

**Tender**

For the provision of External Audit Service

at

The University of Chichester

**1st October 2021 - 17:00**

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1. Introduction and general background
   1. Introduction to the University of Chichester

The University of Chichester traces its origins to the establishment of the Bishop Otter College in Chichester as a school for training schoolmasters in 1839. In 1946, the Bognor Regis College of Education opened as an emergency teacher training site following the Second World War. In November 1976, the two colleges merged, forming the West Sussex Institute of Higher Education, which changed its name in 1995 to the Chichester Institute of Higher Education. The Institute secured degree-awarding powers in 1999 and became the University of Chichester in 2005

The University of Chichester is a company limited by guarantee without share capital (company number 4740553). It is an exempt charity. From the University’s Articles of Association, the object of the University of Chichester is “the establishment, conduct and development of a University for the advancement of the higher and further education of men and women”. The advancement of education is the principal charitable aim of the University under the 2011 Charities Act.

We are a friendly and welcoming University, with two beautiful campuses in the city of Chichester and on the coast at Bognor Regis. Our ambitious University Strategy ‘Open for Change’ <https://www.chi.ac.uk/about-us/mission-and-vision/university-chichester-strategic-plan-2018-2025> sets out our vision to build on our 180-year history and to achieve international recognition for the excellence of our teaching, research and innovation. We aspire to develop attractive and environmentally sustainable campuses, creating an identity and providing a range of high-quality spaces for the use and enjoyment of the entire University community. We aim to optimise the functionality and utilisation of space across the estate to maintain our excellence in both our student and staff experience. Building on our Top 30 University ranking, we have ambitious plans for growth in student numbers and will continue to provide our students with safe, secure and affordable accommodation.

* 1. Current Position

The University has one subsidiary related company, Chichester Enterprises Ltd (CEL) that carries out non-primary trading purposes, a consolidated turnover of £54.9m and fixed assets of £131m (2019/20) and a total student body including undergraduate and postgraduates, of just below 5,000 fte (full time equivalent).

More information about the University’s finances and audited financial statements are available on the University’s website: <https://www.chi.ac.uk/about-us/policies-and-statements/finance>

The University’s financial year runs from 1st August to 31st July. The University is VAT registered and the University’s VAT registration number is 927 273 901. The University is partially exempt from VAT legislation as a supplier of education and research and by virtue of its charitable status, the University is exempt from corporation tax on its primary purpose activities.

Additional information regarding the University’s legal standing, risk and governance arrangements can be accessed via the following web link: <https://www.chi.ac.uk/about-us/policies-and-statements/legal-risk-and-governance>

* 1. Purpose of this tender document

The University of Chichester is pleased to invite tenders for the provision of external audit services of the annual financial statements of the University and relevant subsidiary companies, and also the provision of certain non-audit services. The University’s financial year runs from 1st August to 31st July. The appointment for this contract will cover a period of 5 years, (with the option of a 2-year extension) and therefore the audit of the Financial Statements for the financial year 2021/22 to 2025/26, subject to 2-year extension re-appointment at Audit Committee and Board of Governors in November 2024.

The purpose of this tender is to enable suppliers to demonstrate expertise and compliance with the University’s requirements, and to enable the University to assess the most economically advantageous solutions to its requirements, using the prescribed tendering methodology for requirements of this size and nature.

This tender document includes the standard selection questionnaire that the Crown Commercial Service requires Universities and public funded organisations to use to assess potential suppliers. Subsequent to the completion of the standard selection questionnaire, potential suppliers are invited to describe their service, and their cost model.

The information contained within this document is confidential and is not to be used for any purpose other than tendering for the services described.

* 1. High level requirements

The University requires that the external audit services of the University are provided fully in accordance with the OfS and Research England Audit Code of Practice, Annex C to the Terms and Conditions of Funding for HEIs, Ref OfS 2018.15 <https://www.officeforstudents.org.uk/media/1286/ofs-rfip-b3_ofs-terms-and-conditions-of-ofs-funding-for-heis-to-31-july-2019.pdf>

Suppliers are asked to evidence they can provide independent and objective audit services and are registered with a relevant professional institute. Suppliers are required to have recent, relevant experience of external audit services in the Higher Education sector and will be expected to provide information and examples of best practice to further improve process and controls within the University throughout the term of the contract.

