**Request for Proposal**

PROVISION OF

**Refurbishment works on:**

**3rd Floor, The Pinnacle**

**170 Midsummer Boulevard**

**Milton Keynes**

**MK9 1BP**

Please respond by

**12:00:00 hrs 31 October 2018**

# TRANSPORT SYSTEMS CATAPULT

The Transport Systems Catapult (TSC or The Catapult) forms part of an elite network of ten technology and innovation centres established and overseen by Innovate UK. Together, they represent a £1billion public and private sector investment over the next five years.

Efficient transport systems are essential to the health and wealth of the UK, its businesses, its economy and its people. The Transport Systems Catapult will support UK industry in exploiting the massive global market for new products and services that will drive the integration of transport and its systems.

**The key challenge is how to increase mobility: the efficient and cost-effective movement of people and goods.**

The Transport Systems Catapult will enable UK industry to generate economic growth, playing a transformational role in transport systems technology and innovation.

Building this centre of excellence will enable the UK to become globally recognised as the first place to find expertise when exploiting opportunities or managing risk in a transport systems environment.

**Vision**

The Transport Systems Catapult’s integrated approach will generate substantial and long term economic benefit to the UK. It will position the UK as the leading provider of innovative and integrated transport solutions to the rest of the world, exploiting a market estimated to be worth around £900bn by 2025.

**Mission**

To help UK businesses to create products and services that meet the needs of the world’s transport systems as they respond to ever stretching demands. It will help sell UK capability on the global stage, using the UK as a test bed. It will bring together organisations in a way that has not happened before, breaking down barriers and providing a unique capability to develop innovative transport systems.

# PURPOSE OF THIS DOCUMENT

This Request for Proposal (RFP) is being issued to a list of potential suppliers as part of the procurement of Refurbishment Works on the **3rd Floor, The Pinnacle, Midsummer Boulevard, Milton Keynes, MK9 1BD** (referred to hereafter as the Works) to be provided to Transport Systems Catapult (TSC)

The objective of this RFP is to provide sufficient information for Respondents to:

• Understand TSC requirements and proposed procurement approach

• Understand the scope and nature of the Works that they will contract to provide

• Assess and confirm their ability and interest in bidding to provide these Works

• Provide agreement and/or feedback on proposed approach to the management and governance of these Works

• Provide agreement and/or feedback on proposed contractual terms and commercial approach

• Develop and price a proposed solution based on currently available information in the format specified

Respondents’ compliance with the requirements and submission in the required format will enable TSC to carry out a fair and thorough evaluation of the responses. Please see Section 3 onwards for details of the instructions of the evaluation process. Failure to comply with these instructions will invalidate the Respondents submission.

Prior to reading this RFP the Respondents attention is drawn to the principles and terms set out in **Annex 8** and the acknowledgement letter in **Annex 7.**

**Annex 7** requires written approval by a suitably authorised member of the Respondents organisation and returned to TSC in accordance with the instructions for acknowledgement of bidding set out in **Section 12.**

Each Respondent must perform its own appraisal of all information and data provided by TSC in this RFP. The products and service that form the basis of this document have been documented to the best of TSC’s knowledge and are not warranted.

More details of the Catapults Requirements can be found at **Annex 1 (Requirements - details of the proposed works**) of this document.

# THE REQUEST FOR PROPOSAL PROCESSS

# This RFP has been issued by TSC as part of a competitive procurement exercise in accordance with the "Open" procedure for tendering under the Public Contracts Regulations 2015 (as amended from time to time).

# All personal information or personal data supplied in relation to this tender will be treated as confidential. It will also be subject to the General Data Protection Regulation [EU] 2016/679 (“GDPR”). TSC will request personal information or personal data for the purposes of this tender where we have a legitimate interest in doing so in order to assess whether the Tenderer meets the requirements.

This RFP comprises of the following three (3) stages:

* **Stage 1 : General Due Diligence**

Submissions will be evaluated based on the following “**PASS/FAIL**” Criteria:

|  |  |
| --- | --- |
| **Criteria** | **Evaluation** |
| **Tender Declaration- See Annex 2**  Completed on your organisations letter headed paper and signed by an authorised person. | PASS/FAIL |
| **No Collusion Certificate- See Annex 3**  Completed and signed by an authorised person**.** | PASS/FAIL |
| **Due Diligence Questionnaire** – **See Annex 4**  Part 1: Tenderer Information  Part 2: Exclusion Grounds   * All questions completed   Due Diligence Declaration for Parts 1&2  • Completed and signed by all the organisations that you will rely on to meet the requirements of this procurement exercise  Part 3: : Supplier Selection Questions   * All questions completed and submitted | PASS/FAIL |

A “FAIL” on **any** of the Stage 1 criteria will result in the tender response being rejected in its entirety.

**TSC may decide not to proceed to Stage 2 if deemed not to be in their best interests.**

* **Stage 2 : Evaluation Criteria**

All Tenderers successfully passing **all** Stage 1 criteria, will be evaluated and scored against the predefined and advertised Stage 2 Evaluation Criteria at **Section 10** (Evaluation of Tender Returns) including the Offer Worksheet at **Annex 5**.

***Please ensure you include your responses to the Stage 2, Technical & Commercial evaluation criteria, with your submission. This will not be asked for at a later date.***

***Failure to provide this information will result in your submission being deemed non compliant and being eliminated from further evaluation.***

* **Stage 3 : Interviews**

TSC reserve the right to carry out a selection interview It is anticipated that only the top **three (3) highest scoring companies** (from the Stage 2 Evaluation) will be invited to participate in these interviews. The three highest scored Tenderers from the Stage 2 Evaluation criteria, will be evaluated and scored against the predefined and advertised Stage 3 Evaluation Criteria at **Section 11** (Evaluation of Interviews).

# TIMETABLE

This timetable is indicative only. TSC reserves the right to change it at its sole discretion.

|  |  |
| --- | --- |
| **Stage** | **Target Date/Time** |
| Publication of ITT | **10 October 2018** |
| Submission of Site Attendance Form (Annex 6) | **17:00hrs**  **15 October 2018** |
| Site visit opportunity | **17 October 2018** |
| Final Closing date for receipt of questions & clarifications | **12:00hrs**  **19 October 2018** |
| Final Issue of Answers to all questions raised | **24 October 2018** |
| Deadline for submission of completed Tender Documentation [[1]](#footnote-1) | **31 October 2018**  **12:00hrs** |
| Evaluation of submitted tenders | **31 October to**  **07 November 2018** |
| Notification of which vendors will be invited to interview | **07 November 2018** |
| Interview of the top three (3) highest evaluated companies, as per Section 11 (Evaluation of Tender Returns). | **14 November 2018** |
| Issue of accept / decline letters | **15 November 2018** |
| Contract signature | **21 November 2018** |
| Contract commencement – Site Mobilization | **21 November to**  **04 December 2018** |
| Works Commence on Site | **05 December 2018** |
| Practical Completion/Handover | **16 January 2019** |

This RFP has been designed to assess the suitability of a Tenderer to deliver TSC's requirements.

