1. INTRODUCTION
   1. This document provides an overview of the methodology which will be adopted by the Authority and its Agent to evaluate Potential Provider responses to each question set out within the e-Sourcing event. It also sets out the marking scheme which will apply.
   2. The following information has been provided in relation to each question (where applicable);
      1. Weighting – highlights the relative importance of the question
      2. Guidance – sets out information for the Potential Providers to consider
      3. Marking Scheme – details the marks available to evaluators during evaluation
   3. The defined terms used in the ITT document shall apply to this document.
2. OVERVIEW
   1. The e-Sourcing event is broken down into the following Questionnaires:

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| Questionnaire Reference | Questionnaire Title |
| 1 | KEY PARTICIPATION REQUIREMENTS |
| 2 | CONFLICTS OF INTEREST |
| 3 | SELECTION QUESTIONNAIRE |
| 4 | SOLUTION OVERVIEW |
| 5 | REQUIREMENTS COMPLIANCE |
| 6 | SECURITY |
| 7 | PRICE |

* 1. Quality Evaluation Process
     1. The evaluation of each response to the Quality/Service Delivery Questionnaire(s) will be conducted and consensus checked in accordance with the Consensus Marking Procedure set out in paragraph 2.3 below.
     2. Each response to questions within the Quality/Service Delivery Questionnaire(s) will be marked in accordance with the table below:

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| Mark | Comment |
| 0 | Failed to provide confidence that the proposal will meet the requirements. An unacceptable response with serious reservations. |
| 25 | A Poor response with reservations. The response lacks convincing detail with risk that the proposal will not be successful in meeting all the requirements. |
| 50 | Meets the requirements – the response generally meets the requirements, but lacks sufficient detail to warrant a higher mark. |
| 75 | A Good response that meets the requirements with good supporting evidence. Demonstrates good understanding. |
| 100 | An Excellent comprehensive response that meets the requirements. Indicates an excellent response with detailed supporting evidence and no weaknesses resulting in a high level of confidence. |

* + 1. Each mark achieved will be multiplied by the corresponding weighting to provide an overall question score.
    2. When the score for each question has been determined they will be added together to provide an overall score for the Quality Evaluation (“Quality Score”).
  1. Consensus Marking Procedure
     1. Tenders that are scored and require evaluation will be evaluated in accordance with the procedure described in this paragraph.
     2. The Consensus Marking Procedure is a two-step process, comprising of:
        1. Independent evaluation; and
        2. Group consensus marking.
     3. During the independent evaluation process, each evaluator will separately (i.e. without conferring with other evaluators) scrutinise the quality of answers given by Potential Providers in their Tender. Each evaluator will then allocate a mark for the answer in accordance with the Marking Scheme applicable to that question.
     4. The Agent will review the marks allocated by the individual evaluators before facilitating a group consensus marking meeting.
     5. During the meeting, the evaluators will discuss the independent marks until they reach a consensus regarding the marks that should be attributed to each Potential Providers’ answer to the questions.
     6. Once all quality responses have been evaluated in accordance with Section 8 of the Invitation to Tender the individual scores attributed to each response will be added together to provide a ‘Quality Score’.
  2. Price Evaluation Process
     1. Prices submitted by Potential Providers’ in the Price Schedule will be recorded and evaluated in accordance with the following process.
     2. Potential Providers’ are required to provide a completed pricing schedule against the ‘Price’ Questionnaire for both phases within the e-Sourcing event.
     3. Prices offered will be evaluated against the range of prices submitted by all Potential Providers for that item.
     4. The Potential Provider with the lowest price [for the requirement] shall be awarded the Maximum Score Available. The remaining Potential Providers shall be awarded a percentage of the Maximum Score Available equal to their price, relative to the lowest price submitted.
     5. The calculation used is the following:

= Lowest Price Tendered x Maximum Score Available

Tender price

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| Potential Provider | Price Submitted | Score Calculation | Maximum Score Available | Score Awarded |
| Potential Provider A | £1,000 | £1,000/£1,000 \*100 | 100 | 100 |
| Potential Provider B | £2,000 | £1,000/£2,000 \*100 | 100 | 50 |
| Potential Provider C | £2,500 | £1,000/£2,500 \*100 | 100 | 40 |

* 1. Final score:
     1. The Quality Score will be added to the Price Score to determine the final score for each Potential Provider (“Final Score”).