The external audit service will cover the following areas;

* The audit and certification of the consolidated University Financial statements and that of its subsidiary, Chichester Enterprise Limited
* Presentation of an annual Audit Report and Management Letter to the University Audit Committee. The Report should cover all major issues that came to light during the Audit, and highlight any unadjusted audit differences. These documents must be submitted to the University Secretary at least ten days prior to the Audit Committee meeting at which they are to be discussed
* Advice on Accounting Standards, Financial Reporting Standards and Audit Standards as they apply to the University
* Liaison as required with Funding Councils and Internal auditors

The University is also seeking non-audit services for the following;

* Provide an agreed-upon procedures report and independent certification in connection with the Teachers’ Pension Scheme End of Year Certificate
* Provide corporation tax compliance work for the University and its subsidiary, including the preparation and submission of the corporation tax computations
* To perform procedures and provide a report as required by the US Department of Education and management of the University to evaluate compliance with the requirements for the William D Ford Direct Loan Programme
* To undertake a limited assurance review of the University’s Department of Education funding (SKE, ITT and Early years) in accordance with the Department of Education’s terms and conditions
* Provide Professional advice on accounting treatment for one-off exceptional items and any other future business activity that the University undertakes

The University’s Audit Committee meets four times a year (September, November, February and May) and the audit partner is expected to attend each meeting and to share knowledge and experience to provide advice and guidance on any item under discussion.

* 1. Further guidance to bidders

In Section 5, please outline the proposed audit personnel, their relevant experience and day rates, and how you plan to manage continuity of staff on audits. Please include your approach to the audit delivery including timescale and techniques and a breakdown of costs per annum for the external audit and non-audit services separately.

As a University we seek to have an environmental and sustainable supply chain. Please help us understand how your organisation actively seeks to minimise the environmental impact in the delivery of this service.

* 1. Seeking clarification

For all queries please contact us by email [tenders@chi.ac.uk](mailto:tenders@chi.ac.uk). Please note that during the tender period you should not contact University staff directly, as this might be considered canvassing, and in which case the University might need to exclude your organisation from the tender process.

Please note that dependent upon the nature of the enquiry, and in so much as it does not identify your organisation, the answers to any questions you (or any other potential bidder) raise may be published alongside the tender documents at https://help.chi.ac.uk/tenders .

* 1. Procurement timetable

The procurement project is working to the following timescale:

|  |  |
| --- | --- |
| Stage | Key Dates |
| Publication of Tender Notice | 1st September 2021 |
| Closing Date for submission of Standard Selection Questionnaire | 1st October 2021 |
| Clarifications | W/C 4th October 2021 |
| Award | Appointment Notice + 10 Days |

* 1. Submission details

You are welcome to notify the University with your ‘Expression of Interest’ but please send your completed submission (including a completed version of this document) to [tenders@chi.ac.uk](mailto:tenders@chi.ac.uk) by the closing date.

* 1. Assessment criteria

The objective of the standard selection questionnaire is to identify suitable suppliers. All submitted tenders are assessed by a panel, whose evaluation will be quality assured. The University intends to award any contract based on the most economically advantageous offer.

|  |  |
| --- | --- |
| **Evaluation Criteria** | **Weighting** |
| HEI sector knowledge and audit experience | 20% |
| Audit team resource and structure | 20% |
| Price and value for money | 30% |
| Provision of case studies and demonstration of skills to deliver the service required | 20% |
| Environmental and sustainability engagement | 10% |

* 1. Confidentiality and Freedom of Information

All tendering documentation and correspondence are treated as strictly confidential. However, the University is subject to UK Data Protection Legislation, and the Freedom of Information Act 2000. This means that the University can be asked to disclose procurement and contracting information. Please indicate any areas of your submission that you consider should be exempted from any disclosure requests and identify why they should not be disclosed.

* 1. The Standard Selection Questionnaire

As is set out in the notes preceding Section 1, the University is required to use the government prescribed template in any tender that has an accrued value in excess of £25,000. This value is the gross total value and is not subdivided by (for example) the payee. Please therefore complete section 1-4 and pay particular attention to Appendix 1, 2 and 3 which set out what omissions and circumstances would lead to your tender being rejected.