Tenderers are to respond to the RFP on the basis that TSC has no prior knowledge of your organisation. Supplementary documentation may be attached to the RFP only where directed to do so. Such material must be clearly marked with the name of the Tenderer and the question to which it relates.

It is the Tenderer’s responsibility to provide all the answers and information requested in a clear, concise and logical manner and at the appropriate points within the document. Cross referencing and reliance on enclosures (other than where specifically requested) should be avoided. In particular please **DO NOT:**

* include any promotional literature or cross-reference to any web-based material, as this will not be considered as part of the selection process;
* provide any information other than that requested, as this will not be considered as part of the selection process;
* include any marketing material with your submission.

TSC reserves the right to take into consideration additional information publicly available from external sources when undertaking the evaluation.

It is the Tenderer’s responsibility to ensure TSC is not misled. The information provided in the RFP will be relied upon and taken to be true and accurate. If it is subsequently determined that any information supplied was inaccurate and was relied upon for evaluation purposes, TSC reserves the right to exclude the offer to supply (if still under evaluation) or if the Contract has been awarded and the information inaccurately supplied had a significant bearing on the award then TSC shall be at liberty to terminate the Contract without incurring any financial or legal liability. In addition, TSC shall reserve the right to pursue all costs in establishing the reprovision of the Contract. It remains the responsibility of the Tenderer to keep TSC informed of any matter that may affect continued qualification.

Please ensure that all responses are completed in full, and in the format requested. Failure to do so may result in your submission being disqualified.

Should you need to provide additional Appendices in response to the questions, these should be clearly identified as such in your submission.

TSC will not be responsible for any expenses incurred in the preparation of any submission, in attendance at any meetings, visits or clarifications.

# VERIFICATION OF INFORMATION PROVIDED

Whilst reserving the right to request information at any time throughout the procurement process, TSC 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 requirements TSC may obtain such evidence after the final tender evaluation decision i.e. from the successful Tenderer(s) only.

# SUB-CONTRACTING ARRANGEMENTS

Where the Potential Supplier proposes to use one or more sub-contractors to deliver some or all of the Contract requirements, the Due Diligence Questionnaire must be used to provide details of the proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key Contract deliverables each sub-contractor will be responsible for.

TSC recognises that arrangements in relation to sub-contracting may be subject to future change, and may not be finalised until a later date. However, Tenderers should be aware that where information provided to TSC indicates that sub-contractors are to play a significant role in delivering key Contract requirements, any changes to those sub-contracting arrangements may affect the ability of the Tenderer to proceed with the procurement process or to provide the supplies and/or services required. Tenderers should therefore notify TSC immediately of any change in the proposed sub-contractor arrangements. TSC reserves the right to deselect the Tenderer prior to any award of Contract, based on an assessment of the updated information.

**7. CONFIDENTIALITY**

TSC reserves the right to contact the named customer contact in Part 3 Section 12 of the completed Due Diligence Questionnaire regarding the Contracts included in your submission. The named customer contact does not owe TSC any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.

TSC confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or Contracting authorities defined by the Public Contract Regulations, as appropriate.

The standard Selection Questionnaire is a self-declaration, made by you (the Potential Supplier), that you do not meet any of the grounds for exclusion. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

Completed declarations for Part 1 & Part 2 and Part 3 of Due Diligence Questionnaire provide a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example, these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

# SITE VISIT OPPORTUNITY

Interested Vendors have the opportunity to visit the site of the proposed works between **09:00 & 17:00hrs** on **17 October 2018**. You should submit your request to attend the proposed site, using the template at **Annex 6**, by e-mail on or before **17:00hrs 15 October 2018** to the following address:

[procurement@ts.catapult.org.uk](mailto:procurement@ts.catapult.org.uk)

Please use the reference number of the RFQ process (**2018-08-Refurb Works**) and entitle your e-mail: **REQUEST TO ATTEND SITE VISIT – TSC Refurbishment Works.**

Attendance at this site visit prior to tendering is highly recommended, although not mandatory and will allow all Tenderers to view and assess the location. Attendance at the site visit is limited to a maximum of **two (2)** representatives from each organisation.

The Contractor shall be deemed to have understood the nature and extent of the Services to be provided and to have visited the location(s) and shall make no claims on the failure to do so.

# CLARIFICATION QUESTIONS

Clarification questions regarding this request for proposal shall be submitted via e-mail to procurement@ts.catapult.org.uk no later than **12:00hrs 19 October 2018**. The following reference must be used when submitting questions related to this RFQ: **2018-08-Refurb Works**.

Answers to all clarification questions will be issued to all vendors who have expressed an interest in this process, by close of business on **24 October 2018**.

# EVALUATION OF TENDER RETURNS

All Tender responses passing **all** Stage 1 criteria, shall be evaluated and scored against the following Stage 2 Evaluation Criteria:

|  |  |
| --- | --- |
| **Stage 2 Evaluation Criteria** | **Max score available** |
| Please provide in no more than 2 pages of A4 (single sided, font size no smaller than 10) your methodology and approach to the delivery of this project including how you would manage long lead-time items, critical path issues and solutions.  Please provide a full project programme with an absolute handover date of **16 January 2019**.  **If you are unable to meet this deadline, you should not submit a proposal.**  You should clearly detail the resources, your entity will be supplying, and also those which will be required from TSC. | 30 |
| Please play back to us your understanding of our requirements for this project?  Please identify any key issues you have encountered on similar projects, and explain how you overcame them. | 20 |
| Please detail the Skills and Experience of your proposed Delivery Team, in particular, the relevance of their experience to the proposed project. | 20 |
| Please provide a full cost breakdown for the scope of the activity in question using the template contained within this document (**Annex 5-** Offer worksheet).  **Offers exceeding £200K will not be evaluated**  The Vendor which provides the lowest price to complete the requirements detailed in Annex 1 will be given the maximum score available (**25)**. Other Vendor's higher prices will be awarded a proportionality lower score based upon their higher prices.  You must use the Offer worksheet detailed at Annex 5 and not an offer worksheet of your own making. Failure to comply with this request may, at the sole discretion of TSC, invalidate your tender  During the evaluation process, bidders may be contacted by part of TSC’s evaluation team to clarity elements of your submission. | 25 |
| What added value can your organisation offer which sets you apart from other organisations? | **55** |
| **Total Evaluated score** | **100** |

Following the evaluation of responses for Stage 1 and Stage 2 the three (3) highest ranked Respondents will be invited to present their proposals in more detail to members of TSC’s Operations team with whom they will work on the project.