1. EVALUATION CRITERIA
   1. A summary of all the questions contained within the e-Sourcing event, along with; the minimum acceptable score, maximum score available and weighting (where applicable) are set out below:
   2. Questionnaires 1 and 2 contain ‘Pass/Fail’ questions and act as a doorway for progression to the following stages of the evaluation. Potential Providers are strongly advised to read and understand the specific guidance provided before responding to these questionnaires.
   3. Questionnaire 3 is for information only. Although this questionnaire does not form part of the evaluation process, Potential Providers are advised to complete it in full as any omissions could affect the award process.
   4. The Authority and its Agent reserve the right to challenge any information provided in response to Questionnaire 3 and request further information in support of any statements made therein.

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| **QUESTIONNAIRE 1 – KEY PARTICIPATION REQUIREMENTS** | | | |
| **GUIDANCE** | The following questions are ‘Pass/Fail’ questions. If Potential Providers are unwilling or unable to answer “Yes”, their submission will be deemed non-compliant and shall be rejected.Potential Providers should confirm their answer by selecting the appropriate option from the drop down menu. | | |
| **Question Number** | **Question** | **Max Score** | **Weighting (%)** |
| 1.1 | Have you read, understood and agree with Appendix A, Terms of Participation? By answering “Yes”, you are confirming your ‘Declaration of Compliance’ at Annex 1 of Appendix A, Terms of Participation. | Pass/Fail | N/A |
| 1.2 | Have you read, understood and accepted the Invitation to Tender and all associated appendices, specifically Appendix B, Statement of Requirement? | Pass/Fail | N/A |
| 1.3 | Do you agree, without caveats or limitations, that in the event that you are successful the Crown Commercial Service’s Terms and Conditions within Appendix C, Draft Contract Document will govern the provision of this contract? | Pass/Fail | N/A |
| 1.4 | Do you confirm your Organisation’s e-Sourcing suite profile is complete and accurate at the time of Tendering and that any amendments made following acceptance of this event will be notified to the buyer in writing. | Pass/Fail | N/A |
| 1.5 | Is your organisation, or if a consortium is the main contracting authority of the consortium, a specified anti fraud organisation as defined in section 68 of the Serious Crime Act 2007? | Pass/Fail | N/A |

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| **QUESTIONNAIRE 2 – CONFLICTS OF INTEREST** | | |  |
| **GUIDANCE** | Question 2.1 is a ‘Yes/No’ question and will dictate whether or not question 2.2 needs to be answered.  Question 2.2 is a Pass / Fail question. Potential Providers are required to provide details of how the identified conflict will be mitigated. The Contracting Authority will review the mitigation in line with the perceived conflict of interest, to determine what level of risk this poses to them. Therefore if Potential Providers cannot or are unwilling to suitably demonstrate that they have suitable safeguards to mitigate any risk then their Tender will be deemed non-compliant and will be rejected. | | |
| **Question Number** | **Question** | **Max Score** | **Weighting (%)** |
| 2.1 | Please confirm whether you have any potential, actual or perceived conflicts of interest that may by relevant to this requirement. | None | N/A |
| 2.2 | We require that any potential, actual or perceived conflicts of interest in respect of this ITT are identified in writing and that companies outline what safeguards would be put in place to mitigate the risk of actual or perceived conflicts arising during the delivery of these services. | Pass/Fail | N/A |

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| **QUESTIONNAIRE 3 – SELECTION QUESTIONNAIRE** | | | |
| **GUIDANCE** | Guidance is provided within the attached Selection Questionnaire | | |
| Question Number | Question | Max Score | Weighting (%) | |
| 3.1 | Please complete the attached Selection Questionnaire | Pass/Fail | N/A |

