

# RSSB SUPPLIER QUESTIONNAIRE GUIDANCE NOTES

## Industry Supplier Assurance Scheme

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

Deadline for requests to participate: 10:00am  
23/01/2017

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 30<sup>th</sup> 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.** Tenderers may bid for one or both Lots.
- 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. Supplier Qualification Questionnaires (SQs) 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 The provision of the RISQS scheme is made up of two distinct separate services, IT & Verification Services and Audit Services. As there are already established markets for both Services and there is little overlap between them, so to maximise the level of response RSSB has opted for a Lotted approach to this procurement. RSSB also believes this approach will remove barriers to entry and capitalise on more specialist knowledge to obtain the best quality solutions.
- 1.4 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.
- 1.5 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). The purpose of a SQ is to pre-qualify tenderers capability to perform the contract and to shortlist tenderers for the Award (ITN stage).
- 1.6 This SQ document (the Crown Commercial Service’s Standard Supplier Questionnaire) is intended to identify those candidates which are most capable of performing the Services. Tenderers must meet all pass/fail requirements and only the 5-7 highest scoring Suppliers on the scored criteria for each Lot will be taken forward to the ITN stage.
- 1.7 The SQ is not intended to assess the merits of the potential bids submitted by the candidates or who will best perform the contracts. These issues are dealt with at the award stage, and assessed according to the award criteria laid down in the Contract Notice or ITN documents. Please see the ITN Guidance for the award criteria.

1.8 Submission of the SQ is by email only to [shareditt@rssb.co.uk](mailto:shareditt@rssb.co.uk) by 23/01/2017 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 These guidance notes for tenderers contain:
- (i) The Procurement Process (Section 2)
  - (ii) Preparation of SQ Response (Section 3)
  - (iii) TUPE and Staff Transfer (Section 4)
  - (iv) Specification (Section 5)
  - (v) SQ Response Requirements (Section 6)
  - (vi) Evaluation (Section 7)

1.3.2 Tenderers should note that these guidance notes make reference to the following additional documents:

- (i) Standard Supplier Questionnaire
- (ii) Appendix A Schedule of Requirements
- (iii) Appendix B Schedule of Requirements
- (iv) Appendix C Data Room Documents

## 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 not relevant to this SQ document shaded out in grey.

Activity	Start Date	End Date	Time
OJEU Contract Notice sent for publication and procurement documents available from:		09/12/2016	
<b>Deadline for SQ clarifications</b>		<b>06/01/2016</b>	
<b>Deadline for SQ responses</b>		<b>23/01/2017/2016 (at least 30 days from the date on which the contract notice was sent)</b>	<b>10:00</b>
Notification of SQ 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	
<b>Deadline for submitting initial tenders</b>		<b>10/03/2017</b>	<b>10:00</b>
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	
<b>Deadline for submitting</b>		<b>12/05/2017</b>	<b>10:00</b>
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 regulation 29 of the Public Procurement Regulations RSSB reserve the right to award contracts on the basis of the initial tenders without negotiation**

## 2.2 Single point of contact

- 2.2.1 Your main point of contact is: Gemma Cuthbert: [shareditt@rssb.co.uk](mailto:shareditt@rssb.co.uk)
- 2.2.2 Tenderers must not approach any of RSSB's staff except where expressly permitted by this ITT.
- 2.2.3 RSSB accepts no liability for unanswered correspondence which is not submitted via the single point of contact.
- 2.2.4 Following the issue of the Contract Notice any clarifications about SQ must be submitted to the single point of contact. RSSB shall collate the questions received each Friday at 12:00 during the SQ period and issues responses that will publicly be posted to the notice on Contracts Finder by the following Tuesday. The final opportunity for submitting clarifications shall therefore be 13/01/17.
- 2.2.5 If a Tenderer wishes RSSB to treat a clarification as confidential and not issue the response publicly, 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 via Contracts Finder.

## 2.3 Submission of SQ Response

- 2.3.1 Tenderers may request to participate by submitting the information request in this SQ document by email to [shareditt@rssb.co.uk](mailto:shareditt@rssb.co.uk) by 10:00am 23/01/17.
- 2.3.2 RSSB will select tenderers on the basis of the information for qualitative selection submitted in the SQ response by applying the selection criteria detailed in the procurement documents.
- 2.3.3 RSSB intend to invite a minimum of 5 and a maximum of 7 Tenderers, who pass the pass/fail selection criteria and who then score highest overall on the scored selection criteria detailed in these procurement documents, to participate in the tender process.