# EVALUATION INTERVIEWS

Vendors will be contacted in this regard on **07 November 2018.** It is intended that the interviews will take place at the headquarters of TSC, on **14 November 2018**.

Tenderers should plan for an overall 90-minute time slot to include a formal interview of up to 30 mins with the remainder for questions and answers. The presentation from each Vendor shall be capable of being delivered with a PC attached to TSCs’ AV system.

The **agenda for the interviews** shall be as follows:

1. Introduction of the Contractor’s delivery team (maximum 3 number) together with description of their roles and background/experience relevant to the project.
2. Key Issues to be presented by the Contractor:
   1. Site logistics /constraints
   2. Programme
   3. Health & Safety Information
   4. Liaison / Co-ordination with TSC
   5. Design Management
   6. Quality Control
   7. Financial Control
   8. Clarification / Amendments to the Contract
   9. Contractor / Employer Risks
   10. Other
3. Questions and Answers
4. Next Steps in the procurement process

For each Tenderer the senior manager and team (as described above) that would be responsible for delivering the contract are required to attend the presentation. Tenderers may also be required to make themselves available to attend additional meetings/telephone calls if required.

All tenderers who will be invited to attend interview, will be scored against the following criteria:

|  |  |
| --- | --- |
| **Stage 3 Evaluation Criteria** | **Max score available** |
| The ability of the Tenderers’ team to work with TSC to deliver the project on time & on budget. | 25 |
| The understanding of the aims, & objectives of the project by the Tenderer. | 25 |
| Understanding by the Tenderer of the risks & issues associated with the project and the mitigation strategies proposed. | 25 |
| Flexibility & innovative nature of the value engineering proposals presented by the Tender against the published design specifications.  Proposals to be presented during the interview stage only. Tenderers are to submit their stage two pricing based upon the published specifications. | 25 |
| **Total Evaluated score** | **100** |

Following the conclusion of these interviews, the evaluation team will complete their scoring, using the evaluation criteria above, and add these scores to those awarded for technical responses in the Stage 2 Evaluation.

**The vendor who achieves the highest overall evaluated score from Stages 2 & 3 of the evaluation process, will be nominated as Preferred Supplier.**

# RETURN OF TENDER DOCUMENTS

Suppliers must submit **all parts of the required information, via e-mail, to:**:

[procurement@ts.catapult.org.uk](mailto:procurement@ts.catapult.org.uk)

**All submissions must be received by 12:00:00 hrs on 31 October 2018. Submissions received after this date/time will not be evaluated.**

**Submissions which do not contain ALL of the required information, or are submitted elsewhere will be deemed non-compliant and therefore rejected.**

Please ensure you submit the following documents:

1. **Tender Declaration form** - completed on your organisations letter headed paper and must be signed where indicated by persons authorised to do so on the Tenderers’ behalf e.g. Director/Company Secretary.- (See **Annex 2)**
2. **No Collusion Certificate** - signed where indicated by persons authorised to do so on the Tenderers’ behalf e.g. Director/Company Secretary. Digital Signatures are not acceptable.- (See **Annex 3)**
3. **Due Diligence Questionnaire - (**See **Annex 4)**
4. **Response to the Stage 2 Evaluation Criteria** detailed at **Section 10**
5. **Offer Worksheet** – Detailing your fixed price to perform the requirements detailed within this RFP. (See **Annex 5**)
6. **Acknowledgement Letter** completed by an authorised signatory of your organisation. (See **Annex 7**)

# AWARD TERMS

Any Contract award will be made based on the JCT 2016, Minor Works with scheduled Amendments **(See Annex 8).**

You must sign and return your acceptance of the proposed contract terms and Amendments in accordance by completing the Acknowledgement Letter at **Annex 7.**

# CONFIDENTIALITY

All information provided in this document shall remain confidential between the Supplier and the TSC. The TSC will not share this information with any other organisations or Public Bodies without the permission of the Supplier.

# DISCLAIMER

The TSC reserves the right to award a contract to any or no Vendor responding to this invitation, and to amend any information or any requirements contained in the documentation. Suppliers should form their own conclusions about the methods and resources needed to meet these requirements.

The documentation and the information contained within it are the property of the TSC; all rights, including intellectual property rights, are reserved.

Suppliers may withdraw their responses at any time prior to accepting the notification of award by sending a notice of withdrawal to the TSC.

TSC shall observe all its obligations under the any data protection legislation from time to time in force in the UK including the Data Protection Act 1998 or any successor legislation (together the ‘DPA’).

Any expenditure, work or effort undertaken by your Company prior to the award of a contract is a matter solely for your Company’s own commercial judgement.

# DATA PROTECTION

All personal information or personal data supplied in relation to this tender will be treated as confidential. It will also be subject to the General Data Protection Regulation [EU] 2016/679 (“GDPR”). TSC will request personal information or personal data for the purposes of this RFP where we have a legitimate interest in doing so to assess whether the Respondent meets the requirements

# RESPONSE REQUIREMENTS

Please use this document, including all the attachments to return by email to procurement@ts.catapult.org.uk by **12:00:00hrs on 31 October2018.**

|  |  |  |
| --- | --- | --- |
|  | **Supplier** | **Buyer** |
| Company Name:- |  | Transport Systems Catapult Ltd |
| Contact Name:- |  | John Thompson |
| Telephone Number:- |  | 07889 152567 |
| Email Address:- | @ | [procurement@ts.catapult.org.uk](mailto:procurement@ts.catapult.org.uk) |
| Position within the Company |  | Procurement Manager |
| Persons authorised to sign on behalf of the Company |  | Alan Hardy – CFO |

Annex 1 – Requirements - Details of Proposed Refurbishment Works

Annex 2 -Tender Declaration form

Annex 3 – No Collusion certificate.

Annex 4 – Due Diligence Questionnaire

Annex 5 - Offer Worksheet

Annex 6- Site Attendance form

Annex 7- Acknowledgement Letter

Annex 8 – Scheduled Amendments to the JCT 2016 Minor Works Contract

**Annex 1**

**REQUIREMENTS - DETAILS OF PROPOSED REFURBISHMENT**

**See separate folder**

**Annex 2**

**TENDER DECLARATION**

**Contract Title :** Refurbishment Works on 3rd Floor, The Pinnacle, 170 Midsummer Boulevard Milton Keynes, MK9 1BP.

**Contract Reference :** 2018-08-Refurb Works

I/We hereby offer to supply and deliver the services specified in the foregoing schedule, all in accordance with JCT 2016, Minor Works Contract with Scheduled Amendments and to the entire satisfaction of the Catapult or its authorised representative.

