



# **Specification**

## **Blue Badge Digital Service** Department for Transport

**Contract Reference: T IT 0085**

**Date: 06/11/2019**  
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## 1. Introduction

The Department for Transport (DFT) invites proposals for the following Blue Badge Digital Service. This contract will be subject to the DFT Standard Conditions of Contract.

There are currently circa 3 million Blue Badge holders in the UK. Badges can last up to 3 years. Around 1 million Blue Badges are produced annually. Citizens can apply for a Blue Badge either in person or online. The contract for the current online application, Local Authority interface and central record ends in February 2020.

Bidders intending to bid for this requirement are requested to confirm their intention to submit / or not to submit proposals via DFT Delta E-Sourcing Portal to **Managed Service Team Business Procurement Partner by 09:00 GMT 09 December 2019.**

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## **2. Background to the Requirement**

2.1. The Blue Badge Scheme is a critical service for promoting improved mobility for disabled people. The Department is responsible for the policy and legislation governing the scheme, with the legal obligation to issue badges to eligible disabled people (administering the scheme) residing with individual Blue Badge issuing Local Authorities (LAs).

Previously and before the Department put in place contracts for Blue Badge, all LAs administered the scheme separately. Online applications were unknown; there was no data sharing (enabling people to apply for more than one badge in different parts of the country and meaning that on-street enforcement officers had no database to interrogate details of badges issued in other parts of the country); the badge itself was made of laminated cardboard and relatively easy to forge.

To address the shortcomings of the then scheme, the current national service was procured by the Department on behalf of LAs, who sign an access agreement to the contract.

### **The Data Controllers of BBDS**

2.2. The Chronically Sick and Disabled Persons Act 1970 gives local authorities the power to administer the Blue Badge scheme. Each local authority is therefore a Controller for the processing of personal data in connection with the blue badges that it issues.

BBDS is supported by two suppliers; one for application and badge management, and the other for printing and despatching badges. BBDS is used to process blue badge data for the 200-plus local authorities who have entered into an access agreement with the suppliers of the service. The local authorities are 'joint controllers' for data processed on BBDS.

Each local authority is separately responsible for meeting its obligations to those data subjects in respect of the blue badges it administers. These obligations include the rights of data subjects as provided for under Chapter III of the GDPR.

The Department for Transport (DfT) is the Government's policy lead for the blue badge scheme. It leads on any changes to the law and on national strategic initiatives such as the implementation of BBDS. DfT is responsible for letting the contract with the service management provider for BBDS and for the ongoing management of that contract. It specifies the security standards that the system should meet, and other technological requirements necessary to ensure compliance with the GDPR. It also has responsibility as Controller for Personal Data processed within the GOV.UK online service. In this limited regard, DfT is a joint Controller of BBDS.

DfT does not itself have the legal power to process personal data relating to Blue Badge Licence holders – this power rests purely with local authorities. Therefore, when a local authority enters into an access agreement with the supplier of BBDS, it must satisfy itself, as a controller in its own right, as to the security and other arrangements that DfT has agreed with the suppliers. In terms of those arrangements, DfT will use its own security and data protection expertise to ensure that all aspects of BBDS meet the same high level of security as it would any system that processes its own data, and will use all reasonable

efforts to provide local authorities with relevant documentation to enable them to carry out such further due diligence as they consider necessary.

The service has provided significant benefits to LAs and protects the scheme from abuse for the benefit of disabled people.

There are around 3 million customers owning a Blue Badge permit. On average, around one million badges are printed and distributed each year. This annual badge production is likely to increase during the contract term.

Tenderers should be aware that the BBDS consists of two main elements which are the Product and the Service.

2.3. Product – The Product consists of three separate elements:

- The online journey for applicants to apply for a Blue Badge (Apply for a Blue Badge);
- The Local Authority Web Application element (Manage Blue Badges) that is used to manage applications and order badges; and
- The Application Programming Interface (API) integrations between Manage Blue Badges and the Local Authority Case Management functions.
- The above also includes key integrations with GOV.UK Notify and Payments. These integrations will need to be maintained and supported.

2.4. Service – Currently the 206 Local Authorities have secure access to a Jira (Service Desk) product that is provided as part of the current service. Authorities and their contracted case management providers have access to raise service tickets for any service support required, which are then assigned to either the BBDS Service Provider or the Badge Print and Distribution Provider accordingly. The successful Tenderer will provide support to local authorities who may have general enquiries for example system access issues, querying why a blue badge has not been delivered, invoice disputes etc.

### 3. Procurement Timetable

3.1. The procurement will follow the indicative timeline below:

Description	Date
Publication of ITT Pack	06 Nov 2019
Clarification Window - Open	06 Nov 2019
Clarification Window - Close	27 Nov 2019 @ 23:59hrs
Tender Submission Deadline	09 Dec 2019 @ 09:00hrs
Isolated Evaluation Panel Scoring	10 Dec 2019
Evaluation Panel Moderation/Consensus Sessions	12 Dec 2019
Intention to Award Contract	13 Dec 2019
Alcatel Standstill Commencement	13 Dec 2019
Alcatel Standstill Completion	24 Dec 2019
Contract Award	27 Dec 2019
Mobilisation/On-boarding Process	03 Jan 2020
Contract Commencement	05 Feb 2020

## 4. Scope

4.1. The contract term will be a two-year initial term (05 February 2020 – 04 February 2022) with two optional extension, each having periods of up to 12 months:

- **Optional extension period #1:**

05 February 2022 – maximum end date 04 February 2023;

- **Optional extension period #2:**

05 February 2023 – maximum end date 04 February 2024;

4.2. This provision requires the successful Tenderer to provide a high-quality service to DFT, Local Authorities, Citizen Applicants and Badge-holders and all other stakeholders of the BBDS.