## SQ Response Checklist

For both Lots 1 & 2

Completed Standard Supplier Questionnaire	Part 1 Section 1 - Potential Supplier Information	<input type="checkbox"/>
	Part 2 Section 2 - Grounds for mandatory exclusion	<input type="checkbox"/>
	Part 2 Section 3 - Grounds for discretionary exclusion	<input type="checkbox"/>
	Part 3 Section 4 - Economic and Financial Standing	<input type="checkbox"/>
	Part 3 Section 5 (if applicable) – Parent Company	<input type="checkbox"/>
	Part 3 Section - 6 Modern Slavery Act	<input type="checkbox"/>
	Part 3 Section – 7.1 Insurance	<input type="checkbox"/>
	Part 3 Section 7.4 - Standards	<input type="checkbox"/>
Additional Attachment named 'Additional Questions_[ your supplier name]'	Part 3 Section – 7.2 Health & Safety	<input type="checkbox"/>
	Part 3 Section – 7.3 Collaboration	<input type="checkbox"/>
	Part 3 Section 7.5 - Resources	<input type="checkbox"/>

For Lot 1 IT, Verification and Management Services

Completed Standard Supplier Questionnaire	Part 3 Section 8.1 – ISO270001	<input type="checkbox"/>
	Part 3 Section 8.4 – ISO10002	<input type="checkbox"/>
Additional Attachment file named 'Lot1_[ your supplier name]'	Part 3 Section 8.2 - Technical and Professional Ability (Online Platforms)	<input type="checkbox"/>
	Part 3 Section 8.3 - Technical and Professional Ability (System Development)	<input type="checkbox"/>
	Part 3 Section 8.4 (if applicable) - ISO10002	<input type="checkbox"/>
	Part 3 Section 8.5 - Technical and Professional Ability (Customer Support)	<input type="checkbox"/>
	Part 3 Section 8.6 - Technical and Professional Ability (Compliance Services)	<input type="checkbox"/>

For Lot 2 Audit Services

Additional Attachment file named 'Lot2_[ your supplier name]'	Part 3 Section 9.1 - Technical and Professional Ability (Audit Services)	<input type="checkbox"/>
	Part 3 Section 9.2 - Technical and Professional Ability (Auditor Independence)	<input type="checkbox"/>
	Part 3 Section 9.3 - Technical and Professional Ability (Auditor Competence)	<input type="checkbox"/>

- 2.4 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.
- 2.5 RSSB reserves the right, at its sole discretion, to request a Parent Company Guarantee and/or some other financial or performance guarantee.

### 3. Preparation of SQ Response

- 3.1 SQ responses 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 SQ, 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 SQ 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 SQ.
  - (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 SQ and Associated Documents and that it has not submitted its response 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 SQ 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) 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 SQ 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 SQ and the Associated Documents and should carry out their own due diligence checks and verify the accuracy of the detailed information contained in this SQ and the Associated Documents. Nothing in this SQ 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 SQ 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 SQ 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 SQ and the Associated Documents or any part of them).
- 3.7 If forming a consortium for the purpose of tendering for this requirement all sub-contractors are required to complete Part 1 and Part 2 of the SQ. The lead contact of the consortium should complete all questions in Part 3 on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration. It is the responsibility of the lead contact to ensure all consortium members abide by the terms of this SQ.
- 3.8 All pages of the SQ response and subsequent tenders must be sequentially numbered (including any forms to be completed and returned).
- 3.9 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.
- 3.10 When providing case studies in their response Tenderers may use the same example in different questions if they feel that the case study is the best example of the evidence being requested. However Tenderers must ensure that they make clear how the case study relates to the question and evaluation criteria. Please note that ALL case studies must be recent (within the last 3 years).
- 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 Pre-qualification questionnaires, or any subsequent tender documentation from tenderers participating in the tender process shall be considered irregular and will not be accepted if:
- (i) They do not comply with the procurement documents
  - (ii) They are received late
  - (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 RSSB'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 SQ
  - (ix) where a submission contains any caveats or any other statements or assumptions qualifying the SQ 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 SQ and any subsequent tender documentation in soft copy only via email to [shareditt@rssb.co.uk](mailto: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 SQ and the Associated Documents as confidential.
- 3.25 Tenderers shall not copy, reproduce or distribute the SQ and the Associated Documents at any time.
- 3.26 Tenderers shall not use this SQ 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 SQ information and the Associated Documents is made aware of, and complies with, the provisions of this Section.