In addition to the mandatory template, we have included additional sections to enable you to describe your services (and what you expect from us) and the financial arrangements.

**Potential Supplier Information and Exclusion Grounds: Part 1 and Part 2.**

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[[1]](#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).

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusion 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).

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

**Supplier Selection Questions: Part 3**

The procurement document will provide instructions on the selection 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 selection questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the Selection 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 bidder.

**Consequences of misrepresentation**

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority 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.

**Notes for completion of the Standard Selection Questionnaire**

The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.

“You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.

The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.

For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.

Note for Contracting Authorities: The following paragraph is optional for inclusion if a decision has been made to request a self-declaration of the exclusion grounds from sub-contractors. *All sub-contractors are required to complete Part 1 and Part 2[[2]](#footnote-3).*

For answers to Parts 3 and 4 -If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

The authority 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 regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

1. Standard Selection Questionnaire - Part 1: Potential supplier Information

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit all parts of the tender document.

* 1. Potential Supplier Information

|  |  |  |
| --- | --- | --- |
|  | Potential supplier information | |
| Question number | Question | Response |
| 1.1(a) | Full name of the potential supplier submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status   1. public limited company 2. limited company 3. limited liability partnership 4. other partnership 5. sole trader 6. third sector 7. 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) | Head office DUNS number (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 |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | Yes  No |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), 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 Social Enterprise (VCSE) 2. Sheltered Workshop 3. Public service mutual |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[3]](#footnote-4)? | Yes  No |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[4]](#footnote-5)  - 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. [[5]](#footnote-6)  (Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company:    - 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)  (Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:  - 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)  (Please enter N/A if not applicable) |  |

Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

* 1. Bidding Model

|  |  |  |
| --- | --- | --- |
|  | Bidding model | |
| Question number | 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 details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.  If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3. |
| 1.2(a) - (ii) | Name of group of economic operators (if applicable) |  |
| 1.2(a) - (iii) | Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure. |  |
| 1.2(b) - (i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | Yes  No |
| 1.2(b) - (ii) | If you responded yes to 1.2(b)-(i) 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) |  | | 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 |  | | |

* 1. Contact details and declaration

I declare that to the best of my knowledge the answers submitted, and information contained in this document are correct and accurate.

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

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

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

|  |  |  |
| --- | --- | --- |
|  | Contact details and declaration | |
| Question number | Question | Response |
| 1.3(a) | Contact name |  |
| 1.3(b) | Name of organisation |  |
| 1.3(c) | Role in organisation |  |
| 1.3(d) | Phone number |  |
| 1.3(e) | E-mail address |  |
| 1.3(f) | Postal address |  |
| 1.3(g) | Signature (electronic is acceptable) |  |
| 1.3(h) | Date |  |

1. Standard Selection Questionnaire - Part 2: Exclusion Grounds

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

* 1. Grounds for mandatory exclusion

|  |  |  |
| --- | --- | --- |
|  | Grounds for mandatory exclusion | |
| Question number | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out in the appendices and 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 in the appendices. | |
|  | 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[[6]](#footnote-7), including; Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, Identity of who has been convicted. |  |
| 2.1.1 | 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 |
| 2.1.1 (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 |
| 2.1.1 (b) | If you have answered yes to question 2.1.1 (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 authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

* 1. Grounds for discretionary exclusion

|  |  |  |  |
| --- | --- | --- | --- |
|  | Grounds for discretionary exclusion | | |
|  | Question | Response | |
| 2.2 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out in the appendices and 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. | | |
| 2.2 (a) | Breach of environmental obligations? | Yes  No  If yes please provide details at 2.3 | |
| 2.2 (b) | Breach of social obligations? | Yes  No  If yes please provide details at 2.3 | |
| 2.2 (c) | Breach of labour law obligations? | Yes  No  If yes please provide details at 2.3 | |
| 2.2 (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 2.3 | |
| 2.2 (e) | Guilty of grave professional misconduct? | Yes  No  If yes please provide details at 2.3 | |
| 2.2 (f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes  No  If yes please provide details at 2.3 | |
| 2.2 (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 2.3 | |
| 2.2 (h) | Been involved in the preparation of the procurement procedure? | Yes  No  If yes please provide details at 2.3 | |
| 2.2 (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 2.3 | |
| 2.2 (j)  2.2 (j) - (i)  2.2 (j) - (ii)  2.2 (j) –(iii)  2.2 (j)-(iv) | Please answer the following statements  The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.  The organisation has withheld such information.  The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.  The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes  No  If yes please provide details at 2.3  Yes  No  If yes please provide details at 2.3  Yes  No  If yes please provide details at 2.3  Yes  No  If yes please provide details at 2.3 | |
| 2.3 | 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) |  |