* 1. The following Quality/Service Delivery Questionnaires are designed to test Potential Providers’ ability to deliver the requirement as set out in Appendix B, Statement of Requirements. Potential Providers *MUST* answer all Quality/Service Delivery questions.
  2. Potential Providers must achieve the minimum acceptable Quality Score, as described, for each of the questions below. Only those responses which achieve the minimum acceptable Quality Score will be included in the Price Evaluation Process.
  3. Where only one (1) submission is received which does not meet the minimum acceptable Quality Score, the Authority reserves the right to enter into dialogue and seek assurances regarding the delivery of the requirement.
  4. Potential Providers are able to provide attachments against each question. Question text fields must be populated with detailed references to relevant attachments or sections within their attachments.
  5. Potential Providers’ responses must clearly demonstrate how they propose to meet the requirements set out in the question and address each element in the order they are asked.
  6. Potential Providers’ responses should be limited to, and focused on each of the component parts of the question posed. They should refrain from making generalised statements and providing information not relevant to the topic.
  7. Whilst there will be no marks given to layout, spelling, punctuation and grammar, it will assist evaluators if attention is paid to these areas including identifying key sections within responses.
  8. Potential Providers will be marked in accordance with the marking scheme at Section 2.
  9. The page limit on attachments is as follows:
     1. Questionnaire 4: maximum **5 sides of A4**
     2. Questionnaire 5: maximum **6 sides of A4**
     3. Questionnaire 6: maximum **5 sides of A4**
  10. Attachments maybe submitted in Microsoft Word, Excel. PDF format and must be in Arial font size 11.

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| **QUESTIONNAIRE 4 Solution Overview** | | | **Weighting – 16.67%** | |
| **All Potential Providers MUST answer ALL the following questions** | | | | |
| Question Number | Question | Minimum Acceptable Score | Maximum Available Score | Weighting [X]% |
| 4.1 | Provide a one-page solution overview, describing how you will satisfy the Authority’s requirements. | 50 | 100 | N/A |
| 4.2 | Provide a detailed plan for design, build, test & implementation.  In particular:   * Identify the key risks in your approach and state how you propose to mitigate those risks. * State the dependencies on the Authority and the CFDA Members in terms of the resources, documentation and engagement needed for successful delivery. State what the Authority needs to provide and when. * Describe how you will work with the CDFA members during the design, build, test and implementation phase, paying particular attention to member engagement during detailed design and testing. | 50 | 100 | N/A |
| 4.3 | Describe how the proposed solution will scale effectively to support the anticipated increase in Members:   * Years 1-2: 4 members * Years 3-4: up to 200 members   The Authority wants the most cost effective and efficient mechanism to satisfy this requirement such that the total cost of ownership measured over the contract term (assume the full term of four years) is as low as possible and within the cost limit. | 50 | 100 | N/A |
| 4.4 | Describe how the solution will be supported over its lifetime.  In particular:   * State how you will undertake continuous improvement. * State how you will maintain compliance with the system security requirements. | 50 | 100 | N/A |
| 4.5 | Describe how you will work with the CFDA Members during service delivery to embed the operating model as widely as possible, facilitate the greatest possible application of CFDA data, and deliver the greatest benefits to the membership. | 50 | 100 | N/A |
| 4.6 | The Supplier shall be accredited to ISO9001:2015 or equivalent.  Describe how you will undertake quality assurance of your solution. | 50 | 100 | N/A |