4.3. The stakeholder group may vary during the contract and the successful Tenderer will maintain the service's standards throughout any fluctuations of the stakeholder group, whether they be from additional Local Authorities, Devolved or Local Government, or other public-sector bodies (e.g. Police / MOD etc).

## 5. Implementation and Deliverables

5.1. The fixed contract commencement date is on 04 February 2020. The below timetable outlines dates by which actions must be completed to ensure a smooth onboarding/offboarding process.

### 5.2. Onboarding/Offboarding Plan

ACTIVITY	START	END	LOCATION	NOTES
Contract Award / Onboarding Commencement	23/12/2019	-	N/A	Knowledge sharing / Skills transfer to new supplier from incumbent
Initial Scoping/Immobilisation Workshops	03/01/2020	-	"Manchester or Remotely"	Initiate AWS transfer; Provide a system architecture map; Provide a list of all the services for which accounts will need to be transferred; Write/agree a collaborative Service Transfer Plan (STP) containing a checklist/timeline of things to be done leading up to Switch Over Date (04/02/2020) - Signed Agreement by all Parties is mandatory. (Valtech, New Supplier, APS, DFT) Local Authority Onboarding with DPAs & AAs.
In-person shadowing	06/01/2019	17/01/2019	Manchester	Discretion of the Onboarding Supplier to request specific dates in Manchester, for co-location of their required Onboarding Key Team Personnel (i.e. multiple role-types)
Remote Onboarding Support	20/01/2020	5/2/2020	TBC Manchester Cheadle Heath Swansea/Mobile	"Onboarding Supplier Offboarding Supplier APS Print Supplier DFT Customer (Travelling as and when needed to support transition)"
"Incumbent Provision End - Offboarding Duties (Completion) - Onboarding Duties Completion)"	-	4/2/2020	N/A	
"New Provision Commencement Post Contract Ad-hoc Query Support"	5/2/2020	14/02/2020	Remote Support	Offboarding Provider Ad-hoc Remote Support - using remote tools named in Service Transfer Plan



## 6. Specifying Goods and / or Services

6.1. DFT will require the hosting, support and maintenance of the Blue Badge Digital Service to include the following:

6.1.1. The current system is hosted on AWS and the Successful Tenderer is required to adopt this solution (prior to contract commencement), take responsibility the BBDS platform when on-boarding and migrate to their own AWS licence.

The successful Tenderer will support and maintain the service throughout Continuous Development Cycles and subsequent Version Releases for the duration of the contract.

6.1.2. The cost of AWS hosting, and management of the tenant should be costed in the price of the badge and paid for by the supplier. If required, costings for the past 6 months can be made available upon request. It is expected that as part of this work, suppliers should include optimisation of our use of cloud to maintain/improve quality and reduce the running cost of the service in subsequent contracts.

See Annex 4 for Architecture Design

Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).

### **\*5% Evaluation Weighting**

6.2. Provide support to 206 Local Authorities and other BBDS Stakeholders:

6.2.1. The successful Tenderer will provide a robust and efficient support service to all Local Authorities and other BBDS Stakeholders involved in the administration of the Blue Badge Service by the respective Local Authorities. Currently there are 206 Issuing Authorities. The Service Desk Application (Atlassian: Jira Service Desk) acting as a service ticketing system currently utilised, will be adopted by the successful Tenderer. This is to effectively and efficiently on-board, whilst ensuring no reduction in the effectiveness of Service Support to BBDS Stakeholders, which currently includes, but is not limited to:

- Local Authorities;
- DFT/Policy team;
- Case Management System providers;
- Print Service providers;
- Devolved UK Government;
- Government Service Integration-partners that BBDS integrates with at any point in the contract term.

See Annex 4 for Architecture Design

Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).

### **\*5% Evaluation Weighting**

6.3. Work in collaboration with DFT and any BBDS Stakeholders to provide an effective and seamless service transition, live service and product and service development and continuous improvement.

6.3.1. Collaboration between stakeholders of BBDS since February 2019 has been integral to the project's success to date. Currently a communication/collaboration tool (Slack) is utilised and will be adopted by the successful Tenderer. This tool is used between all BBDS Stakeholders for updates, knowledge share and troubleshooting with both the Service Support team and Development team.

**Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).**

**\*5% Evaluation Weighting**

6.4. Take full responsibility and co-ordination of the invoicing Local Authorities on a monthly or quarterly basis.

6.4.1. The successful Tenderer will collect their portion of the Badge Price from each Local Authority on a monthly or quarterly basis. The Print Service provider will also recover their portion of the Badge Price for producing and dispatching the badges.

**Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).**

**\*5% Evaluation Weighting**

6.5. Deliver the Service from Public Beta to Live, through successful completion of GDS Live Service Assessment;

6.5.1. Currently the Blue Badge Digital Service is in Public Beta Phase. It is likely that during the course of the commercial agreement, the Blue Badge Digital Service will be required to undergo and pass GDS Live Assessment, which the Successful Tenderer will have a key role in - by supporting DFT through any assessments required.

**Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).**

**\*5% Evaluation Weighting**

6.6. Deliver both the Backlog Features when required and perform user research and testing when required to ensure new needs are identified and developed. Work will always be completed in line with Agile development principles and GDS Service Manual - Service Standard.

6.6.1. A Product Backlog (<https://trello.com/b/h8ceG9To/dft-blue-badge-backlog>) currently exists which the successful Tenderer will develop and deliver as part of the Product Development and Continuous Improvement requirement of the service provision.

6.6.2. Release cycles will not be fixed to dates and are ad-hoc by nature, as and when Backlog Features are developed. Releases will be on a monthly basis at a minimum, unless otherwise agreed with the Service Manager and/or Product Manager in advance.

6.6.3. Show and Tells will be conducted in line with, or prior to Release Cycles and/or Quarterly LA Surveys, in order to 'demo' new features that have been developed. This is critical to effectively inform LAs of the outcomes of feedback analysis complete, and the planned future development work ahead. The successful tenderer will be required to

support the SM/PM in preparing the necessary documentation for Show and Tells and Quarterly Updates.

**Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).**

**\*5% Evaluation Weighting**

6.7. A small-medium development team is required initially to meet the demands of Product Backlog development - and in essence of the contract requirement - meet Agile Product & Service Development principles and Service-Run requirements (SCRUM Certified Standards).

**Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).**

**\*0% Evaluation Weighting – Mandatory**

6.8. The workload to develop and deliver new product features may fluctuate throughout the life of the contract (e.g. Legislative and/or Policy changes), which will require the successful Tenderer to adapt the size of the Development team within a 30 Calendar Day notice-period, in order to respond to changing product and service demands.

**Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).**

**\*0% Evaluation Weighting – Mandatory**

**(2% Weighting available within 6.11. Service Level Matrix)**

6.9. All Tenderers will provide the initial dedicated team below, required to be stood-up on contract commencement and will submit their financial tender (Unitary Badge Price) based upon the below initial Key Team structure requirements:

<b>Key Team</b>	
#Roles	Role-type
x1	Service Delivery Manager
x1	Business Analyst
x1	Web Ops
x1	User Researcher/Content Designer
x2	Developer
x2	Quality Assurance
x2	Finance Lead
x2	Service-run & Incident First-line Support

6.9.1. Tenderers are required to provide their daily rate-cards for all SCRUM/Agile role-types for full transparency to the Contracting Authority. These will be the maximum chargeable rates by the supplier for each team role - or cost reduction-equivalents - upon any situation where the team size/role structure are increased/decreased respectively, in line with demand of the BBDS.

6.9.1.2. All Tenderers acknowledge that any decrease in Key Team requirements will result in a decreased Unitary Badge Price to Local Authorities. Any increase in Key Team-role requirements will be determined 3 months prior to the change taking effect and formalised through a Contract Change Notice (CCN), unless otherwise agreed by the Parties. In this scenario the Contracting Authority will confirm in writing whether the additional cost to the successful Tenderer is to be funded by an increase to the Unitary Badge Price paid by

Local Authorities, or alternatively, to be funded directly to the successful Tenderer by Contracting Authority.

Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).

**\*0% Evaluation Weighting – Mandatory**

6.10. Any additional information that is relevant:

6.10.1. Associated Application Licences

Application/Software tools can change over time during the contract duration, however as service continuity is paramount during the on-boarding process, the use of the current Atlassian application tools (Jira Service Desk and Confluence) and Slack must be adhered to. Any changes to any of the Application/Software tools during the contract term must first be approved by DfT and associated cost efficiencies will be passed on to Local Authorities via a reduced unitary badge price.

With regard to the current Tech Stack (See Annex 4), any suggested changes to the Tech Stack application tools must be clearly outlined and the rationale explained in full within your tender.

Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).

**\*0% Evaluation Weighting – Mandatory**

6.10.2. Financial Submission:

Tenderers will submit their part-costs per badge. When added to the Print Service Provider part-cost, will then make up the Total Badge Price that Local Authorities will pay. The successful Tenderer's part-cost per badge will fully include all associated costs required during the entire lifecycle of the provision for each part of the service. For clarity this includes:

- Mobilisation and On-boarding;
- Key Team (Initial roles/structure - Section 6.9.)
- Hosting/support/maintenance;
- Invoicing duties;
- User Research;
- Product Backlog Development and Delivery;
- Deliver the Service from Public Beta to Live;
- Service Support/Continuous Improvement;
- Stakeholder Collaboration;
- On-boarding/Mobilisation and Off-boarding/Contract Exit;

Tenderers must confirm their understanding and agreement to the above, and explain how they plan to meet the requirement(s).

**\*0% Evaluation Weighting – Mandatory**

## 6.11. Service Level Requirements

### \*15% Evaluation Weighting

Tenderer's will confirm their adherence to the below minimum Service Level requirements in the first instance (mandatory). Tenderer's will then also clearly outline any SLA increases offered for each item listed, which will be scored as part of the competitive evaluation of tenders, using the weighted percentages listed next to each item.