1. Standard Selection Questionnaire - Part 3: Selection Questions[[7]](#footnote-8)
   1. Economic and financial standing

|  |  |  |
| --- | --- | --- |
|  | Question | Response |
| 3.1.1 | 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 Y/N in the relevant box. | Yes  No |
| (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | Yes  No |
| (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 |
| 3.1.2 | Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering ‘Yes’ or ‘No’ that you meet the requirements set out. | Yes  No |

* 1. Consortia and parent company

|  |  |  |  |
| --- | --- | --- | --- |
|  | If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below: | | |
| Name of organisation | |  | |
| Relationship to the Supplier completing these questions | |  | |
| 3.2.1 | Are you able to provide parent company accounts if requested to at a later stage? | | Yes  No |
| 3.3.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | | Yes  No |
| 3.2.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | | Yes  No |

* 1. Technical and professional ability

|  |  |
| --- | --- |
|  | Technical and Professional Ability |
| 3.3.1 | **Relevant experience and contract examples**  Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.  The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.  Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).  Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.  If you cannot provide examples see question 3.3.3 |

|  |  |  |  |
| --- | --- | --- | --- |
|  | 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 |  |  |  |

|  |  |
| --- | --- |
| 3.3.2 | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s)  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries) |
|  |  |
| 3.3.3 | If you cannot provide at least one example for questions 3.3.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. | |
|  |  | |

* 1. Requirements under the Modern Slavery Act 2015

|  |  |  |
| --- | --- | --- |
| Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 | | |
| 3.4.1 | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes  N/A |
| 3.4.1 | If you have answered yes to question 3.4.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes  Please provide the relevant URL  No  Please provide an explanation |

* 1. Additional requirements under the Modern Slavery Act 2015

|  |
| --- |
| Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 |
| As the University is a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?subject to the MSA, the University is required to ensure that all suppliers to the University meet the requirements of the MSA.  Please set out below how you ensure that your organisation ensures that this requirement can be met. |
|  |

1. Additional Questions

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

* 1. Insurance

|  |  |  |
| --- | --- | --- |
|  | Insurance |  |
| a. | 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 = £TBC  Public Liability Insurance = £TBC  Professional Indemnity Insurance = £TBC  Product Liability Insurance = £TBC  \*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. | Yes  No |

1. Cost Proposal

Please set out your cost proposal for the external audit and the non-audit services requested within this tender separately, with explanatory notes. Please identify clearly what is included in the core service, and what are any additions you wish us to consider.

Please identify the proposed audit team configuration and the associated day rate costs, including a brief CV for the audit partner and audit manager.

Please set out the expected number of days for the external audit (including the interim) and your intended approach to delivery.

|  |  |  |
| --- | --- | --- |
| Costs to the University | Included | Cost £ GBP Ex VAT (including explanatory notes) |
| Total cost per year of external audit | Yes  No |  |
| Intended delivery approach | Yes  No | N/A |
| Expected number of days for external audit | Yes ☐ No ☐ | N/A |
| Breakdown of audit team configuration and day rates | Yes  No |  |
| Any additional cost, expenses or disbursements per year | Yes  No |  |
| Total cost per year for each non-audit service | Yes  No |  |
|  |  |  |

Appendix 1: Mandatory Exclusion Grounds

**Public Contract Regulations 2015 R57(1), (2) and (3)**

**Public Contract Directives 2014/24/EU Article 57(1)**

**Participation in a criminal organisation**

Participation offence as defined by section 45 of the Serious Crime Act 2015

Conspiracy within the meaning of

* section 1 or 1A of the Criminal Law Act 1977 or
* article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983

where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime;