I/We hereby certify that no alteration, amendment nor qualification to the Request for Proposal document as issued has been made other than as stipulated in our proposal.

I/we hereby agree to the pricing contained in the Offer Worksheet within this tender submission remaining valid until one hundred and twenty (120) days after the published submission deadline date and time for receipt of tenders.

I/We understand that you are not bound to accept the lowest or any offer you may receive.

I/We understand that the Catapult may reject my submission if there is a failure to provide all relevant information or if I provide false or misleading information.

I/We have provided a full list of all appendices used to identify additional information in our response.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| I/We also declare that there is no conflict of interest in relation to the Catapult’s requirements.   |  |  | | --- | --- | | **Registered /Legal Name of the Organisation, including any trading name:** |  | | **Registered Company Address:** |  | | **Telephone Number:** |  | | **E-mail Address** |  | | **Company Registration No:** |  | | **Country of Registration:** |  | | **VAT Number:** |  | | **Signed:** |  | | **Print name:** |  | | **Position in company:**  **(e.g. Director, Partner, Principal, Company Secretary)** |  | | **For and on behalf of:**  **(i.e. organization’s name)** |  | | **Dated:** |  | |  |

Unsigned submissions will be regarded as a non-compliant application and may therefore be rejected.

**Annex 3**

**NO COLLUSION CERTIFICATE**

**Contract Title :** Refurbishment Works on 3rd Floor, The Pinnacle, 170 Mid -Summer Boulevard Milton Keynes, MK9 1BP.

**Contract Reference :** 2018-08-Refurb Works

The essence of selective tendering is that the Catapult shall receive bona fide competitive tenders from all organisations tendering. In recognition of this principle, I/we certify that this is a bona fide tender, intended to be competitive, and that I/we have not fixed or adjusted the amount of the tender by or under or in accordance with any agreement or arrangement with any other person.

I/We also certify that we have not done and I/we undertake that I/we will not do at any time before the returnable date for this tender any of the following acts:-

(a) Communicating to any person the amount or approximate amount of the tender herewith submitted;

(b) Entering into any agreement or arrangement with any person that he /she shall refrain from tendering or as to the amount of any tender to be submitted; and

(c) Offering or paying or giving or agreeing to pay or give any sum of money or consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other tender or proposed tender for the said work any act or thing of the sort described above.

In this certificate, the word "person" includes any persons and any body or association, corporate or incorporate; and "any agreement or arrangement" includes any such transaction, formal or informal, whether legally binding or not.

I/We acknowledge that the Catapult will be entitled to cancel the contract and to recover from me/us the amount of any loss resulting from such cancellation if I/we or our representatives (whether with our without my/our knowledge) shall have practiced collusion in tendering for this contract or any other contract with the Catapult or shall employ any corrupt or illegal practices either in the obtaining or execution of this contract or any other contract with the Catapult.

|  |  |
| --- | --- |
| **Signed:** |  |
| **Print name:** |  |
| **Position in company:**  (e.g. Director, Partner, Principal, Company Secretary) |  |
| **For and on behalf of:**  (i.e. organisation’s name) |  |
| **Dated:** |  |

Digital signatures are **not** acceptable.

Unsigned submissions will be regarded as a non-compliant application and may therefore be rejected.

**Annex 4**

**DUE DILIGENCE QUESTIONNAIRE**

**Part 1 and Part 2 : Tenderer Information and Exclusion Grounds**

The General Due Diligence Questionnaire is a self-declaration, made by you (the Tenderer), that you do not meet any of the grounds for exclusion[[2]](#footnote-2). If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

Consequently we require all the organisations that you will rely on to meet the requirements of this procurement exercise to provide a completed Part 1 and Part 2 along with the Declaration at the end of Part 2. For example these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

**Part 3 : Supplier Selection Questions**

This document will provide instructions on the due diligence questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the due diligence questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the due diligence questionnaire is not provided upon request, and without delay, we reserve the right to amend the contract award decision and award to the next compliant Tenderer.

**Consequences of misrepresentation**

If you seriously misrepresent any factual information in filling in the due diligence questionnaire, and so induce the Catapult to enter into a contract, there may be significant consequences.

You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

## **Part 1 : Tenderer Information**

Please answer the following questions in full.

Please note that every organisation that is being relied on to meet the requirements of this procurement exercise must complete and submit the Part 1 self-declaration.

***All personal information supplied within this due diligence questionnaire will be treated as confidential and will be subject to the Data Protection Act.***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Section 1 – Tenderer Information** | | | | | | |
| **Question** | | **Response** | | | | |
| 1.1 (a) | Full name of the Tenderer submitting the information |  | | | | |
| 1.1 (b) | (i) Registered office address  (if applicable) |  | | | | |
| (ii) Registered website address  (if applicable) |  | | | | |
| 1.1 (c) | Trading Status  (Please mark “X” in the relevant box) | a) Public Limited company | | | |  |
| b) Limited company | | | |  |
| c) Limited liability partnership | | | |  |
| d) Other partnership | | | |  |
| e) Sole trader | | | |  |
| f) Third sector | | | |  |
| g) Other  (please specify your trading status) | | | |  |
| 1.1 (d) | Date of registration in country of origin |  | | | | |
| 1.1 (e) | Company Registration number (if applicable) |  | | | | |
| 1.1 (f) | Charity Registration number (if applicable) |  | | | | |
| 1.1 (g) | Dun and Bradstreet (D.U.N.S) number of head office (if applicable) |  | | | | |
| 1.1 (h) | Registered VAT number |  | | | | |
| 1.1 (i) | (i) If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | | | | Yes  No  N/A | |
|  | (ii) If you responded “Yes” to (i) above, please provide relevant details, including the registration number. |  | | | | |
| **Question** | | | | | **Response** | |
| 1.1 (j) | (i) Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or to be a member of a particular organisation in order to provide the services specified in this procurement? | | | | Yes  No | |
| (ii) If you responded “Yes” to (i) above, please provide additional details of what is required and confirmation that you have complied with this. | |  | | | |
| 1.1 (k) | Trading name(s) that will be used if successful in this procurement | |  | | | |
| 1.1 (l) | Relevant classifications (state whether you fall within one of these, and if so, which one):   1. Voluntary, Community and Social Enterprise (VCSE) 2. Sheltered workshop 3. Public service mutual | | | | a  b  c | |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[3]](#footnote-3)? | | | | Yes  No | |
| 1.1 (n) | Details of Persons of Significant Control (PSC), where appropriate:  (Please enter N/A if not applicable) | | | | | |
| Name | |  | | | |
| Date of Birth | |  | | | |
| Nationality | |  | | | |
| Country, state or part of the UK where the PSC usually lives | |  | | | |
| Service address | |  | | | |
| The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used) | |  | | | |
| Which conditions for being a PSC are met:   * Over 25% up to (and including) 50% * More than 50% and less than 75% * 75% or more. [[4]](#footnote-4) | |  | | | |
| **Question** | | | | **Response** | | |
| 1.1 (o) | Details of immediate parent company (Please enter N/A if not applicable) | | | | | |
| Full name of the immediate parent company | | |  | | |
| Registered office address (if applicable) | | |  | | |
| Registration number (if applicable) | | |  | | |
| Head office DUNS number (if applicable) | | |  | | |
| Head office VAT number (if applicable) | | |  | | |
| 1.1 (p) | Details of ultimate parent company (Please enter N/A if not applicable): | | | | | |
| Full name of the ultimate parent company | | |  | | |
| Registered office address (if applicable) | | |  | | |
| Registration number (if applicable) | | |  | | |
| Head office DUNS number (if applicable) | | |  | | |
| Head office VAT number (if applicable) | | |  | | |