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| **QUESTIONNAIRE 5 – Requirements Compliance** | | | **Weighting – 16.67%** | |
| **All Potential Providers MUST answer ALL the following questions**   * For **each** requirement below, Potential Providers are to state whether the solution offered is Compliant or Non-Compliant. * Potential Providers must provide a brief narrative against each requirement stating: * if compliant, **how** their solution satisfies the requirement; or * if non-compliant, what alternative solution is offered and the benefits the Authority will gain as a result.   **The Authority expects full compliance with the requirements and the average score for how the requirements will be satisified must exceed the minimum acceptable score.** | | | | |
| Question Number | Question | Minimum Acceptable Score | Maximum Available Score | Weighting [X]% |
|  | Functional Requirements |  |  |  |
| 5.1 | Allow CFDA members to upload a data file to the CFDA Repository via a secure file transfer mechanism, on demand.  NB. CFDA Members intend that upload will be via a system to system interface, however some members may require a manual upload and download process in the early stages of operation, with suitable access controls that comply with the Data Assurance requirements. There is an expectation of two factor authentication in such cases. | 50 | 100 | N/A |
| 5.2 | Maintain the CFDA repository in isolation, expressly for the use of, and purpose defined by, the CFDA Members | 50 | 50 | N/A |
| 5.3 | Perform simple validation to verify that:   * the uploaded file has not become corrupted in transit; and * all mandatory fields are populated, including appropriate field validation.   NB. Validation of file contents is out of scope for the Supplier. Responsibility for data quality sits with the CFDA Members. | 50 | 100 | N/A |
| 5.4 | Notify the member of the outcome of the upload (i.e. success or failure) with any rectification requirements.  NB. It will be the responsibility of the CFDA Member to detect that a file has failed validation and resubmit. | 50 | 100 | N/A |
| 5.5 | After each successful upload, replace or increment the previously uploaded member file with the newly uploaded file such that only one file per member is held at any one time. | 50 | 100 | N/A |
| 5.6 | Members will be able to flag a record for deletion e.g. in the event that a previously notified ‘known fraudster’ no longer meets the criteria and should therefore be removed from CFDA.  *NB. This applies primarily to incremental upload. Bulk upload each time would mean the removed record would no longer appear. Members would still need to spot the removal at the next download.* | 50 | 100 | N/A |
| 5.7 | Concatenate all uploaded files to create a single file.  NB. Records within the uploaded files will be tagged by the member providing the data, so the order of concatenation is unimportant. | 50 | 100 | N/A |
| 5.8 | Notify CFDA members when a new concatenated file is ready for download. | 50 | 100 | N/A |
| 5.9 | Allow members to download a concatenated data file from the CFDA Repository via a secure download mechanism, on demand. | 50 | 100 | N/A |
| 5.10 | Allow CFDA Members to withdraw an uploaded data file, on demand.  *NB. The Authority recognises that this requirement has implications for data retention: i.e. should the previous file be retained and reinstated if a file is withdrawn. The Supplier is expected to resolve this during detailed design.* | 50 | 100 | N/A |
| 5.11 | Provide management information to CFDA Members on demand for a user-defined period.  NB. Detailed requirements will be agreed during the design and build phase, but are expected to include:   * Number of uploads and downloads (total, by each member etc.) * Number of records uploaded and downloaded (total, by each member etc.) * System performance (e.g. availability, number of outages, time to restore service etc.) | 50 | 100 | N/A |
| 5.12 | Provide alerts to CFDA Members if a usage (i.e. uploads or downloads) exceeds a user-defined threshold. | 50 | 100 | N/A |
|  | Non-Functional Requirements |  |  |  |
| 5.13 | Recovery time objective:  In the event of a system outage, recover the system to full operational status within two working days. | 50 | 100 | N/A |
| 5.14 | Recovery point objective:  No more than 24 hours’ worth of data shall be lost i.e. data files uploaded more than 24 hours prior to the outage shall be recoverable. | 50 | 100 | N/A |
| 5.15 | Scalability objective:  Ensure that the service is scalable, in line with the projected volume increases for the first 3 years as a minimum. | 50 | 100 | N/A |
| 5.16 | Members shall be alerted to an outage:   * Within two hours of occurrence. * Within two hours of service restoration so that they can manually resubmit if necessary. | 50 | 100 | N/A |
|  | Data Assurance Requirements |  |  |  |
| 5.17 | The Supplier's solution shall be ISO27001:2013 certified (by a UKAS accredited certification body) and shall be Cyber Essential Plus certified or be willing to obtain these certifications within an agreed timescale as per the Security Schedule. | 50 | 100 | N/A |
| 5.18 | The CFDA Repository data shall be hosted, stored and processed within the UK.  For the avoidance of doubt this requirement applies to live data and any backup system. | 50 | 100 | N/A |
| 5.19 | Maintain a searchable audit log of activity on the CFDA Repository, including but not limited to:   1. Uploads (date/time, source etc.) 2. Number of records uploaded in each file by each CFDA Member 3. Failed uploads (date/time, source etc.) 4. Withdrawn uploads (date/time, source tec.) 5. Downloads (date/time, source etc.) | 50 | 100 | N/A |
| 5.20 | The Supplier must ensure an effective protective monitoring regime is in place at all times and produce sufficient evidence in the form of logs and   other documents to the Authority to confirm this. The Supplier should:   1. Provide operational security management reports. 2. Engage with the Authority incident management process 3. Demonstrate the ability to deliver protective monitoring across the supply chain 4. Incorporate National Cyber Security Centre (NCSC) guidance on how to design a security operations centre ([SOC](https://urldefense.proofpoint.com/v2/url?u=https-3A__www.ncsc.gov.uk_guidance_security-2Doperations-2Dcentre-2Dsoc-2Dbuyers-2Dguide&d=DwMFaQ&c=cUkzcZGZt-E3UgRE832-4A&r=ckcPamptTkUeQLipUvrAVv7P9w_f1qf8dQlQtr-oE8o&m=sx5oAhCeHg2V07q1Sf5Mvtn_rAp1Oh4PmhGivoRSXyw&s=DWTsii_DN9hXCCQyM5zKdZkAsGRrnkKpE5Vj2MUWL4w&e=)). | 50 | 100 | N/A |
| 5.21 | All Supplier staff which have access to Authority/Buyer data must be willing to undergo security clearances and this will be mandatory for any staff accessing bulk data. As a minimum, all staff must comply with the Baseline Personnel Security Standard.  Supplier staff who will have access to bulk live data (classified as Official Sensitive data) must be willing to undergo an elevated clearance level (SC). Additional information can be found here: https://www.gov.uk/government/publications/hmg-personnel-security-controls | 50 | 100 | N/A |
| 5.22 | No access to system via mobile devices. | 50 | 100 | N/A |
| 5.23 | Raw data shall be held on fixed systems i.e. not mobile devices, laptops etc. | 50 | 100 | N/A |
| 5.24 | CFDA Members cannot amend other member data sets. | 50 | 100 | N/A |
| 5.25 | Files shall be encrypted at rest and on the move | 50 | 100 | N/A |
| 5.26 | Public cloud hosting shall not be used for the CFDA Repository. | N/A | Pass/Fail | N/A |
|  | Member Functions (i.e. not a requirement of the CFDA Repository Supplier)  Requirements included for completeness – Portential Suppliers are not required to respond. |  |  |  |
| 5.27 | Members to carry out the necessary data preparation prior to upload. | N/A | N/A | N/A |
| 5.28 | Data to be transferred using flat files; the type should be open to accommodate member wishes. | N/A | N/A | N/A |
| 5.29 | Header and footer file details to be generated to include details of file. | N/A | N/A | N/A |
| 5.30 | Validation at the point of the upload/download will be carried out by the Member. | N/A | N/A | N/A |
| 5.31 | If laptops are used to hold CFDA data then they shall be encrypted. | N/A | N/A | N/A |

