees per Tenderer. Please ensure you quote RSSB1982 in the subject line.

2.3 Clarifications

- 2.3.1 Following the Supplier Day any further clarifications about the Contract requirement, the Contract Terms and Conditions, or about the content of the ITN must be submitted to the single point of contact. RSSB shall collate the questions received each Friday at 12:00 during the tender period and issues responses to all Tenderers by the following Tuesday. The final opportunity for submitting clarifications shall therefore be 03/03/17.
- 2.3.2 If a Tenderer wishes RSSB to treat a clarification as confidential and not issue the response to all Tenderers, it must state this when submitting the clarification. If, in the opinion of RSSB, the clarification is not confidential, RSSB will inform the Tenderer, and the Tenderer shall have an opportunity to withdraw the query. If the query is not withdrawn, the response will be issued to all Tenderers.

2.4 Submission of initial bid

- 2.4.1 Tenderers may submit a bid by sending the information requested in this ITN document by email to shareditt@rssb.co.uk by 10/03/2017 by 10:00am.
- 2.4.2 RSSB intend to invite a maximum of 3 Tenderers for each Lot, who pass the pass/fail selection criteria and who then score highest overall on the scored criteria detailed in these procurement documents, to participate in the negotiation process. Please note that RSSB the right to award contracts based on the initial tenders without negotiation.

2.5 Negotiation

- 2.5.1 As this is the first time RSSB have tendered this contract the ability of the market to meet our requirements without further development of proposals is not fully understood, and therefore the probability of being able to satisfactorily award the contract following submission of initial bids is unknown. Should RSSB be unable to award the contract based on initial bid submissions we intend to take advantage of the opportunities negotiation provides to engage in constructive and invaluable negotiation relating to the submission of the progressed Tenderers. It is also an opportunity to discuss and develop their proposals and for both parties to develop a better common understanding of the requirements.
- 2.5.2 The negotiation will comprise of meetings scheduled for each Tenderer between 03/04/17-28/04/17 at RSSB premises (no site visits, interviews or resubmissions of written questions will be expected during this stage). All Tenderers will be treated equally in terms of opportunity under each Lot. Please ensure that your key personnel are available during this time. Details of exact times and dates for each supplier shall be confirmed when notification of invitation to negotiate is issued.
- 2.5.3 RSSB will set the agenda and confirm attendees before each meeting. For the negotiation meetings to be productive, it is assumed that Tenderers' representatives attending these meetings will be empowered to make decisions at the relevant meeting. Likewise, the RSSB team will be suitably empowered to make the appropriate decisions.
- 2.5.4 Tenderers' representatives attending negotiation meetings must have sufficient knowledge and technical expertise to engage in constructive negotiation with RSSB and the evaluation panel.
- 2.5.5 Maximum 5 attendees per Tenderer
- 2.5.6 Suppliers' ITN submissions will form the basis of discussion during the Negotiation Meetings stage. and will focus on the technical elements of their proposal, the service delivery (implementation, BAU and change), terms & conditions and commercials. All content of the negotiations sessions shall be recorded by RSSB and shall be included in any subsequent submission or revision.
- 2.5.7 The outcomes of the negotiations will form the basis for any amendments to the ITN documents and the questions and evaluation criteria issued in the BAFO which shall be issued following conclusion of all negotiations.

2.6 Best and Final Offer

- 2.6.1 BAFO documentation cannot be made available at the same time the Contract Notice (and this guidance) is being issued as it will be subject to the outcomes of the negotiation. Whilst the content of evaluation questions may change as a result of the negotiation RSSB will keep to the evaluation subject areas and weightings set out in this document and utilise the same evaluation process as set out in section 7.
- 2.6.2 It is envisaged that for the questions relating to the interface between the two contracts, Tenderers will be expected to communicate with the Tenderers in the other Lot and offer in their BAFO more detailed specifics about how interfaces would work with each of those

remaining 3 Tenderers and provide commitments to collaborative working so that RSSB can be confident in the that the individual outcomes of both Lots will deliver a seamless and collaborative service.

- 2.6.3 Additionally, it is expected that for the commercial evaluation of the rate card that RSSB will develop through negotiation a likely work profile which will be used to evaluate the rates at BAFO Stage.

2.7 Site Visits

- 2.7.1 Whilst not currently scheduled, RSSB reserves the right to undertake site visits to the preferred Tenderers' offices from where services will be delivered as part of due diligence following contract award.

2.8 Notification of Contract Award Decision

- 2.8.1 RSSB will notify Tenderers of its decision on contract award, i.e. its decision on the identity of the Preferred Tenderer. A standstill period will be held as required under the Public Contracts Regulations 2015.
- 2.8.2 This period shall be used by the Authority solely in conjunction with its purpose pursuant to the Public Contracts Regulations 2015. No offer or Final Tender is deemed accepted until the Contract has been duly committed and signed off by RSSB through its usual contracts approval process and the Tenderer and all other relevant parties and declared unconditional. No dialogue or communication with RSSB whether prior to, during or subsequent to the Procedure (including any notification of Preferred Tenderer status) imply acceptance of any offer or constitute an indication that the Tenderer will be awarded the Contract. Only the express terms of the Contract which is finally agreed and signed for and on behalf of the relevant parties and which is duly declared unconditional shall have any contractual effect.

2.9 Initial Bid Checklist

For both Lots 1 & 2

(Please submit a separate set of documents for both Lots if responding to both)

Signed Form of Tender Please name the document 'Appendix D[insert Lot no]_[your supplier name]'	<input type="checkbox"/>
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For Lot 1 – IT, Verification & Management Services

In response to Lot 1 Q1& Q2 Appendix A with Columns I, M and (where highlighted) L completed Please name the document 'Lot1 Appendix A_[your supplier name]'	<input type="checkbox"/>
Responses for Lot 1 Q3-Q28 as a single file or multiple documents in a zip file as preferred Please name the document/s 'Lot1 [question references]_[your supplier name]'	<input type="checkbox"/>
Completed Appendix E – Pricing Schedule Please name the document' Appendix E_Lot 1_[your supplier name]'	<input type="checkbox"/>

For Lot 2 – Audit Services

In response to Lot 2 Q1 Appendix A with Columns I and M completed Please name the document 'Lot 2 Appendix A_[your supplier name]'	<input type="checkbox"/>
Responses for Lot 2 Q2-Q13 as a single file or multiple documents in a zip file as preferred Please name the document/s 'Lot2[question reference]_[your supplier name]'	<input type="checkbox"/>
Completed Pricing Schedule Please name the document' Appendix E_Lot 2_[your supplier name]'	<input type="checkbox"/>

RSSB reserves the right to seek further information or evidence for the purposes of confirming or clarifying any aspect of the content of a Tender.