Note : A criminal record check for relevant convictions may be undertaken for the successful tenderer and the persons of significance in control of them.

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| **Section 1 – Bidding Model** | | | |
| **Question** | | **Response** |
| 1.2 (a) | (i) Are you bidding as the lead contact for a group of economic operators? | Yes  No  If yes, please provide the details listed in questions 1.2(a) (ii) & (iii) and 1.2(b) (i) & (ii), Part 2 [Section 2](file:///C:\Users\John.Thompson\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\IJVNGC92\Section%205%20-%20General%20Due%20Diligence.doc#section2) and [Section 3](file:///C:\Users\John.Thompson\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\IJVNGC92\Section%205%20-%20General%20Due%20Diligence.doc#section3) and the [Declaration for Parts 1 & 2.](file:///C:\Users\John.Thompson\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\IJVNGC92\Section%205%20-%20General%20Due%20Diligence.doc#declaration)  If no, and you are a supporting bidder, please provide the name of your group at 1.2 (a) (ii) for reference proposes, and complete Part 2 [Section 2](file:///C:\Users\John.Thompson\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\IJVNGC92\Section%205%20-%20General%20Due%20Diligence.doc#section2) and [Section 3](file:///C:\Users\John.Thompson\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\IJVNGC92\Section%205%20-%20General%20Due%20Diligence.doc#section3) and the [Declaration for Parts 1 & 2](file:///C:\Users\John.Thompson\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\IJVNGC92\Section%205%20-%20General%20Due%20Diligence.doc#declaration). | |
| (ii) Name of group of economic operators  (if applicable) |  | |
| (iii) Proposed legal structure if the group of economic operators intends to form a named single entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure. |  | |

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| --- | --- | --- | --- | --- | --- | --- | --- |
| **Question** | | | | | | **Response** | |
| 1.2 (b) | (i) Are you, or if applicable the group of economic operators, proposing to use sub-contractors? | | | | | Yes  N/A | |
| (ii) If you responded “Yes” to (i) above, please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well. | | | | | | |
| Name | |  |  |  |  | |  |
| Registered address | |  |  |  |  | |  |
| Trading Status | |  |  |  |  | |  |
| Company registration number | |  |  |  |  | |  |
| Head Office DUNS number (if applicable) | |  |  |  |  | |  |
| Registered VAT number | |  |  |  |  | |  |
| Type of organisation | |  |  |  |  | |  |
| SME? | | Yes  No | Yes  No | Yes  No | Yes  No | | Yes  No |
| The role each sub-contractor will take in providing the works and/or supplies e.g. key deliverables | |  |  |  |  | |  |
| The approximate % of contractual obligations assigned to each sub-contractor | |  |  |  |  | |  |

## **Part 2 : Exclusion Grounds**

Please answer the following questions in full.

Please note that every organisation that is being relied on to meet the requirements of this procurement exercise **must** complete and submit the Part 2 self-declaration.

|  |  |  |  |
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| **Section 2 - Grounds for mandatory exclusion** | | | |
| **Question** | | **Response** | |
| 2.1 (a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to **before** completing these questions.  Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted, anywhere in the world, of any of the offences within the summary below and listed on the [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | | |
| Participation in a criminal organisation | Yes  No  If Yes please provide details at 2.1(b) | |
| Corruption | Yes  No  If Yes please provide details at 2.1(b) | |
| Fraud | Yes  No  If Yes please provide details at 2.1(b) | |
| Terrorist offences or offences linked to terrorist activities | Yes  No  If Yes please provide details at 2.1(b) | |
| Money laundering or terrorist financing | Yes  No  If Yes please provide details at 2.1(b) | |
| Child labour and other forms of trafficking in human beings | Yes  No  If Yes please provide details at 2.1(b) | |
| 2.1 (b) | If you have answered yes to question 2.1(a), please provide further details:   * Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction; * Identity of who has been convicted; * If the relevant documentation is available electronically, please provide the web address, issuing authority and precise reference of the documents. |  | |
| 2.2 | If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning) | | Yes  No |
| 2.3 (a) | **Regulation 57(3)**  Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | | Yes  No |

|  |  |  |
| --- | --- | --- |
| **Question** | | **Response** |
| 2.3 (b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

Please Note: The Catapult reserves the right to use its discretion to exclude a Tenderer where it can demonstrate by any appropriate means that the Tenderer is in breach of its obligations relating to the non-payment of taxes or social security contributions.

|  |  |  |
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| **Section 3 - Grounds for discretionary exclusion** | | |
| **Question** | | **Response** |
| 3.1 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [web page](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions.  Please indicate if, within the past three years, anywhere in the world, any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. | |
| 3.1(a) | Breach of environmental obligations? | Yes  No  If Yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations? | Yes  No  If Yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations? | Yes  No  If Yes please provide details at 3.2 |
| 3.1(d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | Yes  No  If Yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes  No  If Yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes  No  If Yes please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes  No  If Yes please provide details at 3.2 |

|  |  |  |
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| **Question** | | **Response** |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes  No  If Yes please provide details at 3.2 |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | Yes  No  If Yes please provide details at 3.2 |
| 3.1 (j) | Please answer the following statements:   1. The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria. 2. The organisation has withheld such information. 3. The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. 4. The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes  No  If Yes please provide details at 3.2  Yes  No  If Yes please provide details at 3.2  Yes  No  If Yes please provide details at 3.2  Yes  No  If Yes please provide details at 3.2 |
| 3.2 | If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning) |  |

**DECLARATION : PART 1 & PART 2**

**Contract Title :** Refurbishment Works on 3rd Floor, The Pinnacle, Milton Keynes, MK9 1BP.

**Contract Reference :** 2018-08-Refurb Works

I declare that to the best of my knowledge, the answers submitted and information contained in Part 1 and Part 2 of this Due Diligence Questionnaire are correct and accurate.