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| **QUESTIONNAIRE 6 – SECURITY** | | | **Weighting – 16.67%** | |
| **All Potential Providers MUST answer ALL the following questions** | | | | |
| Question Number | Question | Minimum Acceptable Score | Maximum Available Score | Weighting [X]% |
| 6.1 | Please provide a detailed description of how you propose to manage IT and data security issues associated with delivering the requirement. As a minimum responses MUST include specific and bespoke consideration for the following topic areas:   1. In-house security controls and resources.   *(Evidence of how security is governed within your organisation including details of the specific security resource dedicated to this project.)*   1. Security risk assessment and associated mitigations.   *(Provide an outline for how you will assess and undertake information risk throughout the contract term and demonstrate how these risks are managed and translated into actual security controls (technical, personnel, and procedural) into your proposed solution.)*   1. Systems monitoring and proactive protection for external & internal intrusion   *(A description of the processes and solutions which will be put in place to undertake robust proactive protective monitoring and intrusion detection.  This response to this question shall also describe what action will be taken when issues are identified or detected and engage with the Authority as per section 6 of the Security Requirements.)*   1. System security testing, vulnerability patching and software/hardware maintenance, support and protection   *(A description of how you proactively monitor supplier vulnerability websites and your ability to ensure all necessary patches and upgrades are applied to maintain security, integrity and availability in in accordance with the Cloud Security Principles. In addition, provide detail of how security testing of the service is to be undertaken during the deployment, operational and disposal of the service to ensure conformance with the security policy.  Specifically the process for managing ITHC and penetration testing should be described.)*   1. System failure contingency planning   *(A description of your security incident management and reporting process as well as of your business continuity and disaster recovery processes.)*   1. Designing and managing secure solutions. In accordance with the NCSC Security Design Principles: <https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main> For example: implementation of segmented and layered network architectures, comprehensive protective monitoring solutions.   *(Please provide a technical description (incl. technical diagram) of your proposed solution.  This should include a description of the security controls, data flows and an assessment of the security risks associated with delivering the security outcomes required as per the Cloud Security Principles and the Protecting Bulk Personal Data guidance. The response should demonstrate your ability to design secure solutions in accordance with the NCSC Security Design Principles:*[*https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main*](https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main)*For example: implementation of segmented and layered network architectures, comprehensive protective monitoring solutions.)*   1. Data processing, storage, management and destruction.   *(Demonstrate and evidence how you will comply with DPA and GDPR legislation. Also evidence of where, within the UK the Authority Data will be stored, processed and managed.)*  Higher marks may be awarded where responses can evidence compliance with established codes of conduct such as: Cloud Security Principles, Protecting Bulk Data guidance and NCSC Security Design Principles (<https://www.ncsc.gov.uk/guidance/security-design-principles-digital-services-main>.) | 50 | 100 | 100% |