## 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 SQ 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

### 5.1 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. SQ Evaluation Criteria

Table 1: Evaluation Criteria, Scorings and Weightings for both Lot 1 and Lot 2

Ref.	Section	Scoring	Evaluation Criteria
Part 1	1. Potential supplier Information	For information only	Please include full details.
Part 2	2. Grounds for mandatory exclusion	Pass / Fail	<p>RSSB reserves the right to disqualify any Tenderer which identifies any mandatory grounds for exclusion.</p> <p><b>Pass</b></p> <p>You have answered NO to all questions; or</p> <p>You have answered NO to some and YES to one or more and have included evidence of 'self-cleaning' which is acceptable to RSSB against the relevant ground for exclusion to which you have answered YES.</p> <p><b>Fail</b></p> <p>You have answered YES to some or all of the questions and failed to provide evidence of 'self-cleaning', which is acceptable to RSSB, against the relevant ground for exclusion to which you have answered YES.</p>
	3. Grounds for discretionary exclusion	Pass / Fail	<p>RSSB reserves the right to disqualify any Tenderer which identifies any mandatory grounds for exclusion.</p> <p><b>PASS</b></p> <p>You have answered NO to all questions; or</p> <p>You have answered NO to some and YES to one or more and have included evidence of 'self-cleaning' which is acceptable to RSSB against the relevant ground for exclusion to which you have answered YES.</p> <p><b>FAIL</b></p> <p>You have answered YES to some or all of the questions and failed to provide evidence of 'self-cleaning', which is acceptable to RSSB, against the relevant ground for exclusion to which you have answered YES.</p>
Part 3	4. Economic and Financial Standing	Pass / Fail	RSSB reserves the right to disqualify any Tenderer which does not meet the financial threshold required or cannot provide a required guarantee.

		<p><b>PASS</b></p> <p>You have answered YES to one of the options provided in 4.1 and YES to 4.2</p> <p><b>FAIL</b></p> <p>You have answered NO to all options in 4.1 and 4.2;          You have answered YES to any option in 4.1 but NO to 4.2; or          You have answered answers NO to 4.1 and YES to 4.2</p>
5. Parent Company Guarantee	For information only	Please include full details.
6. Modern Slavery Act	Pass / Fail	<p>RSSB reserves the right to disqualify any Tenderer which does not comply with the Modern Slavery Act 2015.</p> <p><b>PASS</b></p> <p>You have answered 'N/A' to 6.1; or          You have answered YES to 6.1 and YES to 6.2; or          You have answered YES to 6.1 and NO to 6.2 more and have included evidence of 'self-cleaning' which is acceptable to RSSB against the relevant ground for exclusion to which you have answered NO.</p> <p><b>FAIL</b></p> <p>You have answered NO to both 6.1 and 6.2 and failed to provide evidence of 'self-cleaning', which is acceptable to RSSB, against the relevant ground for exclusion to which you have answered NO.</p>
7.1 Insurance	Pass / Fail	<p>RSSB reserves the right to disqualify any Tenderer which does not meet the required levels of insurance.</p> <p><b>PASS</b></p> <p>You have answered YES to all options.</p> <p><b>FAIL</b></p> <p>You have answered NO to any of the options.</p>
7.2 Health & Safety	5% but with a minimum score pass/fail. Tenderer's are required to score a minimum of 2 based on the scoring mechanism	<p>RSSB reserves the right to disqualify any Tenderer which does not have an adequate Health and Safety Policy appropriate to the Services specified.</p> <p>The policy shall detail relevant leadership roles and qualifications and shall give RSSB full confidence in the Tenderer's H&amp;S arrangements for any non-desk based activity that will be required within the specification including but not limited to risk assessment and mitigation, and incident management.</p>

	in 7.5	
7.3 Collaboration  (max words: 2000)	10%	<p>Collaboration with the supplier providing services from the other Lot will be a key element in delivering the RISQS Scheme therefore Tenders must demonstrate a track record of successfully collaborating with other suppliers to deliver a service.</p> <p>The tenderer's responses demonstrates:</p> <ul style="list-style-type: none"> <li>• how key interfaces with the other supplier were identified</li> <li>• how responsibilities were decided and a collaborative working method agreed</li> <li>• how key risks were identified, mitigated and monitored</li> <li>• what contingency arrangements were put in place in case of failure</li> </ul> <p>Each case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Reference Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client's needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required and implemented the solution;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB's contract</li> </ul>
7.4 Standards	Pass/Fail	<p>RSSB reserves the right to disqualify any Tenderer which does not hold ISO9001 (or equivalent)</p> <p><b>PASS</b></p> <p>You have answered YES; or          You have answered NO but provided an accompanying statement which gives RSSB full confidence in the Tenderers understanding of the requirements of the standard and the feasibility of it being obtained by scheme go live.</p> <p><b>FAIL</b></p> <p>You have answered NO and provided no accompanying statement; or          You have answered NO and provided a statement which:</p> <ul style="list-style-type: none"> <li>• is lacking in detail; or</li> <li>• demonstrates a poor understanding of the standard; or</li> <li>• gives a plan for obtaining the standard which is not feasible or imports significant risk</li> </ul>