3 Preparation of initial bid

- 3.1 Initial bids shall be submitted in accordance with the following instructions. It is important that all the information requested is provided in the format and order specified.
- 3.2 Tenderers must obtain for themselves, at their own responsibility and expense, all information necessary for the preparation of their pre-qualification questionnaire or verification of any information. Tenderers are solely responsible for any costs and expenses in connection with the preparation pre-qualification questionnaire or verification of any information, and all other stages of the procurement process. Under no circumstances will RSSB, or its advisors, be liable for any costs or expenses Tenderers, their sub-contractors, suppliers or advisors incur in this process, including if this tendering process is terminated or amended by RSSB.
- 3.3 In submitting its proposal, the Tenderer warrants, represents and undertakes to RSSB that:
- (i) All information, representations and other matters of fact communicated (whether in writing or otherwise) to RSSB by the Tenderer, its staff, agents or advisors in connection with or arising out of the ITN and/or the Associated Documents are true, complete and accurate in all respects, both as at the date communicated and as at the date of submission of the proposal.
 - (ii) It has made its own investigations and undertaken its own research and due diligence and has satisfied itself in respect of all matters (whether actual or contingent) relating to the ITN and Associated Documents and that it has not submitted its proposal in reliance upon any information, representation or assumption which may have been made by or on behalf of RSSB (save in respect of any information which is expressly warranted by RSSB under the terms of the Contract).
 - (iii) It has full power and authority to respond to this ITN and the Associated Documents and to perform the obligations in relation to this Project and will, if requested, produce evidence of such to RSSB's reasonable satisfaction.
 - (iv) Tenderers acknowledge that any statement made in the SQ remains true and accurate in all material respect save to the extent specifically disclosed in their responses to the evaluation questions in Section 6.
 - (v) Where there is any change to the information provided to RSSB at any time the Tenderer must advise RSSB as soon as practicable, even if this is after the date of submitting its proposal and disclose such changes in full.
- 3.4 This ITN and the Associated Documents have been prepared by RSSB in good faith but do not purport to be comprehensive or to have been independently verified. Tenderers should not rely on the detailed information contained in this ITN and the Associated Documents and should carry out their own due diligence checks and verify the accuracy of the detailed information contained in this ITN and the Associated Documents. Nothing in this ITN and the Associated Documents is, or should be construed as, a commitment or representation as to the future.
- 3.5 Tenderers considering entering into a contractual relationship with RSSB should make their own enquiries and investigations of RSSB's requirements beforehand. The subject matter of this ITN and the Associated Documents shall only have contractual effect when it is contained in the express terms of the executed Contract.

- 3.6 No part of RSSB, RSSB's directors, officers, employees, agents or advisors make any representation or warranty as to, or (save in the case of fraudulent misrepresentation) accept any liability or responsibility in relation to, the adequacy, accuracy, reasonableness or completeness of this ITN and the Associated Documents or any part of it (including but not limited to loss or damage arising as a result of reliance by the Tenderers on the ITN and the Associated Documents or any part of them).
- 3.7 No offer or Final Tender is deemed accepted until the Contract has been duly committed and signed off by RSSB through its usual contracts approval process and the Tenderer and all other relevant parties and declared unconditional. No dialogue or communication with RSSB whether prior to, during or subsequent to the Procedure (including any notification of Preferred Tenderer status) imply acceptance of any offer or constitute an indication that the Tenderer will be awarded the Contract. Only the express terms of the Contract which is finally agreed and signed for and on behalf of the relevant parties and which is duly declared unconditional shall have any contractual effect.
- 3.8 If forming a consortium for the purpose of tendering for this requirement all members of the consortium will be required to provide the information required in all sections of the procurement documents as part of a single composite response to RSSB (so each member of the consortium is required to contribute to completing the response documents.)
- 3.9 All pages of the initial bid must be sequentially numbered (including any forms to be completed and returned).
- 3.10 All specifications, plans, drawings, samples and patterns and anything else that RSSB issues in connection with this procurement, remains the property of RSSB and are to be used solely for the purpose of tendering.
- 3.11 When providing details of contracts in answering Technical and Professional Ability the Supplier agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.
- 3.12 RSSB reserves the right to contact the named customer contact for any references and the nominated customer does not owe RSSB any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.
- 3.13 RSSB confirms that it will keep confidential and will not disclose to any third parties for any information obtained from the named customer contact, other than to the Crown Commercial Services and or contracting authorities defined by the Public Contract Regulations.
- 3.14 At any time RSSB may modify these procurement documents by amendments in writing.
- 3.15 RSSB (at its sole discretion) may extend any deadlines detailed in these procurement documents. Any extension to these deadlines will apply to all Tenderers.
- 3.16 RSSB reserves the right to modify or to discontinue the whole of, or any part of, this procurement process at any time and accepts no obligation whatsoever to award a contract. This applies to either Lot as they are being evaluated and awarded independently.
- 3.17 If it is necessary for you to provide additional information this should be provided as an appendix and clearly referenced as part of your declaration.

- 3.18 Whilst reserving the right to request information at any time throughout the procurement process. RSSB may enable the Tenderer to self- certify that there are no mandatory/ discretionary grounds for excluding their organisation. When requesting evidence that the Tenderer can meet the specified questions relating to Technical and Professional Ability RSSB may only obtain such evidence from Tenderers when looking to verify the decision to down select, make final award or to undertake due diligence further to award.
- 3.19 Initial bids, or any subsequent tender documentation from tenderers participating in the ITN shall be considered irregular and will not be accepted if:
- (i) they do not comply with the procurement documents,
 - (ii) they are received late; or
 - (iii) there is evidence of collusion or corruption
 - (iv) There is a change in identity, control, financial standing, any commitment contained in any previous submission or other factor impacting on the selection and/or evaluation process to date affecting the Applicant and/or the members of the Applicant's Team and/or their Solution(s)
 - (v) The Applicant has introduced a material change to any position/statement contained in any previous submission which does not meet the Authority's requirements.
 - (vi) where submissions contain gaps, omissions, misrepresentations, errors, uncompleted sections, or changes to the format of the documentation provided;
 - (vii) where a submission contains hand written amendments which have not been initialled by the authorised signatory;
 - (viii) where a submission does not reflect and confirm full and unconditional compliance with all of the documents issued by the RSSB forming part of the [SSQ];
 - (ix) where a submission contains any caveats or any other statements or assumptions qualifying the [SSQ] response that are not capable of evaluation in accordance with the evaluation model or requiring changes to any documents issued by the RSSB in any way;
 - (x) bribery.
- 3.20 Tenderers must submit their initial bid and any subsequent tender documentation in soft copy only via email to shareditt@rssb.co.uk. Please do not send emails regarding the procurement to any other email address unless explicitly instructed.
- 3.21 Please enter the exact characters "RSSB1982" in the 'subject' field of any emails regarding the procurement, especially requests to participate and subsequent tenders. RSSB uses this subject line to file responses, so please make sure your email includes this subject or else it may not be received.
- 3.22 Documents submitted must be in MS Word format (.doc) wherever possible.
- 3.23 All responses must be completed in English language.
- 3.24 Tenderers shall at all times treat the ITN and the Associated Documents (including any content or documentation issued during the negotiation period) as confidential.
- 3.25 Tenderers shall not disclose, copy, reproduce or distribute the ITN and the Associated Documents at any time.
- 3.26 Tenderers shall not use this ITN and Associated Documents for any purpose other than for the purposes of preparing (or deciding whether to prepare) a proposal.

- 3.27 Tenderers shall ensure that each member of the Applicant's Team who receives any of the ITN information and the Associated Documents is made aware of, and complies with, the provisions of this Section.
- 3.28 Tenderers may disclose, distribute or pass the ITN and Associated Documents to another person (including, but not limited to, for example, employees, consultants, subcontractors or advisors to the Tenderer, the Tenderer 's insurers or the Tenderer 's funders) if either:
- (i) This is done for the sole purpose of enabling the proposal to be prepared and the person receiving the ITN and the Associated Documents undertakes in writing to keep the ITN and Associated Documents confidential on the same terms as set out in this ITN and the Associated Documents.
 - (ii) The Tenderer obtains the prior written consent of RSSB in relation to such disclosure, distribution or passing of the ITN and the Associated Documents.