I declare that, upon request, and without delay, I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to assess my organisation’s suitability to participate further in this procurement.

I understand that Catapult may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section and I am aware of the consequences of serious misrepresentation.

|  |  |
| --- | --- |
| Contact Name |  |
| Name of organisation |  |
| Role in organisation |  |
| Phone number |  |
| e-mail address |  |
| Postal address |  |
| Signature |  |
| Date |  |

**ING DECLARATION.**

**LEGALLY BINDING DECLARATION.**

This form must be signed where indicated only by persons authorised to do so on the Potential SUppliers behalf e.g. Director/Company Secretary.

Digital signatures are **not** acceptable.

**Unsigned submissions will be regarded as a non-compliant application and therefore rejected.**

**Part 3 : Supplier Selection Questions**

Please provide the following contact details which will be used by the Catapult for any/all enquiries regarding this RFP submission.

|  |  |
| --- | --- |
| **Name** |  |
| **Company Name** |  |
| **Full postal address** |  |
| **Country** |  |
| **Phone number** |  |
| **Mobile number** |  |
| **e-mail address** |  |

Tenderers who self-certify that they met the requirements of the following questions will be required to provide evidence of this if they are successful at Contract award stage.

|  |  |  |  |
| --- | --- | --- | --- |
| **Section 4 – Economic and Financial Standing** | | | |
| **Question** | | | **Response** |
| 4.1 | Are you able to evidence that you have, have had a minimum annual turnover of **£6m** p.a. over the last three years? | | Yes  No |
| Are you able to provide a copy of your audited accounts for the last two years, if requested?  If no, can you provide **one** of the following: answer with an “X” in the relevant box. | | Yes  No |
| 1. A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | | Yes  No |
| (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | | Yes  No |
| (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | | Yes  No |
|  | | | |
| **Section 5 - If you have indicated in question 1.2(a) in Part 1 of this questionnaire that you are part of a wider group, please provide further details below:** | | | |
| **Question** | | | **Response** |
| Name of organisation | |  | |
| Relationship to the Tenderer completing the questions | |  | |
| 5.1 | Are you able to provide parent company accounts if requested to at a later stage? | | Yes  No |
| 5.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | | Yes  No |
| 5.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | | Yes  No |

|  |  |  |
| --- | --- | --- |
| **Section 6 – Requirements under Modern Slavery Act 2015** | | |
| **Question** | | **Response** |
| 6.1 | Are you a relevant commercial organisation as defined by Part 6, Section 54 (“Transparency in Supply Chains etc.”) of the Modern Slavery Act 2015 (“the Act”)? | Yes  N/A |
| 6.2 | If you have answered “Yes” to question 6.1, are you compliant with the annual reporting requirements contained within Part 6, Section 54 (4) & (5) of the Modern Slavery Act 2015? | Yes  No, Please provide an explanation |
| 6.3 | Please confirm that your organisation nor any of its officers, employees or other persons associated with it has: | |
| 1. been convicted of any offence involving slavery and human trafficking; and; | Yes  No |
| 1. to the best of its knowledge, has been or is the subject of any investigation, inquiry or enforcement proceedings by any governmental, administrative or regulatory body regarding any offence or alleged offence of or in connection with slavery and human trafficking. | Yes  No |
| If you have answered “Yes” to one or both of the questions in 6.3 above, please provide, as a separate Appendix, a summary of the nature of the offence / investigation and an explanation of what actions (if any) you have taken to prevent any reoccurrence.  ***You may be excluded if you are unable to demonstrate to THE Catapult’s satisfaction that appropriate remedial actions have been taken to prevent similar incidents reoccurring.*** | | |
| 6.4 | Do you have a policy / statement that sets out the steps your organisation has taken to ensure that slavery and human trafficking is not taking place in any of your supply chains or in any part of your own business. | Yes  No |
| If you have answered “No” to question 2 above, please provide, as a separate Appendix, a summary of the actions you are taking to ensure the eradication of slavery and human trafficking within your supply chain or in any part of your business. | | |

## 

## **Additional Questions**

|  |  |
| --- | --- |
| **Section 7 – Insurance** | |
| **Question** | **Response** |
| Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the Contract, the levels of insurance cover indicated below:  **Employer’s (Compulsory) Liability Insurance:** £10m**\*** (ten million pounds sterling)  **Public Liability Insurance:** £10m (ten million pounds sterling)  **Professional Indemnity Insurance:** £10m (ten million pounds sterling)  **Product Liability Insurance:** £10m (ten million pounds sterling)    **\*** It is a legal requirement that **all** companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.  \*\* All Insurance limits are in aggregate | Yes  No |

|  |  |  |  |
| --- | --- | --- | --- |
| **Section 8 – Compliance with Equality Legislation** | | | |
| For Tenderers working outside of the UK, please refer to equivalent legislation in the country that you are located.  Tenderers may be excluded from the procurement process if they have answered “No” to question 1 and/or “Yes” to questions 2 or 3 and are unable to demonstrate to the Catapult’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring. | | | |
| **Question** | | | **Response** |
| 8.1 | Does your organisation comply with your statutory obligations under the Equality Act 2010? | | Yes  No |
| 8.2 | In the last three (3) years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | | Yes  No |
| 8.3 | In the last three (3) years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds or alleged unlawful discrimination? | | Yes  No |
| If you have answered “Yes” to one or both questions 2 & 3 in this module, please provide a brief summary of the nature of the investigation and an explanation of the outcome of the investigation to date.  If the investigation upheld the complaint against your organisation, please also explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring. | |  | |
| 8.4 | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | | Yes  No |