<b>Service Level Matrix</b>					
<b>Service Requirement</b>	<b>Minimum Service Level</b>	<b>Confirmation of adherence to minimum mandatory SLAs</b>	<b>Tenderer's increased Offering</b>	<b>%age Weighting (16% total available)</b>	<b>Notes</b>
Service Uptime	Minimum 98.00%			2%	
Service Desk Support response times	<b>Priority 1</b> – within 2.00 working hours  <b>Priority 2</b> – 2.00-7.50 working hours  <b>Priority 3</b> – within 15 working hours			P1 - 2%  P2 – 2%  P3 – 2%	
Release Cycles	Minimum of 1 release per calendar month			2%	
Key Team personnel upgrading / downgrading	30 Calendar Days' notice for every 2 additional role-types required			2%	
Invoicing Accuracy	Minimum 95.00%			2%	
Invoicing Promptness	Invoice submitted within 10WDs of Month-end / Quarter-end			1%	

6.12. Case Studies & References Matrix  
**\*15% Evaluation Weighting**

<b>Case Studies &amp; References Matrix (15% weighting)</b>					
Criteria	% Weighting	Case Study 1 (300 word limit)	Case Study 2 (300 word limit)	Case Study 3 (300 word limit)	Case Study 4 (300 word limit)
Demonstrate experience and proven ability to deliver digital services/products to the Government Digital Service standards.	5%				
Demonstrate experience and proven ability of iteratively improving and successfully taking complex, high volume transactional digital services from Public Beta through to Live service.	5%				
Demonstrate experience and proven ability of performing Security Health Checks, Penetration Testing, Service Readiness, and release reviews as part of quality and acceptance tests.	5%				
References (Contact details)					

## **7. Information and Quality Assurance Requirements**

Suppliers are required to demonstrate continuous assurance in the state and management of operations that underpin their services through periodic pre-agreed metrics reporting and, access to relevant and timely information and data. The scope of this is covered through the suite of standards and frameworks that constitute best practices the list below

The supplier must confirm the level of adherence or compliance with :

- ISO 20000 and/or, ITil v4
- ISO 270001, ISO 22301 and 26702
- Cyber Essentials Plus
- ISAE 3402
- An industry recognised Risk Management Framework and/or Standard

The successful Tenderer will be expected to provide a single point of contact and include coordination documentation to support any assertions made to the adherence the above.

## 8. Other Requirements

### Removable Media

Tenderers should note that removable media is not permitted in the delivery of this Contract. Where there is a requirement for Contractor's Staff to take data off site in electronic format, the DFT will consider if it is appropriate to supply an encrypted hard drive.

### Security Clearance

A minimum of Baseline (BPSS) clearance is required by all key team members as per Section 6.9 of this document. Suppliers will be expected to achieve BPSS clearance of all nominated staff in readiness for the contract commencement date. Any role with System Administrator-levels of privileged system access will require SC Clearance. As the SC clearance process takes a greater timeframe to achieve, the successful Tenderer must demonstrate they are in process of achieving this prior to contract commencement. The same standards will apply to any contractor or sub-contract as part of the supply chain.

**Tenderers must confirm their understanding and agreement to the above, and explicitly confirm that they meet the requirement(s).**

### Information Supply Chain

**Tenderers are required to confirm how DFT Data will be securely managed at each stage of the Information Supply Chain. This applies to both Contractors and Sub-Contractors. Retention schedules will need to be defined and agreed prior to award of contract.**

### Processing of Government Data

This contract will require the successful Tenderer to process Government data on DFT's behalf. The successful Tenderer will be required to complete a Statement of Assurance Questionnaire (Questionnaire attached at Annex 3) during the Standstill Period, to satisfy DFT that its data will be appropriately protected.

The purpose of the Questionnaire is to assess the maturity of policies, systems and controls associated with the handling of our data. The Questionnaire was developed for use throughout the Government supply chain and is based on ISO27001 criteria and aligned to the HMG Security Policy Framework.

Tenders are required to confirm their understanding and acceptance of the requirement to complete and return the Questionnaire during the Standstill Period.

The completed Questionnaire will be assessed by our Information Assurance Group and DFT will work with the successful Tenderer to address any information aspects requiring improvement.

The HMG Security Policy Framework and HMG Baseline Minimum Security Standards requires Departments to conduct an annual compliance review of third party suppliers. The Questionnaire will therefore need to be completed



annually throughout the term of the contract in order to assess ongoing compliance. DFT may also audit suppliers to validate the responses and evidence provided in the Questionnaire.

## **Processing Personal Data**

Please note that the successful Tenderer as part of the contract agrees to comply with all applicable requirements of the Data Protection legislation (including the General Data Protection Regulation ((EU) 2016/679), the Law Enforcement Directive (Directive (EU) 2016/680), and all applicable Law about the processing of personal data and privacy).

## **Schedule of Processing, Personal Data and Data**

The processing of personal data has been identified as part of this requirement. The 'Schedule of Processing, Personal Data and Data Subjects' (Annex 3 – Schedule 1) provides the written instructions to be followed when processing data relating to this contract. This information will be completed between the successful tenderer and the Buyer post contract award.

## **Offshoring of Government Data**

Government policy is that data it holds should be protected appropriately regardless of location.

Offshoring is defined as “Any arrangement where the performance of any part of the services or a solution under a contract may occur outside the UK for domestic (UK) consumption.”

When offshoring is described, the focus is typically on the physical location where data is hosted (such as where are the data centres located). Whilst physical location of data is a critical part of the offshoring question, it is important to understand how and where data might be logically accessed. Administrators or technical support staff may be located anywhere in the world, with logical access to data.