4 TUPE and staff transfer

- 4.1 As this tender may involve a change of contractor, where an incoming contractor continues the activity carried out by the previous contractor, it is possible that there may be a “service provision change” within the meaning of Regulation 3(1)(b)(ii) of the Transfer of Undertakings (Protection of Employment) Regulations 2006 (“TUPE”). Accordingly, Tenderers should be aware that TUPE may apply.
- 4.2 In the event that TUPE does apply, Tenderers are expected to comply with any relevant requirements. In responding to this ITN and further tender documents Tenderers warrant that they accept and understand the TUPE requirements.

For Lot 1 a single role with a salary of £71,400 per annum has been identified as being affected by these regulations.

No roles have been identified for Lot 2.

5 Specification

Please see Appendix A Schedule of Requirements and Appendix B Schedule of Requirements

Appendix B contains additional context to the requirements as well as workflow processes and additional supporting information.

When using Appendix A please filter the spreadsheet under Column A dependant on the Lot/s you are responding to. '1' refers to Lot 1 requirements, '2' to Lot 2 requirements and '3' refers to requirements relating to both Lots. So if, for example you are responding to Lot 1 you would filter the spreadsheet for '1' & '3'.

6 Initial Bid Response Requirements

6.1 Submission Specific Instructions

- 6.1.1 Responses to the questions in this section should be concise and to the point and NOT include any embedded documents or spreadsheets unless otherwise specified in the question. Marketing collateral and/or non-factual content should not be provided and will not be evaluated. Word limitations have been applied for each question to ensure the responses in each instance avoid non-factual and superfluous content. Please note that the word count is a limit and not a target. RSSB requests that any images, tables, diagrams or similar are applied only where appropriate and not to circumvent the word count limits.
- 6.1.2 Tenderers should ensure they answer the questions using this guidance and should avoid deviating from the subject of the question. If there is any doubt on what RSSB is requesting, Tenderers should submit a clarification question.
- 6.1.3 Relevant case studies and examples should be provided only where appropriate to support the proposal. RSSB reserves the right to discount from consideration any supporting information provided which is not relevant and serves to promote non-factual or Tenderer produced publicity relating to their capabilities which are not deemed to be based upon evidence or fact.
- 6.1.4 Costing information must NOT be included in any response to the Quality Evaluation Criteria and should only be contained in Appendix E Pricing Schedule**

6.2 General Compliance Requirements For both Lots 1 & 2

Please complete separate forms for each Lot if submitting a response for both Lot 1 & Lot 2

Ref.	Question	Scoring	Evaluation Criteria
G1	Please complete the Form of Tender (which can be downloaded as Appendix D) in full and return using filename [insert Lot]G1_[your supplier name]'	Pass / Fail	Pass Form is completed and attached Fail Form is attached but not completed Form is not attached

6.3 Quality Requirements: Lot 1 – IT, Verification & Management Services

Please complete ALL Questions

Quality response scores shall account for 70% of the final score

No.	Subject Area	Weighting	Minimum Score Requirement	Max Length	Question	Criteria	Reference to spec
Q1	Meets minimum requirements	Pass/Fail	n/a	n/a	Please filter the requirements spreadsheet Appendix A Schedule of Requirements under column A and select '1' and '3' then complete Column I For ALL requirements. Please enter brief explanation of how the requirement will be provided in Column M (for ALL requirements) to assure RSSB of the validity of the tenderers response. Column M is for information only.	Tenders will be evaluated on whether ALL “must have” requirements are met. For the avoidance to doubt 'N' for any one of the ‘Must Have’ requirements is considered a fail.	All Must Have Requirements
Q2	System Customisation	3%	n/a	n/a	Please demonstrate the level of customisation your system requires to meet RSSB's requirements. Please complete Column K for all highlighted lines	In order to deliver as much of the MoSCoW requirements as soon as possible there is a strong preference for “Out of the Box” functionality but if necessary minimal delivery by customisation / development of some kind is acceptable. Tenderer's responses in Column K are scored according to the level of customisation required. A - Functionality provided as standard (1.5) B - Functionality provided seamlessly by third-party solution (1.5) C - Functionality provided by the vendor but requires customization (1.0) D - Functionality provided; requires customized integration with third-party solution (0.75) E - Functionality not provided (0) Using the principles of MoSCoW requirements are weighted accordingly (these are automatically populated in Column J following the tenderers previous completion of Column I): Must Have (7) Should Have (5) Could Have (3) Would Like to Have (1) The score in column I is multiplied by the score in Column L. The total of Column L will be evaluated against the maximum score available. Note: As it is possible that the audit scheduling and reporting system could be provided by the Lot 2 provider this ability will not be evaluated.	All highlighted system requirements
Q3	Implementation	For information only	n/a	n/a	Please describe key implementation risks and proposed mitigation actions in the form of a Risks–Assumptions–Issues–Dependencies (RAID) Log	This response will not be scored but will be used to inform the evaluation of Q4	RFP00213 RFP00214 RFP00215 RFP00216

Q4	Implementation	3%	2	max 3000 words not including diagram	<p>Please provide a draft implementation plan (including any design, test, etc phases) you propose to ensure all Services are ready to go live as of April 2018.</p>	<p>The Tenderer's response shall detail their draft plan to design, implement, test and deploy all requirements required at scheme go live. The response shall demonstrate a good understanding of the requirements and propose a plan that is logical, achievable and minimises the risk of not meeting RSSB's required timescales. The plan should give RSSB full confidence that the systems and protocols developed will have undergone a robust testing, review and quality assurance process. For each phase of implementation please detail:</p> <ul style="list-style-type: none"> • the completion milestone • the deliverables at that milestone, as well as plan of activities to achieve it • the approximate duration • roles and responsibilities • issues requiring sign off by RSSB • collaboration interfaces with Lot 2 <p>Please also provide the project plan diagrammatically.</p> <p>For the avoidance of doubt the final implementation plan will be developed and agreed between the parties by no later than 10 working days following the effective date of the contract.</p>	<p>RFP00213 RFP00214 RFP00215 RFP00216</p>
Q5	Implementation	1%		max 2 A4 sides per CV max 500 words per supporting statement	<p>Please provide (maximum of 2 page) CV's of the Key Personnel who will deliver the implementation. (Please note these Key Personnel will be required to deliver the Services and be named in Schedule 9.2 of the Contract)</p>	<p>The CVs shall demonstrate that each individual has relevant expertise, skills, qualifications and experience for their role In each case a brief summary as to why you believe each individual is appropriate in taking forward the implementation of the Services. Oversee/managing</p>	<p>RFP00213 RFP00214 RFP00215 RFP00216</p>
Q6	System Location and Architecture	4%	2	max 3000 words	<p>Please describe the location and environment in which all elements of the proposed solution are hosted.</p>	<p>Documentation should be provided for the following at a minimum:</p> <ul style="list-style-type: none"> - Application architecture - Infrastructure architecture - Third party hosting environment <p>RSSB are seeking a full description of the architecture of the proposed solution and the environment it is hosted in. We are seeking evidence of the robust, secure and efficient nature of both.</p>	<p>RFP00151 RFP00152 RFP00153 RFP00154 RFP00155 RFP00156 RFP00157 RFP00158</p>