<p>7.5 Resources (max words: 2000)</p>	<p>Weighted 5% but with a minimum score pass/fail. Tenderer's are required to score a minimum of 2 based on the scoring mechanism in 7.5</p>	<p>The Tenderer's response gives RSSB confidence in their experience of scaling their resources (either up or down) to successfully and appropriately to meet the level of resource required to undertake new contracts. Please provide 2 case study examples of this experience and capability.</p> <p>Each case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Reference Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client's needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required and implemented the solution;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB's contract</li> </ul>
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Table 2: Evaluation Criteria, Scorings and Weightings for Additional Questions for Lot 1: IT, Verification and Management Services

Ref.	Section	Scoring	Evaluation Criteria
Part 3	8.1 ISO27001 Information Security Management	Pass/Fail	<p>RSSB reserves the right to disqualify any Tenderer which does not hold ISO27001 (or equivalent) or does not give a credible plan which gives RSSB full confidence in the Tenderer's plans to obtain it (by scheme go-live 1<sup>st</sup> April 2018) and their understanding of its requirements.</p> <p><b>PASS</b></p> <p>You have answered YES; or            You have answered NO but provided an accompanying statement which gives RSSB full confidence in the Tenderer's understanding of the requirements of the standard and the feasibility of it being obtained by scheme go live.</p> <p><b>FAIL</b></p> <p>You have answered NO and provided no accompanying statement; or            You have answered NO and provided a statement which:</p> <ul style="list-style-type: none"> <li>• is lacking in detail; or</li> <li>• demonstrates a poor understanding of the standard; or</li> <li>• gives a plan for obtaining the standard which is not feasible or imports significant risk</li> </ul>
	8.2 - Technical and Professional Ability (Online Platforms)  (max words: 4000)	25%	<p>The Tenderer's response shall demonstrate a track record of successfully delivering online platforms.</p> <p>The case studies of projects shall give the RSSB full confidence in the Tenderer's ability to provide a secure online data collection and payment platform accredited ISO27001 and PCI-DSS or delivered in line with the principles of. The platforms should have encompassed user registration, full service online payment processing (therefore including functionality to process a range of card payments, non-card purchase order payments, refunds, invoicing and management of customer queries).</p> <p>The platforms should have been provided as a fully managed service with regard to software and the infrastructure required to support it.</p> <p>The platform should also have provided interfaces and search functionality a customer could use to find products and services.</p>

		<p>Examples provided should be of a similar scale and diversity to the user base expected by RSSB's requirement (see Appendix C Data Room Documents for a sense of size and scale). The case studies should evidence that the tenderer has successfully delivered project of a suitably similar nature to RSSB's requirement.</p> <p>Each case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Reference Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client's needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required and implemented the solution;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB's contract</li> </ul>
<p>8.3 - Technical and Professional Ability (System Development)</p> <p>(max words: 3000)</p>	<p>15%</p>	<p>Tenderers must demonstrate a track record in successfully customising or developing their IT platform and give the RSSB full confidence in the Tenderer's ability meet a customer's evolving needs.</p> <p>The two case studies shall describe instances where changes or additions were made requested by the Customer mid-contract, and shall include timescales and process, start to end, impact assessment, roles and responsibilities and approvals. The case studies should demonstrate a successful and timely implementation of change requests.</p> <p>Each case study shall also as a minimum outline:</p> <p>The response must also describe how the solution was updated and maintained post go live including the effect that customisations had on this. The case studies should evidence that the tenderer has successfully delivered project of a suitably similar nature to RSSB's requirement.</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Reference Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client's needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required and implemented the solution;</li> <li>• How challenges were dealt with; and</li> </ul>