Tenderers must indicate in their tender response in detail of whether any DFT data supplied or managed as part of the contract, would be offshored. If so, Tenderers must confirm the location(s) including the location of any business continuity, disaster recovery and technical support staff, operational and management staff; that could have access to the system or data.

All Central Government Departments and Agencies are required to seek approval for any proposed offshoring activity, which ensures that information held offshore is appropriately managed and that pan-government risks are identified, tracked and managed, where appropriate.

In the event that the successful Tenderer proposes to offshore any DFT Data as part of the contract, they would be required to provide details about the processing to be carried out offshore, the privacy risks and the security controls in place to protect the data. If the intention is to store the information in a cloud environment outside the UK, the successful Tenderer will also need to confirm

the extent to which the environment complies with the cloud security principles. This information would be used to submit the offshoring proposal for approval.

Any request to offshore must receive clearance prior to the commencement of any data processing activity.

## **Cyber Security**

Include outcomes from the Cyber Security Assessment.

The Government has developed Cyber Essentials, in consultation with industry, to mitigate the risk from common internet based threats.

It will be mandatory for new Central Government contracts, which feature characteristics involving the handling of personal data and ICT systems designed to store or process data at the OFFICIAL level of the Government Security Classifications scheme (link below), to comply with Cyber Essentials as a minimum.

<https://www.gov.uk/government/publications/government-security-classifications>

All potential Tenderers for Central Government contracts, featuring the above characteristics, should make themselves aware of Cyber Essentials and the requirements for the appropriate level of certification. The link below to the GOV.UK website provides further information:

<https://www.gov.uk/government/publications/cyber-essentials-scheme-overview>

As this requirement features the above characteristics, you are required to demonstrate in your tender response that:

- Your organisation has Cyber Essentials Plus or ISO 27001 certification;
- Your organisation will be able to secure Cyber Essentials Plus or ISO 27001 certification prior to contract award; **or**
- Your organisation has other evidence to support that you have appropriate technical and organisational measures in place to mitigate the risk from common internet based threats in respect to the following nine technical areas:
  - Boundary firewalls and internet gateways
  - Secure configuration
  - Malware protection
  - Patch management
  - Vulnerability management
  - Secure software development
  - Security monitoring
  - Cyber incident response
  - Identity Access Management
  - Log Management
- The successful Tenderer will be required to provide evidence of Cyber Essentials Plus or ISO 27001 certification 'or equivalent' i.e. demonstrate they meet the five technical areas that the Cyber Essentials Scheme covers (Firewalls, Secure configuration, User access control, Malware protection and

Patch management) prior to contract award. This will be through the completion of the Statement of Assurance Questionnaire.

The successful Tenderer will be required to secure and provide evidence of Cyber Essentials Plus or ISO 27001 certification re-certification 'or equivalent' (i.e. demonstrate they meet the five technical areas) on an annual basis.

Details of certification bodies are available at:

<https://www.cyberstreetwise.com/cyberessentials>

## **Health and Safety**

The DFT requires its contractors to fully comply with its Health and Safety Policy and follow all applicable UK and EU Health and Safety Legislation, Acts, Orders, Regulations and Approved Codes of Practices, at all times.

Tenderers should:

- Have an appointed competent person responsible for H&S, details to be made available to DFT on request.
- Have emergency arrangements and plans for their goods/product/service, and observe DFTs arrangements whilst on site, or through the course of the business, or contract.
- Have adequate provision for your own first aid when on site.
- Have an accident reporting and recording process for all near miss, accidents/incidents, or violent and aggressive behaviours. Any incident on DFT site should be reported immediately to the DFTs Health and Safety Team.
- Communicate with DFT on any health and safety matter or issue in relation to the contract/product/supply of goods or service, notifying DFT of any Health and Safety hazard which may arise in connection with its supply of goods, products or services.
- Indemnify DFT in the instance where failure of the company's product/service, acts or omissions, with regards to health and safety, results in an economic penalty, time delay, issue, accident/incident or claim against the Agency.
- Have suitable and sufficient insurance cover for all business/products/services supplied/that are provided to DFT.
- Have documented, suitable and sufficient, risk assessments and method statements, covering all significant activities and deliveries of products, goods and services. Copies to be made available to DFT on request.
- Provide suitable and sufficient health and safety training, information and instruction for all its employees/contractors/subcontractor. Records to be made available on request.
- Engage with DFTs Security/Estates Management Group to arrange access to all DFT premises/buildings.
- Comply with all vehicle and driver legal requirements and DFT policies whilst driving on premises or conducting business for DFT.

## **Procurement Fraud**

DFT expects the highest standards of conduct and integrity from its staff, potential suppliers and its contractors. Individuals and organisations have a responsibility, in deterring procurement fraud and bribery and to report any instances where it is suspected or detected.

DFT requires potential suppliers and its contractors to:

- act with integrity, propriety, honesty, objectivity, accountability and openness;
- take all reasonable steps, in accordance with good industry practice, to prevent fraud and bribery by its staff and any sub-contractors;
- actively avoid, prevent and deter any behaviour or activity that might be considered as collusion, i.e. operating a cartel, bid rigging, bid suppression, cover bidding, bid rotation, market division and price fixing;
- actively avoid, prevent and deter any behaviour or activity that might be considered as bribery or corruption, in contravention of The Bribery Act 2010, e.g. paying a sum of money, or other inducement, directly or indirectly to any person/s in relation to any DFT contract or tender for goods, works or services;
- declare any conflict of interest that might arise before, during or after a procurement process;
- provide and maintain accurate contract performance records/data;
- provide and maintain accurate financial documentation, e.g. invoices.