Q7	System Access and Security	4%		max 2000 words	<p>Please describe the physical, operational and system environment for managing the security and legality of data held in the systems.</p>	<p>The Tenderer's response shall detail:</p> <ul style="list-style-type: none"> - Physical measures in place to secure access to the proposed systems - The software measures in place to control access to data held in the proposed system - The operational measure you have that control data access - The operational measures you have which ensure constant, up to date compliance with all relevant UK, EU and international data protection laws. <p>RSSB is looking for evidence that you not only possess the necessary technical and physical measures to effectively control access to the data held on the systems but also the required competence and operational resources in place to ensure the data is always held in the correct way with respect to data protection legislation of all kinds.</p>	<p>RFP00034 RFP00037 RFP00159 RFP00160 RFP00161 RFP00162 RFP00163 RFP00164 RFP00165 RFP00166 RFP00167 RFP00168 RFP00169 RFP00170 RFP00171 RFP00172 RFP00173 RFP00174 RFP00175 RFP00176 RFP00177</p>
Q8	System Availability	3%		max 2000 words	<p>Please describe how requirements for system uptime will be met, monitored and reported</p>	<p>Evidence should be provided as a minimum for the following:</p> <ul style="list-style-type: none"> - What measures will be in place (e.g. failover mechanisms) to ensure the requested high level of service uptime is met - Expected levels of availability (in both percentage and annual days equivalent) - The monitoring and reporting environment the system will reside in - including both automated and human factors. - basic overview of disaster recovery plans <p>RSSB is looking for evidence that gives us confidence that systems and reporting are in place to both maintain high levels of continual service availability and ensure issues are dealt with in a way that minimises any potential service disruption. We are also seeking evidence of how you will consistently and effectively monitor this and remediate in a timely manner should any issues occur.</p>	<p>RFP00197 RFP00198 RFP00199 RFP00200 RFP00201</p>
Q9	System Development	7%	2	max 3000 words	<p>Please provide details of the extensibility of the proposed solution and the process for agreeing and making changes</p>	<p>Future development of the initial system may be necessary as the service develops. RSSB is seeking evidence of the following :</p> <ul style="list-style-type: none"> - Key features that ease extending the application excluding the requirement for bespoke scratch coding. If the proposed solution supports change via in built system configuration or tools then this should be described. - Describe how you will support and manage BAU/operational changes from the initial design - this should include description of process, resource and technical issues – in line with the severity level & fix time assigned to the change when assessed. For the purposes of this question please assume a Severity Incident of 3 to amend the wording on a registration question. - Specifically please describe changes can efficiently be made to add questions to the supplier questionnaire or to add product codes 	<p>RFP00186 RFP00187 RFP00205 RFP00206 RFP00207 RFP00208 RFP00209</p>

Q10	System Performance	6%	2	max 2000 words	<p>Please provide details your proposed regime to monitor and agree application performance levels to ensure end user experience continually meets acceptable levels.</p>	<p>Please provide an overview of how you monitor and agree acceptable application performance levels. This should include details of the mechanisms, methodology and technical tools used to:</p> <ul style="list-style-type: none"> - Performance Test - Load Test - Stress Test <p>Evidence should also be provided in how you agree and report on application performance levels to RSSB as a customer. This should cover as a minimum:</p> <ul style="list-style-type: none"> - Reporting (including technical) - Benchmark Setting - Baselines - Agree and implement remedial action <p>RSSB is seeking evidence that the potential supplier has in place a comprehensive environment for ensuring efficient application performance for the end user, is constantly maintained and there are demonstrable and robust environmental and process measures in place for monitoring and agreeing these levels.</p>	<p>RFP00202 RFP00203 RFP00204</p>
Q11	Data	4%		max 2000 words	<p>Please describe how you will manage Bulk Data Import</p>	<p>Of particular importance is the process by which the initial data transfer from the existing supplier will be dealt with - you should describe how this will be managed by yourselves with specific reference to :</p> <ul style="list-style-type: none"> - Data cleansing - Import process - quality checks and verification - Any further details on how you will assist RSSB in achieving this task. <p>Additionally please provide detail on how data uploads can be managed post scheme go-live</p> <p>The response as a minimum should cover:</p> <ul style="list-style-type: none"> - the process by which data can be imported and checked -the format in which data is imported -the degree of configuration/customisation possible - how anomalies are dealt with - how historic data can be standardised to meet any changes <p>The tenderers response shall give RSSB full confidence in the flexibility and of the system to meet our requirements and that the process is robust and will not risk the quality or security of the data.</p>	<p>RFP00043 RFP00216</p>
Q12	Data	4%		max 2000 words	<p>Please describe the features which could support direct interaction / Integration of your proposed solution with external Systems</p>	<p>The proposed solution will ideally interact with a wide variety of external systems to exchange data. Please describe in detail how this will be achieved. If the proposed solution supports API / Web Services interfaces then the nature and extent of these should be provided by supporting documentation. Otherwise - the mechanisms proposed should be described in detail.</p> <p>RSSB is seeking a system which is able to easily and securely exchange data with external systems. The need for this may grow in scope so we are seeking evidence that this will be achievable with the minimum of technical effort.</p>	<p>RFP00050 RFP00118 RFP10001A RFP10003A RFP10004A</p>

Q13	Graphical User Interface	2%	n/a	Please provide a step by step visual walkthrough of the Supplier registration process.	<p>The response can either be a set of screenshots/slides (where your current system will require customisation/configuration to meet RSSB's requirements please note what changes will be made) or a link to a mock up registration site. The visualisation shall give RSSB full confidence that the Suppliers proposed system is:</p> <ul style="list-style-type: none"> - consistent in appearance and terminology - presented in a clear and uncluttered way - make interaction between the system and the user as simple, intuitive and efficient as possible throughout all stages of the process 	<p>GRAPHICS RFP00210 RFP00211 RFP00212</p> <p>REGISTRATION RFP00218 RFP00219 RFP00220 RFP00221 RFP00222 RFP00226 RFP00231 RFP00232</p>
Q14	Communications	1%	max 2000 words	Please describe your proposal to issue communications to users	<p>Please provide a clear and concise overview of this work flow with specific reference to:</p> <ul style="list-style-type: none"> - whether targeted communications to users can be required to be acknowledged and actioned - how the communications are auditable - the degree to which the process is automated <p>The tenderer's response shall demonstrate their proposal for enabling RISQS management to communicate with suppliers is efficient, customisable and user friendly.</p>	<p>RFP00026 RFP00028 RFP00029 RFP00032</p>
Q15	Audit Scheduling	3%	max 2000 words	Please describe your proposal for liaising with the Audit Provider to ensure audits are scheduled as per the workflow laid out in Appendix B Schedule of Requirements: Audit Booking Process	<p>The response shall as a minimum cover:</p> <ul style="list-style-type: none"> - an overview of how the process works to efficiently meet RSSB's specific requirements (whether this sits within your system or becomes the responsibility of the Audit Provider) - dependant on where the process for scheduling sits, what information will be required to pass between you and the Audit Provider in order for them to schedule the audits and then back to your system for update, and how this will be undertaken - what notification the Audit Provider will receive of actions required and how this will ensure they are able to act in a timely manner - how the process will ensure that audits are completed a minimum of 10 working days before the expiry date of the current audit <p>RSSB is seeking, as far as reasonably possible, to provide a fully integrated IT solution that provides a seamless interface between the two contracts. The tenderers response shall give RSSB full confidence that the audit scheduling process will be seamless and minimise the risk that audits are not scheduled and undertaken as required.</p>	<p>RFP00122 RFP00123 RFP00129 RFP00308 RFP00309 RFP00310 RFP00311 RFP00312 RFP00315 RFP00318 RFP00319 RFP00320 RFP00321 RFP00322 RFP00323 Appendix B Schedule of Requirements: Audit Booking Process</p>
Q16	Audit Reporting	3%	max 2000 words	Please describe how will you ensure that the audit report outputs are fully captured to update the member profile.	<p>The response shall as a minimum cover:</p> <ul style="list-style-type: none"> - details of your proposal for efficiently generating audit reports (whether this sits within your system or becomes the responsibility of the Audit Provider) - dependant on where the responsibility for generating the report lies, what information is required to be passed (both ways) between the you and the Audit Provider to allow them to complete the report and for you to update the profile, and how this is undertaken - how the audit report should be quality checked and submitted by the Audit Provider so that the member's profile and status is updated within the specified timescales and made visible to buyers 	<p>RFP00131 RFP00132 RFP00135 RFP00136 RFP00333 RFP00334 RFP00335</p>