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| **QUESTIONNAIRE 7 – PRICE** | | **Weighting – 50%** |
| **GUIDANCE** | Potential Providers must upload the price schedule at the question level on the e-Sourcing event.  The Price Schedule should relate to the requirements in Annex B: to be competitive and reasonable and should not be in excess of the stated maxima. The schedule shall include:   1. A firm price to design, build, test and implement the CFDA Repository in accordance with the Authority’s requirements. 2. Annual support costs for the full contract term. Please indicate discounts available e.g. if the Authority were to grant more than one additional year. 3. The costs to support testing, implementation and any operation cost for new joiners to CFDA.  NB.The Authority will not accept design and build costs as the solution should be designed with the potential to expand. 4. A rate card providing day rates for Senior Developer, Solution Architect and Project Manager, including annual indexation for the full contract term.   Prices should be submitted in pounds Sterling inclusive of any expenses but exclusive of VAT.  Potential Providers will be marked in accordance with the marking scheme at Section 2.  Potential Providers may, at their discretion, provide variant pricing e.g. risk reward mechanisms. A variant pricing offer will not be considered unless it is accompanied by a compliant pricing schedule. The Authority does not guarantee to accept any variant pricing offer. If you wish to offer variant pricing, submit additional copies of Appendix E, ensuring that the different pricing offers are clearly marked. Any variant of pricing structure must meet all other requirements, including terms and conditions, and must be fully documented so that it can be considered without further discussion. | |
| Question Number | Question | Max Score |
| 7.1 | Please confirm, by selecting ‘YES’ that you have attached a completed Price Schedule to the response to this question. In so doing, you are also confirming that prices offered are inclusive of any expenses, exclusive of VAT and firm for a period of 90 days following the Deadline for Submission. | 100 |