|  |  |  |  |
| --- | --- | --- | --- |
| **9.1 – Health & Safety** | | | |
| **Question** | | | **Response** |
| 9.1(a) | Does your organisation operate a Health, Safety and Welfare Management system certified to International, European or equivalent standard (e.g. OHSAS 18001)? | | Yes  No |
| If you have answered “Yes” to the above, please provide: | Approval Certificate Number |  |
| Certificate Expiry Date |  |
| 9.1(b) | Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement / remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last three (3) years?  If your answer to this question is “Yes”, please provide details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.  ***The Catapult will exclude Tenderers that have been in receipt of enforcement/remedial action orders unless the Tenderer can demonstrate to the Catapult’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.*** | | Yes  No |
| 9.1(c) | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | | Yes  No |
| 9.1(d) | Please provide figures of any RIDDOR (or equivalent) reportable events for the last three (3) years. | | |
| |  |  |  |  | | --- | --- | --- | --- | | Event Type | Employees | Members of the Public | Contractors | | Fatal Accident |  |  |  | | Major Injuries |  |  |  | | Over 7 day accidents |  |  |  | | Dangerous Occurrences |  |  |  | | | |
| If you have been able to provide your Approval Certificate Number and Certificate expiry date at question 'a' above, you are not required to answer any of the remaining Health & Safety questions. | | | |
| 9.1(e) | Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements. | | Yes  No |
| 9.1(f) | Please describe your organisation’s processes for conducting accident or incident reporting and undertaking follow-up investigations. | | |
|  | | |
| 9.1(g) | Please describe your organisation’s arrangements for ensuring that your H&S measures are effective in reducing or preventing incidents, occupational ill-health and accidents. | | |
|  | | |
| 9.1(h) | Please describe how your organisation obtains access to competent H&S advice and assistance, including for the workforce. | | |
|  | | |
| 9.1(i) | Please describe your organisation’s arrangements and processes for providing your workforce with training and information appropriate to the type of work for which your organisation is likely to bid.  *Guidance: You should provide evidence that your organisation has in place and implements training arrangements to ensure that its workforce has sufficient skills and understanding to discharge their various duties. You should provide details of staff Health & Safety training arrangements and how relevant information is communicated to your staff (e.g. formal meetings, notice boards, bulletins, newsletters etc.)* | | |
|  | | |
| 9.1(j) | Please describe what H&S or other relevant qualifications and experience your workforce has in order to implement your H&S policy to a standard appropriate to the work for which your organisation is likely to bid.  *Guidance: You should demonstrate that your workforce possesses suitable qualifications and experience for the tasks assigned to them, unless there are specific situations where they need to work under controlled and competent supervision, e.g. trainees.* | | |
|  | | |
| 9.1(k) | Please describe your organisation’s arrangements for checking, reviewing and, where necessary, improving your H&S performance.  *Guidance: You should demonstrate that your organisation has in place and implements a system for monitoring H&S procedures on an ongoing basis, and for periodically reviewing and updating that system as necessary.* | | |
|  |  | | |
| 9.1(l) | Please describe your organisation’s arrangements for involving your workforce in the planning and implementation of H&S measures.  *Guidance: You should demonstrate that your organisation has in place, and implements, a means of consulting its workforce on H&S matters and show how workforce comments, including complaints, are taken into account.* | | |
|  | | |
| 9.1(m) | Please describe your organisation’s arrangements for ensuring that your suppliers and/or sub-contractors apply H&S measures to a standard appropriate to the work for which they are being engaged. | | |
|  | | |
| 9.1(n) | Please describe your organisation’s arrangements for carrying out assessments capable of supporting safe methods of work and reliable delivery where necessary.  Please submit a sample Risk Assessment and Method Statement.  *Guidance: You should demonstrate that your organisation has in place, and implements, procedures for carrying out risk assessments and for developing and implementing safe systems of work (‘method statements’), and be able to provide relevant indicative examples. The identification and control of any significant occupational health issues should be prominent.* | | |
|  | | |
| 9.1(o) | Please describe your organisation’s arrangements for co-operating and co-ordinating your work with other suppliers and/or sub-contractors. | | |
|  | | |
| **9.2 – Environmental** | | | |
| **Question** | | | **Response** |
| 9.2(a) | Does your organisation operate an Environmental Management System certified to International, European or equivalent standard (e.g. ISO14001 or EMAS)? | | Yes  No |
| 9.2(b) | If you have answered “Yes” to the above, please provide: | Approval Certificate Number |  |
| Certificate Expiry Date |  |
| 9.2(c) | If you have answered “No” to the above, please self-certify that your organisation has an in-house policy for the management of Environmental issues. | | Yes  No |
| 9.2(d) | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three (3) years by any environmental regulator of authority (including local authority)?  If your answer to the question is “Yes”, please provide details in a separate Appendix of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.  ***The Catapult will not select Tenderers that have been prosecuted or served notice under environmental legislation in the last three (3) years, unless they are satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches.*** | | Yes  No |
| 9.2(e) | If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation? | | Yes  No |
| **9.3 – Quality** | | | |
| **Question** | | | **Response** |
| 9.3(a) | Does your organisation operate a Quality Management system certified to International, European or equivalent standard (e.g. BS EN ISO 9001)? | | Yes  No |
| If you have answered “Yes” to the above, please provide: | Approval Certificate Number |  |
| Certificate Expiry Date |  |
| If you have been able to provide your Approval Certificate Number and Certificate expiry date at question "a" above, you are not required to answer any of the remaining Quality Management questions. | | | |
| 9.3(b) | Please self-certify that your organisation has an in-house policy for the management of Quality issues. | | Yes  No |
| 9.3(c) | Please describe your organisation’s arrangements for ensuring that your quality management, including the quality of output and general performance, is effective in reducing/preventing incidents of sub-standard delivery. | | |
|  | | |
| 9.3(d) | Please describe your organisation’s arrangements for providing your workforce with quality related training and information appropriate to the type of work for which your organisation is likely to bid? | | |
|  | | |
| 9.3(e) | Please describe your organisation’s procedures for periodically reviewing, correcting and improving quality performance. | | |
|  | | |
| 9.3(f) | Please describe your organisation’s arrangements for ensuring that your own suppliers apply quality management measures that are appropriate to the work for which they are being engaged. | | |
|  | | |
| 9.3(g) | How does your organisation deal with complaints? | | |
|  | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Section 10 – Information Security Management** | | | |
| Tenderers will be excluded from the procurement process if they cannot self-certify to holding the relevant Certification **or** to having an in-house Policy that complies with current legislative requirements. | | | |
| **Question** | | | **Response** |
| 10.1 (a) | Does your organisation operate an Information Security Management system certified to International, European or equivalent standard (e.g. BS EN ISO 27001)? | | Yes  No |
| 10.1 (b) | If you have answered “Yes” to the above, please provide: | Approval Certificate Number |  |
| Certificate Expiry Date |  |
| If you have been able to provide your Approval Certificate Number and Certificate expiry date at “a & b” above, you are not required to answer any of the remaining Information Security Management questions. | | | |
| 10.1 (c) | Please self-certify that your organisation has an in-house policy for the management of information security. | | Yes  No |
| 10.1 (d) | Please provide, as a separate appendix, information regarding the last time your network was pen-tested, including scope that this covered. | | Yes  No |
| 10.1 (e) | Please provide, as a separate appendix, a record of security breaches, covering last two (2) years. | | Yes  No |