						<p>- how, following receipt of the report, your system will recognise any further action required and ensure appropriate people will be aware of any further action</p> <p>RSSB is seeking, as far as reasonably possible, to provide a fully integrated IT solution that provides a seamless interface between the two contracts. The response shall demonstrate that the tenderers proposal provides a unified approach that shall ensure that audit reports can be easily created, completed and member profiles updated in a timely manner.</p>	
Q17	Verification	1%		max 1000 words	Based on Appendix 10 (verification levels and current questionnaire) please provide your overall methodology for implementing RSSB's verification requirements.	<p>The methodology shall provide a clear step by step approach to reviewing RSSB's registration and verification requirements. As a minimum it shall cover</p> <ul style="list-style-type: none"> - demonstrate key considerations and decision making process that would sit behind decisions as to how each field is verified - whether the supplier is able to consider RSSB's aspiration to automate the verification process where possible (note: please do not include exact cost implications) - how the supplier proposes to ensure that once received, a supplier's questionnaire will be verified in 3 working days - efficiently and effectively 	<p>RFP00139 RFP00140 RFP00247 RFP00248 RFP00249 RFP00250 RFP00313 RFP00314 RFP00315</p>
Q18	Verification	3%		max 3000 words	Please detail how you propose to verify the responses to each of the questions in the questionnaire (appendix 10) against the level of verification currently required and clearly indicate where you are able to provide improvement.	<p>The response should demonstrate the careful application of the methodology described above, options and reasons for recommendation of each proposal. Where a response is to be reviewed automatically the response shall demonstrate that the sources is reliable and the creating the automatic connection would be feasible, secure and cost effective . Where a response is to be reviewed manually please demonstrate that the verifying resource will be sufficient qualified to do so.</p> <p>No actual costs are to be included in the quality response and should only be captured in the pricing schedule. Please note: the minimum requirement for this Tenderer is that current verification levels for each questions are met, therefore any improvement or automation proposed by the tendered should be carefully considered in relation to the pricing model and the commercial vs quality weightings of this tender)</p>	<p>RFP00139 RFP00140 RFP00247 RFP00248 RFP00249 RFP00250 RFP00313 RFP00314 RFP00315</p>
Q19	Buyer	2%	2	max 2000 words	Please provide details of the search functionality for the buyer	<p>The response should detail as a minimum:</p> <ul style="list-style-type: none"> - how customised searches can be easily built by the buyer - the ability of the system to allow the buyer to conveniently compare the results - the file formats in which they can be exported - how the system will ensure the search is auditable - the ability of the system to save searches <p>The tenderers response shall demonstrate that the search functionality is user friendly, provides sufficient flexibility in allowing comparison of results, customisation options and reporting formats.</p>	<p>RFP00260 RFP00261 RFP00262 RFP00263 RFP00264 RFP00265 RFP00266 RFP00267 RFP00268</p>
Q20	Buyer	1%		max 2000 words	Please provide details on how your system can alert buyers to changes in selected supplier details	<p>The response shall detail the functionality your system provides for providing buyers with alerts including how flexible the process is and as a minimum include:</p> <ul style="list-style-type: none"> - how the buyer is alerted of the change, this should be through a communication channel that will be easily noticed by the Buyer - what information the buyer is immediately presented with (both in the alert and in the system if the two are separate). - any additional functionality of flexibility the alert can be configured by the buyer to provide <p>The response shall demonstrate that the alerts are suitably configurable and contain relevant and proportionate information with a simple process to action the alert.</p>	<p>RFP00269 RFP00270</p>

Q21	Buyer	2%	2	max 2000 words	Please explain how a buyer using your system ensures compliance with the Public Contracts Regulations 2015 and Utilities Contracts Regulations 2016 and how you will ensure that this compliance continues to be possible with any future updates or changes to the regulations or their equivalents for the duration of the contract.	The response clearly explains how the supplier will ensure that the system enables a buyer to be compliant with the Public Contracts Regulations 2015 and Utilities Contracts Regulations 2016 with no processes which are inconsistent with either set of regulations. The response also explains how the supplier will commit to work with the Authority and the buying and supplying communities to update the systems and processes to continue to ensure compliance with future versions of the regulations or their equivalents for the duration of the contracts.	RFP00264
Q22	Training	2%		max 2000 words	Please detail your proposed methodology for creating training materials for system users and proposal for delivery	The methodology should demonstrate a logical approach to creating the training materials considering the needs of different users in relation to the different topics detailed in RFP00058. The proposed delivery of the training should incorporate RSSB's requirement for flexibility (the format should enable users at different times and in different geographical locations to access the training) and in some instance not allow a user to progress beyond a certain stage within the system until successful completion of a module. Please provide separate proposals for both buyers and suppliers.	RFP00057 RFP00058 RFP00059 RFP00060 RFP00061 RFP00062 RFP00063
Q23	Member Support Service	2%		max 2000 words	Please provide details of the process and systems proposed to deliver the customer support	The response should provide an overview of the tenderers proposed customer service set up and as a minimum should include: - methods by which scheme members can get in contact - how calls and issues could be prioritised and resolved in a timely manner (in line with the relevant KPIs in Schedule 2.2 of the draft contract) - proposal for how queuing systems are optimised and wait times minimised -how issued are logged, recorded, actioned and closed The response provide RSSB with full confidence in the tenderers arrangements to deliver effective customer support	RFP00064 RFP00065 RFP00066 RFP00067 RFP00068 RFP00070 RFP00071 RFP00072 RFP00074 RFP00075 RFP00076 RFP00077
Q24	Member Support Service	2%	2	max 2000 words	Please provide details of the team and management proposed to deliver the customer support	The response shall as a minimum cover: - the proposed team structure - how the team will be managed - the training they will receive - how quality of service will be assured - a proposal for how complaints and audit appeals will be acknowledged in a timely manner and actioned The tenderers response should demonstrate a suitable level of resource and capability to deliver the services to a good standard. The management, training and assurance must give RSSB confidence in the continued quality of delivery	RFP00064 RFP00065 RFP00066 RFP00067 RFP00068 RFP00070 RFP00071 RFP00072 RFP00074 RFP00075 RFP00076 RFP00077
Q25	Contract Management	1%		max 2 A4 sides per CV max 1500 words for additional information	Please describe how resources will be managed over the contract duration.	Please provide CV's of the Key Personnel who will manage the verification/customer support as part of 'business as usual' as well as the overall contract manger. (Please note these Key Personnel will be required to deliver the Services and be named in Schedule 9.2 of the Contract) The CVs shall demonstrate that each individual has the relevant expertise, skills, qualifications and experience for their role and in each case a brief summary as to why you believe each individual is appropriate in taking forward the delivery of the Services. Additionally, please describe how you will manage resource throughout the contract duration to ensure a sufficient level to deliver the services to a good standard. This statement shall include: - how you will manage any variations in workload, both planned and unforeseen -how you will manage both planned and unforeseen absences	RFP00001 RFP00002 RFP00003 RFP00005 RFP00007 RFP00008