		<ul style="list-style-type: none"> <li>Any lessons learned that may apply to RSSB's contract</li> </ul>
8.4 ISO10002 Customer Satisfaction. Complaints Handling	Pass/Fail	<p>RSSB reserves the right to disqualify any Tenderer which does not hold ISO10002 (or equivalent) or does not give a credible plan which gives RSSB full confidence in the Tenderer's plans to obtain it (by scheme go-live 1<sup>st</sup> April 2018) and their understanding of its requirements.</p> <p><b>PASS</b></p> <p>You have answered YES; or          You have answered NO but provided an accompanying statement which gives RSSB full confidence in the Tenderers understanding of the requirements of the standard and the feasibility of it being obtained by scheme go live.</p> <p><b>FAIL</b></p> <p>You have answered NO and provided no accompanying statement; or          You have answered NO and provided a statement which:</p> <ul style="list-style-type: none"> <li>is lacking in detail; or</li> <li>demonstrates a poor understanding of the standard; or</li> <li>gives a plan for obtaining the standard which is not feasible or imports significant risk</li> </ul>
8.5 Customer Support  (max words: 3000)	15%	<p>Tenderers must demonstrate a track record in successfully providing customer support services and give the RSSB full confidence in the Tenderer's ability to provide support services to IT systems via phone and email (or online portal). The case studies shall demonstrate a clear methodology for handling and prioritizing issues, availability, rectification timescales, communication with the end user, and how the SLA's were monitored and reported on.</p> <p>At least one case study should demonstrate experience of providing a support services to a client wherein a third party (for example, a data centre) has been necessarily engaged as part of the main service provision.</p> <p>The case studies should evidence that the tenderer has successfully delivered project of a suitably similar nature and scale to RSSB's requirement.</p> <p>Each case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>Organisation Name;</li> <li>Reference Contact name, phone &amp; e-mail;</li> <li>Contract start &amp; completion date;</li> </ul>

		<ul style="list-style-type: none"> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client’s needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required and implemented the solution;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB’s contract</li> </ul>
<p>8.6 Technical and Professional Ability (Compliance Services)</p> <p>(max words: 4000)</p>	<p>25%</p>	<p>Tenderers must demonstrate a track record in successfully delivering services with detailed compliance requirements. The case studies shall be of a suitably similar nature to RSSB’s requirement and give RSSB full confidence in the Tenderer’s ability and experience in providing verification services..</p> <p>The case studies shall demonstrate how information received has been deemed compliant, both electronically and through qualified personnel.</p> <p>The case studies shall also include the Tenderer’s methodology in determining the most effective method of determining compliance and what quality assurance processes were put in place to ensure that information released was accurate.</p> <p>The case studies should evidence that the tenderer has successfully delivered project of a suitably similar nature to RSSB’s requirement.</p> <p>Each case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Reference Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client’s needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required and implemented the solution;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB’s contract</li> </ul>

Table 3: Evaluation Criteria, Scorings and Weightings for Additional Questions for Lot 2: Audit Services

Ref.	Section	Scoring	Evaluation Criteria
Part 3	9.1 Audit Services  (max words: 4000)	30%	<p>Tenderers must demonstrate a track record in successfully implementing systems, processes and resources in place to meet the requirements of ISO 17021:2015 (or equivalent) to perform the duties of a certification body. The response shall give RSSB full confidence in their experience and ability.</p> <p>The case studies should demonstrate a consultative approach and clearly detail the step by step process through which the audits are organised and undertaken.</p> <p>The case studies should evidence that the tenderer has successfully delivered project of a suitably similar nature to RSSB's requirement.</p> <p>Each case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Customer Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client's needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB's contract</li> </ul>
	9.2 Auditor Independence  (max words: 3000)	20%	<p>The statement shall demonstrates the Tenderer has the relevant policies and procedures in place and give the RSSB full confidence in their ability to deliver the Services to an appropriate quality standard.</p> <p>The statement shall include, but not be limited to:</p> <ul style="list-style-type: none"> <li>• How you ensure that auditors are independent from auditees, including the governance and assurance process that is applied</li> <li>• How this is incorporated into company policies and terms and conditions.</li> <li>• How these policies and procedures are rolled out to employees and monitored.</li> <li>• How any breach in policy is dealt with, issues identified and policies and procedures updated.</li> <li>• How that may have developed as part of the breach.</li> </ul> <p>Please support your statement with 1 case study of a suitably similar nature to RSSB's requirement where the issue of auditor independence has been a particular issue</p>