## 9. Contract Management and Administration

9.1. Service reports are to be completed and submitted weekly by the Service Delivery Manager, with Monthly Service Reviews taking place between the Department and the successful Tenderer. Quarterly Strategic Reviews will then also take place between the Department and the successful Tenderer where Service Levels will be assessed in greater detail and plans will be made to highlight and execute upcoming milestones for the quarter ahead.

9.2. All product and service documentation will be created and updated regularly by the Key Team members, for example user research and findings, feature development, release notes and statistical data/reports, which includes monthly data exports, yearly statistical return for the four Nations and the National Fraud Initiative return. The successful Tenderer is required to work with both DFT and stakeholders to achieve this.

### 9.3. Sub-contracting to Small and Medium Enterprises (SMEs)

DFT is committed to removing barriers to SME participation in its contracts, and would like to also actively encourage its larger suppliers to make their sub-contacts accessible to smaller companies and implement SME-friendly policies in their supply-chains (see our [website](#) for further information).

To help us measure the volume of business we do with SMEs, our Form of Tender document asks about the size of your own organisation and those in your supply chain.

If you tell us you are likely to sub-contract to SMEs, and are awarded this contract, we will send you a short questionnaire asking for further information. This data will help us contribute towards Government targets on the use of SMEs. We may also publish success stories and examples of good practice on our website.

## **10. Training / Skills / Knowledge Transfer**

10.1. The successful Tenderer will be required to meet the activities and time requirements outlined in Section **5. Implementation and Deliverables**.

10.2. An equal level of support will be required by the successful Tenderer prior to contract end (04 February 2024/25) during off-boarding of the provision. There will be no additional cost associated with any transition support at contract end, and all service levels to be met by the successful Tenderer will be the equivalent to the support level they will shortly receive during their onboarding to the provision.

## 11. Documentation

11.1. Tenderers must include (where indicated in **green highlight**) their understanding and agreement to the requirement(s) and explain how they plan to meet the requirement(s) where required.

11.2. The successful Tenderer will be required to submit both an Access Agreement and Data Sharing Agreement during the Standstill Period to allow official contract award. This is due to the complexities and lead-times involved in achieving the restricted timeline:- drafting the agreement, DfT Data Assurance and Legal review<sup>[OBJ+OBJ]</sup>, distribution to 206 Local Authorities and their internal review(s), signature of agreement and return and receipt by both the successful Tenderer and the Contracting Authority. To be clear this process must be fully completed between Contract Award, no later than 1-week prior Contract Commencement **(29 January 2020)**.

## **12. Arrangement for End of Contract**

12.1 The successful Tenderer will be required to provide an equal level of Offboarding support at contract end, in-line with what the current Incumbent Supplier will provide to assist the Onboarding the successful Tenderer Dec 2019 – Feb 2020. A Service Transition Plan will be agreed between the Successful Tenderer and DFT within 3 months of the contract commencing. See Section **5. Implementation and Deliverables** for future Onboarding/Offboarding requirements which will mimic the current service transition commitments of the Incumbent Supplier.



## 13. Evaluation Criteria

### 13.1. Overview of the Evaluation Process

Paragraphs 13.2 and 13.3 below set out and explain the procedure, stages and process by which Tenders will be assessed. The evaluation procedure is divided into two key stages;

#### Selection Stage

DFT will assess responses to the Mandatory and Discretionary Grounds for Exclusion, Economic and Financial Standing in accordance with paragraphs 13.2 and 13.3 below ("**Selection Stage**").

#### Award Stage

DFT will assess responses to the requirement in accordance with paragraph 13.4 below ("**Award Stage**").

Tenders that do not meet the criteria at the Selection Stage may be disqualified from further consideration in this procurement and will not be evaluated at the Award Stage.

### 13.2. Selection Stage – Grounds for Exclusion (Annex 1)

In certain circumstances DFT is required by law to preclude Tenderers from participating in this Procurement. If a Tenderer cannot answer 'no' to every statement in the Grounds for Mandatory Exclusion it is very likely the Tender will be rejected and disqualified from further participation in this procurement.

DFT is entitled to preclude a Tenderer from further participation in this procurement if any of the statements in response the Grounds for Discretionary Exclusion apply.

If a Tenderer cannot answer 'No' to every statement it is possible that the Tender will be rejected and disqualified from further participation in this procurement. If any of the statements do apply, the Tenderer should set out the full facts of the relevant incident and any remedial actions taken. The information provided will be taken into account by DFT in considering whether or not the Tender will be permitted to proceed any further in this procurement.

### 13.3. Selection of Tenders for the Award Stage

Following evaluation of Tenders at this Selection Stage, those Tenderers whose Tenders have been excluded will not proceed to the Award Stage.

Any Tenderer disqualified at Selection Stage will be notified, in writing.

### 13.4. Award Stage

The Award Stage will comprise of three elements:

- an evaluation of mandatory requirements. These will be assessed on a pass/fail basis. Tenders that fail any of the mandatory requirements will be disqualified from further consideration.
- an evaluation of the Tender based on Quality Factors; and

- an evaluation of the Unitary Badge Price – Financial Factor.