Q26	Contract Management	Not Scored	n/a	n/a	Please describe key business as usual risks and proposed mitigation actions in the form of a Risks–Assumptions–Issues–Dependencies (RAID) Log	This response will not be scored but will be used to inform the evaluation of Q27	
Q27	Contract Management	5%	2	max 2000 words	Please provide your proposal for continued collaboration with the Lot 2 supplier over the contract duration.	Cooperation between the successful tenderers of Lots 1 & 2 will be critical for the delivery of the RISQS Scheme. Please provide a collaboration plan detailing how you will work with the successful Lot 2 supplier including: - Planning - Collaborative working - Dispute resolution - Dependencies - Confidential Information - Formal or informal agreements The statement shall give RSSB full confidence in the tenderers commitment to collaboration throughout the contract duration, and should demonstrate proactive engagement with relevant suppliers to provide assurance to RSSB of this. Early engagement is encouraged and where a tenderer has a preferred partner in Lot 2 specific arrangements should be detailed to demonstrate.	RFP00001 RFP00002 RFP00003 RFP00005 RFP00007 RFP00008
Q28	Contract Management	1%		max 2000 words	As well as implementing their own systems and collaborating with the Lot 2 supplier RSSB expects the Lot 1 supplier to take overall responsibilities for the coordination an management of the two implementation work streams. Please describe how you will successfully oversee both work streams	The response shall detail how (as the provider of the service that will maintain the core of the scheme) how they will effectively monitor, communicate and manage the Lot 2 provider and provide the RSSB scheme manager with single point of contact on the implementation and overall scheme delivery.	RFP00001

6.4 Quality Requirements: Lot 2 – Audit Services

Please complete ALL Questions

Quality response scores shall account for 50% of the final score

No.	Subject Area	Weighting	Minimum Score Requirement	Max Length	Question	Criteria	Reference to spec
Q1	Meets minimum requirements	Pass/Fail	n/a	n/a	Please filter the requirements spreadsheet Appendix A Schedule of Requirements under column A and select '2' and '3' then complete Column I For ALL requirements. Please enter brief explanation of how the requirement will be provided in Column M (for ALL requirements) to assure RSSB of the validity of the tenderers response. Column M is for information only.	Tenders will be evaluated on whether ALL “must have” requirements are met. For the avoidance to doubt 'N' for any one of the ‘Must Have’ requirements is considered a fail.	All Requirements
Q2	Implementation	Not Scored	n/a	n/a	Please describe key implementation risks and proposed mitigation actions in the form of a Risks–Assumptions–Issues–Dependencies (RAID) Log	This response will not be scored but will be used to inform the evaluation of Q2	RFP00214
Q3	Implementation	5%	2	max 2000 words not including diagram	Please provide a draft implementation plan (including any design, test, etc phases) you propose to ensure all Services are ready to go live as of April 2018.	<p>The Tenderer's response shall detail their draft plan to design, implement, test and deploy all requirements required at scheme go live. The response shall demonstrate a good understanding of the requirements and propose a plan that is logical, achievable and minimises the risk of not meeting RSSB's required timescales. The plan should give RSSB full confidence that the systems and protocols developed will have undergone a robust testing, review and quality assurance process. For each phase of implementation please detail:</p> <ul style="list-style-type: none"> • the completion milestone • the deliverables at that milestone, as well as plan of activities to achieve it • the approximate duration • roles and responsibilities • issues requiring sign off by RSSB • collaboration interfaces with Lot 1 <p>Please also provide the project plan diagrammatically.</p> <p>For the avoidance of doubt the final implementation plan will be developed and agreed between the parties by no later than 10 working days following the effective date of the contract.</p>	RFP00214 but with consideration to the Service Providers implementation requirements
Q4	Implementation	1%		max 2 A4 sides per CV max 500 words per supporting statement	Please provide (maximum of 2 page) CV's of the Key Personnel who will deliver the implementation. (Please note these Key Personnel will be required to deliver the Services and be named in Schedule 9.2 of the Contract)	<p>The CVs shall demonstrate that each individual has relevant expertise, skills, qualifications and experience for their role</p> <p>In each case a brief summary as to why you believe each individual is appropriate in taking forward the implementation of the Services.</p>	RFP00214

Q5	Audit Scheduling	5%		max 2000 words	As it is RSSB's preference that the Service provider provide an audit scheduling system accessible to the Audit Provider please provide details of your own internal systems or processes that must be kept aligned with this.	The response shall explain what internal systems and process will need to be kept aligned with the Service Providers audit scheduling system and how this will be maintained. Whilst RSSB recognises that the tenderer will not be able to provide a definitive proposal without seeing the Lot 1 provider's audit scheduling system, we are looking for a logical and flexible approach and options for how this interface could be managed. The tenderers response shall give RSSB confidence that the tenderers proposal will mitigate the risk and minimise risk that audits are not scheduled and undertaken as required.	RFP00122 RFP00124 RFP00129
Q6	Audit Scheduling	6%	2	max 2000 words	As it is possible that the Service Provider may not be able to provide an audit scheduling system please provide details of your own system that could be used and how the interface between this and the Service Provider would work to meet the requirements of Appendix 5: Audit Booking Process	The response shall as a minimum detail: - an over view of how the system works to meet RSSB's specific requirements - how you propose information is passed between the Service Provider and yourself to ensure you are able to schedule the audit for a date that suits both yourself and the Scheme Member - how you propose that information is passed from the you to the Service Provider to you in order for them to update their records and handle any queries received by customer support in a timely manner The response shall give RSSB confidence that this process will provide a seamless interface between the Service Provider and the Audit provider and minimise risk that audits are not scheduled and undertaken as required.	RFP00121 RFP00124 RFP00125 RFP00126 RFP00127 RFP00128 RFP00129 RFP00130 RFP00307 RFP00308 RFP00309 RFP00310 RFP00311 RFP00312 RFP00313 RFP00314 RFP00315 RFP00316 RFP00317 RFP00318 RFP00319 RFP00320 RFP00321 RFP00322 RFP00323 RFP00324 APPENDIX 5
Q7	Audit Reporting	5%	2	max 2000 words not including visuals	As it is possible that the Service Provider may not be able to provide an audit writing system please provide details of your own system that may be used if required	The response should provide an outline of how the system works and as minimum include: - whether the system can be used in remote locations by auditors without the need to connect to a network/the internet - how the system can create, customise and automatically populate templates with the minimum fields required dependant on the audit footprint (eg. Modules to be audited against SENTINEL, IMR etc) - how the templates would be downloaded and uploaded into the system The response shall demonstrate that the audit reports are easily creatable and customisable and are user friendly and that the system provides flexibility of use. Please support your statement with screenshots if available.	RFP00131 RFP00132 RFP00135 RFP00136 RFP00330