|  |  |  |
| --- | --- | --- |
| **Section 11 – Business Continuity & Disaster Recovery** | | |
| Tenderers will be excluded from the procurement process if they cannot self-certify to holding the relevant Certification **or** to having an in-house Policy that complies with current legislative requirements. | | |
| **Question** | | **Response** |
| 11.1 (a) | Please self-certify that your organisation has an in-house policy for Business Continuity & Disaster Recovery | Yes  No |
| 11.2 (b) | If you have answered “No” to the above question, please describe your arrangements to ensure business continuity and to enable disaster recovery, including scope, validation, risk treatment and leadership in these areas.  *Guidance: You should demonstrate that your organisation keeps copies of documentation setting out your business continuity and disaster recovery procedures. These should include the arrangements for business continuity and disaster recovery throughout your organisation. They should set out how the organisation will carry out its policy with a clear indication of how the arrangements are communicated to the workforce*. | |
|  | |

**Requirement Specific Questions**

The following questions **will** be evaluated on a **PASS/FAIL basis**. All information supplied **must** be relevant to the requirement of this procurement exercise. Failure to comply with this instruction may lead to your submission being deemed non-compliant and rejected in its entirety.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Section 12 – Technical and professional ability** | | | | |
| **12.1 Relevant experience and contract examples** | | | | |
| 12.1(a) | Please provide details of up to 3 relevant projects that your organisation has delivered. Projects should be of a similar scope, value and nature to that of the proposed project. Projects referenced may be from the public or private sector, must have been undertaken within the last 3 years and your company must have been the main contractor. | | | |
|  | | **Contract 1** | **Contract 2** | **Contract 3** |
| Name of customer organisation | |  |  |  |
| Point of contact in the organisation | |  |  |  |
| Position in the organisation | |  |  |  |
| E-mail address | |  |  |  |
| Description of contract | |  |  |  |
| Contract Start date | |  |  |  |
| Contract completion date | |  |  |  |
| Estimated contract value | |  |  |  |
| 12.1(b) | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained co-ordinated supply chains with your sub-contractor(s) to ensure that your projects are delivered on time & on budget:  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and quality assurance of the works produced by the sub-contractors, and detailed issues/risk mitigation. | | | |
|  | | | | |

|  |  |
| --- | --- |
| **12.2 Professional and Technical Skills** | |
|  | Should you propose to use an alternative design team to those who have developed the design thus far, please provide details of their professional competencies.  . The information you provide may include:   * Organisational chart; * Details of professional memberships/accreditations; and * Person specifications or brief CV’s demonstrating relevant skills and professional qualifications held.   *Guidance*  *The Catapult will use the information you provide to evaluate whether your organisation, consortium members and/or named sub-contractors have the relevant professional and technical skills required in relation to this procurement exercise. At this stage staff are indicative only of the technical competence of the organisation; guarantees of the availability of certain staff and their allocation to fulfilling a potential contract will be evaluated in later rounds of the procurement exercise.* |

|  |  |
| --- | --- |
| **12.3 Technical Resources** | |
|  | Please provide as an attachment, a statement of the technical resources such as the tools (including design and calculation software along with trained operators), plant, facilities and technical equipment available to your organisation. Each proposed sub-contractor should be identified in accordance with Section 1 question 1.2  *Guidance*  *The Catapult will use the information you provide to evaluate whether your organisation, consortium members and / or named sub-contractors have the relevant technical resources.* |

**Annex 5**

**OFFER WORKSHEET**

Please see separate file

**Annex 6**

**SITE VISIT ATTENDANCE FORM**

**Contract Title:** Refurbishment Works on 3rd Floor, The Pinnacle, Milton Keynes, MK9 1BP .

**Contract Reference:** 2018-08-Refurb Works

**DATE OF SITE VISIT**: **09:00hrs to 17:00hrs 17 October** [Please indicate your preferred arrival time]

**SITE LOCATION:** Third Floor, The Pinnacle, Milton Keynes, MK9 1BP .

Please complete and return to procurement@sa.catapult.org.uk no later than **17:00hrs 15 October 2018**.

I confirm that the following representatives (maximum of two (2) per organisation) will attend the Site Visit.

|  |  |
| --- | --- |
| Company name |  |
| Name of attendee # 1  (main contact) |  |
| Designation |  |
| Name of attendee # 2  (if applicable) |  |
| Designation |  |
| Main contact telephone number |  |
| Main contact e-mail address |  |
| Mobile telephone number (for emergency purposes on the day, if required) |  |
| If PPE is required please advise quantities. | PPE is not required for this visit |

**Annex 7**

**ACKNOWLEDGEMENT LETTER**

**Acknowledgement Letter**

To: Transport Systems Catapult Ltd

Attn: Procurement Department

From (Company who will bid):

**Invitation to Tender –** **Ref:** **2018-08-Refurb Works – Refurbishment Works on 3rd Floor, The Pinnacle, Milton Keynes,** **MK9 1BP .**

We acknowledge receipt of your Invitation to Tender for the above work and are in receipt of all documents listed in the contents.

1. We agree to comply with the requirements of the Instructions to Tenderers and confirm that we will respond to your request and submit our bid no later than the date required.
2. We agree to the proposed Amendments to the JCT 2016 Minor Works Contract contained in Annex 8 of the RFP document . We also confirm that if successful, any subsequent substantial departure or failure to include these terms within the agreed contract may render our response invalid and the Catapult will be free to enter into negotiations with an alternative Tenderer.

Irrespective of whether you are successful in your tender and insofar as the tender includes personal data (as defined under GDPR), we would like to retain your contact details in the event that a suitable opportunity arises.  If you are happy for us to hold this information please tick this box.

|  |
| --- |
| Yes we are happy for you to retain our tender for the purposes outlined above.  No we are not happy for you to retain our tender. |

Your information will only be held for 2 years from the date of conclusion of the tender process.  You are able to withdraw consent at anytime by contacting [procurement@ts.catapult.org.uk](mailto:procurement@ts.catapult.org.uk) and your refusal to consent will in no way affect this tender process.

Our primary point of contact in connection with this bid is:-

Regards

(Signature & Title):……………………………………………………..

(Printed Name):……………………………………………………..

(Company):…………………………………………………….. …….

**Annex 8**

**AMENDMENTS TO JCT 2016 MINOR WORKS CONTRACT**

**See separate file**

1. . [↑](#footnote-ref-1)
2. For the list of exclusion please see

   <https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf> [↑](#footnote-ref-2)
3. See EU definition of SME: <http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-3)
4. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-4)