### 13.5. Mandatory Requirements

Mandatory requirements (**Selection Stage**):

Failure to fully agree to the below mandatory requirements will result in failure to progress to Full Evaluation stage. Any suggested alternative to the mandatory requirements covered below, might be considered as an 'alternative tender', however the below must be clearly confirmed as **Agreed**, and any 'alternative tender' items will be at the full discretion of the Contracting Authority to accept – or revert to the mandatory minimum requirements below:

<b>Minimum Mandatory Requirements Matrix</b>	State 'Agreed' for each requirement below
<b>Mandatory Requirement:</b>	
Agreement to adopt all current architecture applications, platforms and service applications in place.	
Take full licence ownership, management and funding payment of AWS Licensing.	
Deliver the Service from Public Beta to Live through successful completion of GDS Live Service Assessment	
Initial drafts of the Access Agreement and Data Processing Agreement submitted, in preparation for agreement and distribution to each Local Authority upon contract award.	
Invoice 206 LA's monthly (Tenderer's UBP Financial Submission's volume-based costs)	
References (contact details) within Section 6.12.	
A minimum of Baseline (BPSS) clearance is required by all key team members. SC Clearance (Privileged Administrator Access)	
Cyber Essentials Plus or ISO 27001 certification	

### 13.6. Quality Factors:

Selection will be based on the evaluation criteria encompassing the most economically advantageous tender, which demonstrates a high degree of overall value for money, competence, credibility and ability to deliver.

This tender will be evaluated using a 60% quality and 40% financial weightings to obtain the optimal balance of quality and cost.

#### 13.6.1. Quality Factors Scoring Methodology

<b>Score</b>	<b>Tender offering against Requirement</b>
3	Exceeds requirement

2	Fully meets requirement
1	Partially meets requirement with some concerns
0	Fails to meet requirement with great concerns

Example scoring calculations:

Example 1: 5% weighting criteria

Score	Calculation	Weighted Score
3	$3 / 3 \times 0.05 =$	5.00%
2	$2 / 3 \times 0.05 =$	3.33%
1	$1 / 3 \times 0.05 =$	1.66%
0	$0 / 3 \times 0.05 =$	0.00%

Example 2: 15% weighting criteria

Score	Calculation	Weighted Score
3	$3 / 3 \times 0.15 =$	15.00%
2	$2 / 3 \times 0.15 =$	10.00%
1	$1 / 3 \times 0.15 =$	5.00%
0	$0 / 3 \times 0.15 =$	0.00%

### 13.6.2. Quality Factors (For use at the **Award Stage**)

The Quality Factors will be assessed against the criteria specified below.

Primary Criteria	Primary Quality Criteria Weighting (60%)	Section Reference	Individual Sub - Criteria Weighting (%)
<b>Service Management</b>	<b>40%</b>	6.1. Hosting, Support and Maintenance	5%
		6.2. Stakeholder Service Support	5%
		6.3. Collaboration	5%
		6.4. LA Invoicing	5%
		6.5. GDS Live Assessment	5%
		6.9. (non-scoring criteria)	0%
		6.10. (non-scoring criteria)	0%
		6.11. Service Level Matrix	15%
<b>Continuous Development &amp; Improvement</b>	<b>5%</b>	6.6. Backlog Feature Development	5%
		6.7. (non-scoring criteria)	0%
		6.8. (non-scoring criteria)	0%
<b>Case Studies/References</b>	<b>15%</b>	6.12. Case Studies	15%
		6.12. References (Mandatory)	0%
	<b>Total = 100%</b>		

### 13.7. Financial / Price Factors Scoring Methodology:

Tenderers must provide a tiered pricing structure based on annual badge order volumes.

During the course of the contract the badge order volumes will be closely tracked and included in the weekly service report covering the 12 month period up to that date. The Unitary Badge Price cost will vary dependant on the volumes against the tiered ranges.

Financial Evaluation Matrix - Unitary Badge Price					
Annual Blue Badge Volume Ranges	Unitary Badge Price (per Blue Badge Issued) Tenderer to complete			%age Weighting (of 40% total available)	%age awarded (Evaluation team use)
	Initial Contract Term Years 1 & 2	Indicative UBP Optional Extension - Contract Year 3	Indicative UBP Optional Extension - Contract Year 4		
<500,000				2.50%	
500,000 – 749,999				7.50%	
750,000 – 999,999				10%	
1,000,000 – 1,299,999				10%	
>1,300,000				10%	
				<b>40%</b>	

## **14. Points of Contact**

### **Procurement Contact**

Name: Carwyn Jenkins

Tel: 07977 437142

e-mail:

Carwyn.Jenkins@dft.gov.  
uk

### **Project Lead**

Name: Rob Thomas

Tel: 07917 087703

e-mail:

Rob.Thomas@dft.gov.uk

**All queries/ questions should be sent to the procurement contact**

## **Annex 1 – Standard Selection Questionnaire**

### **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<sup>1</sup>. 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 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).

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.

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<sup>1</sup> 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](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf)

**DFT Blue Badge Digital Service**  
**TIT0085**  
**PROCUREMENT PROCEDURE - OPEN**

**Notes for completion**

1. 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.
2. “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.
3. 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.
4. 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.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.
6. *All sub-contractors are required to complete Part 1 and Part 2<sup>2</sup>.*
7. For answers to Part 3 - 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.