Q8	Audit Provider	8%		No word limit on the draft protocol max 3000 words for the statement	Please detail how you will deliver RSSB's audit protocol requirements	Based on the Industry Minimum Requirements document (see Appendix C Data Room Documents) please provide a draft audit protocol that demonstrates your ability to clearly and concisely identify the requirements to be assessed, giving guidance on what evidence should be reviewed in a manner that aids understanding. Please provide a supporting statement detailing: - your process for identifying requirements - your process for competence of individuals developing the protocols - approval mechanisms - how you might incorporate other modules (eg sentinel, RIPS,POS) to reduce duplication where auditees have multiple audit requirements and provide an optimised solution.	RFP00108 RFP00117
Q9	Audit Provider	8%	2	max 3000 words	Please describe how you will assure consistent quality of audits undertaken over the contract duration.	The response shall, with reference to RSSB's specific requirements, provide an overview of the suppliers proposed quality assurance process over the contract duration and as a minimum shall cover: - auditor training for rails specific elements - how auditor licensing and approvals are maintained to meet RSSB's requirements - how the tenderer will ensure they will provide the Lot 1 Provider with a quality checked report within 9 working days of the completion of the audit - how the tenderer will make sure these processes are rolled out and absorbed by all auditors including any subcontractors The response shall give RSSB full confidence that the supplier's proposed approach fully understands the requirements and will provide audits of a consistent quality.	RFP00109 RFP00110 RFP00112 RFP00113 RFP00330 RFP00332
Q10	Audit Delivery	6%	2	max 3000 words	Please describe how you will undertake the audits in a consultative manner with the scheme members	The response shall, with reference to RSSB's specific requirements, describe how you will deliver audits in a collaborative manner with your auditors exhibiting the following behaviour traits: - Diplomatic - Open minded - Professional - Ethical - Versatile Auditors shall ensure that they are assessing how the auditees systems and processes align with the required standards and not dictate how they feel this should be done. The response shall also cover how these behavioural standards will be monitored to ensure a consistent positive culture within the audit team.	RFP00329
Q11	Contract Management	1%		max 2 A4 sides per CV max 1500 words for additional information	Please describe how resources will be managed over the contract duration.	Please provide CV's of the Key Personnel who will manage the verification/customer support as part of 'business as usual' as well as the overall contract manager. (Please note these Key Personnel will be required to deliver the Services and be named in Schedule 9.2 of the Contract) The CVs shall demonstrate that each individual has the relevant expertise, skills, qualifications and experience for their role and in each case a brief summary as to why you believe each individual is appropriate in taking forward the delivery of the Services. Additionally, please describe how you will manage resource throughout the contract duration to ensure a sufficient level to deliver the services to a good standard. This statement shall include: - how you will manage any variations in workload, both planned and unforeseen - how you will manage both planned and unforeseen absences	RFP00004
Q12	Contract Management	Not Scored	n/a	n/a	Please describe key business as usual risks and proposed mitigation actions in the form of a Risks-Assumptions-Issues-Dependencies (RAID) Log	This response will not be scored but will be used to inform the evaluation of Q13	

Q13	Contract Management	5%	2	max 2000 words	<p>Please provide your proposal for continued collaboration with the Lot 1 supplier over the contract duration.</p>	<p>Cooperation between the successful tenderers of Lots 1 & 2 will be critical for the delivery of the RISQS Scheme.</p> <p>Please provide a collaboration plan detailing how you will work with the successful Lot 1 supplier including:</p> <ul style="list-style-type: none"> - Planning - Collaborative working - Dispute resolution - Dependencies - Confidential Information - Formal or informal agreements <p>The statement shall give RSSB full confidence in the tenderers commitment to collaboration throughout the contract duration, and should demonstrate proactive engagement with relevant suppliers to provide assurance to RSSB of this. Early engagement is encouraged and where a tenderer has a preferred partner in Lot 1 specific arrangements should be detailed to demonstrate.</p>	<p>RFP00004 RFP00006</p>
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6.5 Initial Bid Response Commercial Requirements: Lot 1 – IT, Verification & Management Services

- 6.5.1 Commercial response scores shall account for 30% of the overall score
- 6.5.2 The Tenderer's price shall be inclusive of all costs and expenses to provide the goods, services or works requested in this invitation to tender must be provided and all assumptions must be clearly stated.
- 6.5.3 All prices quoted shall be in sterling (unless otherwise requested in the Tender Documents), exclusive of Value Added Tax and shall be firm.
- 6.5.4 The Tender shall complete and submit Appendix E– Pricing Schedule. Please read the 'Instructions' tab carefully and complete the tab 'Lot 1 IT Services Data Entry' including both Implementation and BAU costs. This will automatically populate the Tab 'Lot 1 IT Services Summary'. The unit costs from this tab shall become the rates contained in the contract.
- 6.5.5 The unit rates calculated in 'Lot 1 IT Services Summary' shall feed into the 'Total Cost of Ownership' tab which will provide an estimated contract value over the duration of the contract. RSSB will be evaluating the estimated total cost of ownership highlighted in green. Total cost of ownership will account for 25% of the commercial score.
- 6.5.6 Additionally the Supplier must provide day rates and role descriptions for any additional work. These rates shall form part of the contract and be the basis for the calculation of any additional development work identified over the contract duration. Please complete the 'IT systems and application' and 'IT support and verification' tables in the 'Rate Card' tab having read the 'Rate Card Definitions' tab carefully. Day rates will account for 5% of the commercial score. For further details as to how this will be evaluated please see section 7.

6.6 Initial Bid Response Commercial Requirements: Lot 2 – Audit Services

- 6.6.1 Commercial response scores shall account for 50% of the overall score
- 6.6.2 The Tenderer's price shall be inclusive of all costs and expenses to provide the goods, services or works requested in this invitation to tender must be provided and all assumptions must be clearly stated.
- 6.6.3 All prices quoted shall be in sterling (unless otherwise requested in the Tender Documents), exclusive of Value Added Tax and shall be firm.
- 6.6.4 The Tender shall complete and submit Appendix E – Pricing Schedule. Please read the 'Instructions' tab carefully and complete the tab 'Lot 2 Audit Services Data Entry' including both Implementation and BAU costs. This will automatically populate the Tab 'Lot 2 Audit Services Summary'. The unit costs from this tab shall become the rates contained in the contract.
- 6.6.5 The unit rates calculated in 'Lot 2 Audit Services Summary' shall feed into the 'Total Cost of Ownership' tab which will provide an estimated contract value over the duration of the contract. RSSB will be evaluating the estimated total cost of ownership highlighted in green. Total cost of ownership will account for 45% of the commercial score.
- 6.6.6 Additionally the Supplier must provide day rates and role descriptions for any additional work. These rates shall form part of the contract and be the basis for the calculation of any additional development work identified over the contract duration. Please complete the 'Audit Services' table in the 'Rate Card' tab having read the 'Rate Card Definitions' tab carefully. Day rates will account for 5% of the commercial score. For further details as to how this will be evaluated please see section 7.