			<p>and how it was risks were identified/or breaches discovered, and how the situation was successfully handled.</p> <p>The case study shall also as a minimum outline:</p> <ul style="list-style-type: none"> <li>• Organisation Name;</li> <li>• Customer Contact name, phone &amp; e-mail;</li> <li>• Contract start &amp; completion date;</li> <li>• Contract Value;</li> <li>• Brief description of the project and overview of the Client’s needs and deliverables;</li> <li>• How the Tenderer successfully delivered upon the outputs and outcomes required;</li> <li>• How challenges were dealt with; and</li> <li>• Any lessons learned that may apply to RSSB’s contract</li> </ul>
	<p>9.3 Auditor Competence (max words: 4000)</p>	<p>30%</p>	<p>The statement shall give RSSB full confidence in the Tenderer’s process for managing the competence of auditors The statement shall include, but not be limited to:</p> <ul style="list-style-type: none"> <li>• Recruitment/selection</li> <li>• Training development</li> <li>• Mentoring</li> <li>• Continuous assessment</li> </ul> <p>The statement shall evidence and demonstrate that the tenderer has suitable policies and procedures in place to deliver the Services to an appropriate quality standard.</p>

## 7. Evaluation

- 7.1 Each Lot shall be evaluated individually.
- 7.2 Each SQ shall first undergo a compliance check to ensure it has been submitted on time, meets RSSB’s submission requirements, and does not contain any disqualifying criteria. Only those that meet the compliance check will be evaluated.
- 7.3 RSSB shall then review each for the pass fail criteria in Part 2 and Part 3 of the questionnaire. Only those who pass every section shall progress to have the weighted questions evaluated.
- 7.4 An evaluation panel consisting of representatives of key stakeholders within RSSB will evaluate each of the weighted questions as either:
- “Pass” or “Fail” and reserves the right to disqualify forthwith any Tenders which score “Fail” against any of the questions; or
  - out of a maximum of three (3) using the methodology set out in table 2. 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.

**Important:** Proposals that fail to meet the any ‘Minimum Score’ specified in will be disqualified. The scoring mechanism for each question is indicated beside it.

### 7.5 Scoring Methodology

Grade label	Grade	Definition of grade
Unacceptable	0	<p>The response has been omitted or is wholly inadequate;</p> <p>Or RSSB considers that the evidence in the case studies provided (including customer references) demonstrates that the Candidate (or where relevant the consortium or the intended provider(s) or sub-contractor(s)) fails to provide any relevant technical and professional abilities to deliver RSSB’s contract requirements and has material inadequacies in its experience of deploying these skills and abilities in ‘similar circumstances’. RSSB has major reservations concerning the Supplier’s ability to deliver its</p>

		requirements and/ or major reservations concerning its experience, efficiency or reliability.
Weak	1	RSSB considers that the evidence in the case studies provided (including customer references) demonstrates that the Candidate (or where relevant the consortium or the intended provider(s) or sub-contractor(s)) has some of the relevant technical and professional abilities to deliver RSSB's contract requirements and has limited experience of deploying these skills and abilities in 'similar circumstances'. RSSB has major reservations concerning the Supplier's ability to deliver its requirements and/ or serious reservations concerning its experience, efficiency or reliability.
Satisfactory	2	RSSB considers that the evidence in the case studies provided (including customer references) demonstrates that the Candidate (or where relevant the consortium or the intended provider(s) or sub-contractor(s)) has most of the relevant technical and professional abilities to deliver RSSB's contract requirements and has reasonable experience of deploying these skills and abilities in 'similar circumstances'. RSSB has minor reservations concerning the Supplier's ability to deliver its requirements and/or minor reservations concerning its experience, efficiency or reliability.
Good	3	RSSB considers that the evidence in the case studies provided (including customer references) demonstrates that the Candidate (or where relevant the consortium or the intended provider(s) or sub-contractor(s)) has all the relevant technical and professional abilities to deliver RSSB's contract requirements and has strong experience of deploying these skills and abilities in 'similar circumstances'. RSSB has no or only very minor reservations concerning the Supplier's ability to deliver its requirements and no or only very minor reservations concerning its experience, efficiency or reliability.

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

- 7.7 Once scores have been applied a minimum of five and a maximum of seven Tenderers will be invited to participate in the Invitation to Negotiate.
- 7.8 In the event of a tie, RSSB reserves the right to invite an additional Tenderer to the next stage of the procurement.
- 7.9 In the event that there are less than 5 suitably qualified Tenderers, RSSB may take through the number (less than 5) of suitably qualified Candidates.