**Corruption**

Corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;

The common law offence of bribery;

Bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983;

**Fraud**

Any of the following offences, where the offence relates to fraud affecting the European Communities’ financial interests as defined by Article 1 of the convention on the protection of the financial interests of the European Communities:

* the common law offence of cheating the Revenue;
* the common law offence of conspiracy to defraud;
* fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
* fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
* fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
* an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
* destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
* fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
* the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;

**Terrorist offences or offences linked to terrorist activities**

Any offence:

* listed in section 41 of the Counter Terrorism Act 2008;
* listed in schedule 2 to that Act where the court has determined that there is a terrorist connection;
* under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by the previous two points;

**Money laundering or terrorist financing**

Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002

An offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996

**Child labour and other forms of trafficking human beings**

An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;

An offence under section 59A of the Sexual Offences Act 2003

An offence under section 71 of the Coroners and Justice Act 2009;

An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994

An offence under section 2 or section 4 of the Modern Slavery Act 2015

**Non-payment of tax and social security contributions**

Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.

Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:

* HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; or
* a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle;
* a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS) or any equivalent or similar regime in a jurisdiction in which the supplier is established

**Other offences**

Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland

Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland

Appendix 2: Discretionary exclusions

**Obligations in the field of environment, social and labour law.**

Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive (see copy below) as amended from time to time; including the following:-

* Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years.
* In the last three years, where the organisation has 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 of alleged unlawful discrimination.
* In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
* Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has been in breach of the National Minimum Wage Act 1998.

**Bankruptcy, insolvency**

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;

**Grave professional misconduct**

Guilty of grave professional misconduct

**Distortion of competition**

Entered into agreements with other economic operators aimed at distorting competition

**Conflict of interest**

Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure

**Been involved in the preparation of the procurement procedure.**

**Prior performance issues**

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.

**Misrepresentation and undue influence**

The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.

Appendix 3: Additional exclusion grounds

**Breach of obligations relating to the payment of taxes or social security contributions.**

**ANNEX X Extract from Public Procurement Directive 2014/24/EU**

**LIST OF INTERNATIONAL SOCIAL AND ENVIRONMENTAL CONVENTIONS REFERRED TO IN ARTICLE 18(2) —**

* ILO Convention 87 on Freedom of Association and the Protection of the Right to Organise;
* ILO Convention 98 on the Right to Organise and Collective Bargaining;
* ILO Convention 29 on Forced Labour;
* ILO Convention 105 on the Abolition of Forced Labour;
* ILO Convention 138 on Minimum Age;
* ILO Convention 111 on Discrimination (Employment and Occupation);
* ILO Convention 100 on Equal Remuneration;
* ILO Convention 182 on Worst Forms of Child Labour;
* Vienna Convention for the protection of the Ozone Layer and its Montreal Protocol on substances that deplete the Ozone Layer;
* Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention);
* Stockholm Convention on Persistent Organic Pollutants (Stockholm POPs Convention)
* Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) (The PIC Convention) Rotterdam, 10 September 1998, and its 3 regional Protocols.

**Consequences of misrepresentation**

A serious misrepresentation which induces a contracting authority to enter into a contract may have the following consequences for the signatory that made the misrepresentation: -

* The potential supplier may be excluded from bidding for contracts for three years, under regulation 57(8)(h)(i) of the PCR 2015;
* The contracting authority may sue the supplier for damages and may rescind the contract under the Misrepresentation Act 1967.
* If fraud, or fraudulent intent, can be proved, the potential supplier or the responsible officers of the potential supplier may be prosecuted and convicted of the offence of fraud by false representation under s.2 of the Fraud Act 2006, which can carry a sentence of up to 10 years or a fine (or both).
* If there is a conviction, then the company must be excluded from procurement for five years under reg. 57(1) of the PCR (subject to self-cleaning).

1. For the list of exclusions please see <https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf> [↑](#footnote-ref-2)
2. See PCR 2015 regulations 71 (8)-(9) [↑](#footnote-ref-3)
3. See EU definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-4)
4. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-5)
5. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-6)
6. If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. [↑](#footnote-ref-7)
7. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-8)