7 Evaluation

7.1 Each Initial bid shall be evaluated in the following order, any bid that fails one of the stages shall not be taken further for evaluation:

- (i) Compliance check - to ensure it has been submitted on time, meets RSSB's submission requirements, and does not contain any disqualifying criteria.
- (ii) Quality pass /fail criteria
- (iii) Quality Weighted Questions
- (iv) Commercial Evaluation

The RSSB will evaluate each of the Quality questions in Section 6.3 & 6.4 as either:

- (i) "Pass" or "Fail" and reserves the right to disqualify forthwith any Tenders which score "Fail" against any of the questions
- (ii) For Q2 of Lot 1. As a percentage (to 2 decimal points) out of 3% scored by evaluating the total of column L (lines 2-346) against the total possible.
- (iii) Out of a maximum of three (3) as per the scoring methodology in 7.5. An evaluation panel consisting of representatives of key stakeholders within RSSB will evaluate the Tenderer's responses to the Quality Questions out of a maximum of three (3) using the methodology set out in 7.5. The Evaluation Panel will not be allowed to give partial scores (for example 2.5); however, once all scores are aggregated, the technical scores will be rounded to two decimal places. The procurement team will only act as moderator during the assessment phases of the evaluation.

7.2 Each Quality Essay Question will be evaluated in its own right, without reference to an Applicant's response to other questions, meaning that Applicants should not assume that any overlapping information will be taken into account when evaluating their response. Any supplemental information which relates to more than one answer should be applied to each answer to avoid ambiguity or confusion. It should also be noted, however, that a consistency check will be carried out on responses as a whole, meaning that Applicants must ensure consistency throughout its response.

7.3 Tenderers shall be disqualified if:

- (i) A Tenderer receives a score of zero (0) in any of the evaluated quality questions before the weightings are applied; or
- (ii) A Tenderer does not meet the minimum required score (where applicable) in one of the evaluated technical questions before the weightings are applied. It is noted that for some questions with a minimum score there are specification references which include requirements that are designated as 'should have'. In order that the minimum score requirement is not disproportionate, or acts in a way that effectively makes these 'should have requirements' acquire 'must have' status, only the quality of the tenderers response in relation to how they will deliver the 'must have' elements will be evaluated in relation

to the minimum score. The tenderers response to how they will provide any 'should have' requirements will only be considered if this bar is met and provides the opportunity for Tenderers to exceed the minimum score.

7.4 Scored criteria are weighted to show the relative importance significance of the criterion.

7.5 Scoring Definitions

Score	Score definition
0	<p>The response is omitted.</p> <p>The response is entirely unacceptable.</p> <p>The response is that the Tenderer cannot meet RSSB's stated requirements at all or the response does not demonstrate that the tender complies with RSSB's stated requirements at all.</p>
1	<p>The response is weak.</p> <p>The response fails to adequately address the relevant criterion, and may focus on elements of only limited relevance. The response demonstrates only a general understanding of issues likely to be faced by RSSB, with little or no attempt to address the characteristics of the Project. The response generally fails to set out an effective proposition for managing identified issues, with some exceptions. There may be some concerns as to compatibility with RSSB's stated requirements.</p>
2	<p>The response is good.</p> <p>The response addresses the relevant criterion, although the treatment of some limited elements may be weak. The response demonstrates an understanding of most of the principal issues likely to be faced by RSSB with respect to that criterion, and sets out a proposition for managing them that instils some confidence with at most a few minor reservations. The response may not demonstrate any added value or this may be limited.</p>
3	<p>The response is excellent.</p> <p>The response addresses the relevant criterion directly in a very comprehensive, succinct and clear manner, demonstrating a full understanding of the issues likely to be faced by RSSB with respect to that criterion (with an analysis fully tailored to the particular characteristics of the Project), setting out an effective proposition for managing them that instils full confidence and raising no concerns as to compatibility with RSSB's stated requirements. The Bidder's proposition is likely to bring very significant added value to RSSB.</p>

Commercial

- 7.6 The commercial evaluation will be carried out by establishing the assessed price of each submission making any adjustments necessary to ensure the tendered price are treated on an equal basis. The tendered price shall be taken from each completed Pricing Schedule as per Appendix E to this ITT.
- 7.7 The Tender which achieves the lowest acceptable assessed price will be awarded full available marks for commercial response, with all other tenders being base-lined to this and awarded proportionate scores. The rationale to be applied will be:

$$\text{Score} = \frac{\text{Lowest Tender Price} \times \text{Available Weighting}}{\text{Tender Price}}$$

7.8 For Lot 1:

Commercial Element	Evaluation Method	Weighting
Total Cost of Ownership	$\text{Score} = \frac{\text{Lowest Tender Price} \times \text{Available Marks (25\%)}}{\text{Tender Price}}$	25%
Rate Card	<p>For each day rate:</p> $\text{Score} = \frac{\text{Lowest Tender Price} \times \text{Available Marks (as below \%)}}{\text{Tender Price}}$ <p>Orange highlighted cells shall account for 0.1875% each</p> <p>Blue highlighted cells shall account for 0.1640% each (0.1640625)</p> <p>Yellow highlighted cells shall account for 0.084% (0.0841346153846154)</p>	5%

7.9 For Lot 2:

Commercial Element	Evaluation Method	Weighting
Total Cost of Ownership	$\text{Score} = \frac{\text{Lowest Tender Price} \times \text{Available Marks (45\%)}}{\text{Tender Price}}$	45%
Rate Card	<p>For each day rate entered:</p> $\text{Score} = \frac{\text{Lowest Tender Price} \times \text{Available Marks (as below \%)}}{\text{Tender Price}}$	5%

	Tender Price	
	Orange highlighted cells shall account for 0.75% each	
	Yellow highlighted cells shall account for 0.3333% each	

7.10 Tenders with abnormally low or high prices may be rejected by RSSB. Any Tender with a contract price that is 25% above or below the average of all the contract prices excluding the highest assessed price will be deemed suspiciously low/high. Suspiciously low/high prices will be considered further by RSSB before a decision is taken as to whether the price is abnormally low/high.

7.11 Tenderers shall be disqualified if:

- (i) The BAU cost per unit submitted are above the current registration or audit day charges.

Most Economically Advantageous Offer

7.12 For each initial tender RSSB will combine the Total Commercial Score with the Total Quality Score to calculate the Tender's Overall Score.

7.13 Lots will be scored independently.

7.14 Following the submission of the initial bid only the top 3 scoring suppliers will be invited to negotiate.

7.1.5 In the event that there are less than 3 suitably qualified Tenderers, RSSB may take through the number (less than 3) of suitably qualified Tenderers.

Tied Scores

7.14 If, in either Lot, two or more Tenderers obtain the same overall combined score the Tenderer with the highest score for the question with the highest priority will be ranked ahead.

7.15 If, following the ranking process detailed above, there is still a tiebreak then the ranking process will continue by determining which Tenderer obtained the highest score in this ranking of questions until a differentiation can be made.

7.16 The tables below provides the priority order of questions.

Lot 1

Q9	System Development
Q10	System Performance
Q27	Contract Management
Q6	System Location and Architecture
Q7	System Access and Security
Q12	Data
Q11	Data
Q4	Implementation
Q2	System Customisation
Q18	Verification
Q15	Audit Scheduling
Q16	Audit Reporting
Q8	System Availability
Q19	Buyer
Q21	Buyer
Q24	Member Support Service
Q13	Graphical User Interface
Q23	Member Support Service
Q22	Training
Q17	Verification
Q20	Buyer
Q14	Communications

Q28	Contract Management
Q25	Contract Management
Q5	Implementation

Lot 2

Q9	Audit Provider
Q8	Audit Provider
Q10	Audit Delivery
Q6	Audit Scheduling
Q7	Audit Reporting
Q5	Audit Scheduling
Q13	Contract Management
Q3	Implementation
Q11	Contract Management
Q4	Implementation