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<sup>2</sup> See PCR 2015 regulations 71 (8)-(9)

## 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 the Part 1 and Part 2 self-declaration.

Section 1	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 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)	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 <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
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) a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual	



1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) <sup>3</sup> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(n)	<p>Details of Persons of Significant Control (PSC), where appropriate: <sup>4</sup></p> <ul style="list-style-type: none"> <li>- Name;</li> <li>- Date of birth;</li> <li>- Nationality;</li> <li>- Country, state or part of the UK where the PSC usually lives;</li> <li>- Service address;</li> <li>- The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);</li> <li>- Which conditions for being a PSC are met; <ul style="list-style-type: none"> <li>- Over 25% up to (and including) 50%,</li> <li>- More than 50% and less than 75%,</li> <li>- 75% or more. <sup>5</sup></li> </ul> </li> </ul> <p>(Please enter N/A if not applicable)</p>	
1.1(o)	<p>Details of immediate parent company:</p> <ul style="list-style-type: none"> <li>- Full name of the immediate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>	
1.1(p)	<p>Details of ultimate parent company:</p> <ul style="list-style-type: none"> <li>- Full name of the ultimate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>	

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.

<sup>3</sup> See EU definition of SME: <http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/>

<sup>4</sup> 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](#).

<sup>5</sup> Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.

Please provide the following information about your approach to this procurement:

Section 1		Bidding model				
Question number	Question	Response				
1.2(a) - (i)	Are you bidding as the lead contact for a group of economic operators?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/>				
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					

### 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.

Section 1	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	

## 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.

Section 2	Grounds for mandatory exclusion	
Question number	Question	Response
2.1(a)	<p><b>Regulations 57(1) and (2)</b></p> <p>The detailed grounds for mandatory exclusion of an organisation are set out in Annex A below, which should be referred to before completing these questions.</p> <p>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 Annex A below.</p>	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
2.1(b)	<p>If you have answered yes to question 2.1(a), please provide further details.</p> <p>Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,</p> <p>Identity of who has been convicted</p> <p>If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.</p>	
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 <input type="checkbox"/> No <input type="checkbox"/>
2.3(a)	<p><b>Regulation 57(3)</b></p> <p>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</p>	Yes <input type="checkbox"/> No <input type="checkbox"/>

	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?	
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 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.

### What is Self-Cleaning?

A potential supplier who has been excluded from public procurement can have the exclusion ended if they effectively “self-clean”.

Potential suppliers are required to demonstrate that they have taken remedial action, to the satisfaction of the contracting authority in each case. In order for the evidence provided to be sufficient it must, as a minimum, prove the supplier has “self-cleaned” as follows:

- paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
- clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The actions agreed on deferred prosecution agreements may be submitted as evidence of self-cleaning and evaluated by the contracting authority as described below.

The measures taken shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. If such evidence is considered by the contracting authority (whose decision will be final) as sufficient, the potential supplier shall be allowed to continue in the procurement process.

If the potential supplier cannot provide evidence of ‘self-cleaning’ that is acceptable, they are to be excluded from further participation in the procurement and provided with a statement of the reasons for that decision.

Section 3	Grounds for discretionary exclusion	
	Question	Response
3.1	<b>Regulation 57 (8)</b> The detailed grounds for discretionary exclusion of an organisation are set out in Annex A below, 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1 (c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> 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 <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(j)	Please answer the following statements	
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2

3.1(j) - (ii)	absence of grounds for exclusion or the fulfilment of the selection criteria.  The organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) –(iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j)-(iv)	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 <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2

3.2	If you have answered Yes to any of the above, explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)	
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### Part 3: Selection Questions

<b>Section 4</b>	<b>Economic and Financial Standing</b>	
	Please provide the following to demonstrate your economic/financial standing;	Please indicate which of the following you have provided to demonstrate your economic/financial standing
<b>4.1</b>	(a) A copy of your audited accounts for the last two years	
	(b) 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.	
	(c) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. N.B. You must also provide either option/s (a), (b) or (d) when providing option (c).	
	(d) 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).	
<b>4.2</b>	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 <input type="checkbox"/> No <input type="checkbox"/>

<b>Section 5</b>	<b>If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:</b>	
<b>Name of organisation</b>		
<b>Relationship to the Supplier completing these questions</b>		

<b>5.1</b>	Are you able to provide parent company accounts if requested to at a later stage?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>5.2</b>	If yes, would the parent company be willing to provide a guarantee if necessary?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>5.3</b>	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Yes <input type="checkbox"/> No <input type="checkbox"/>



The assessment of risk seeks to be based on sound business judgement, rather than just the application of formulae, and will be assessed against the following criteria;

Assessed Criteria	
A	Sufficient financial resources to deliver the contract – minimum annual turnover of 2 x lower contract value from OJEU
B	Gross and Net profit consistently positive
C	Consistently positive working capital over previous two years and one year forecast
D	Consistently low gearing over previous two years and one year forecast i.e. low being below 60%.
E	Adequate credit rating on a *financial standing report (failure score below 30 or no rating = 0; Score 30-50 = 5; Score 51-100 = 10)

\*Bidder to note that DFT will obtain the financial standing (e.g. Dun and Bradstreet) report referred to in Assessment Criteria E.

Scoring Mechanism – this will be applied to each of the 5 assessed criteria above	
0	Does not Meet
5	Partially meets
10	Fully meets

Please see the following example of the scoring mechanism against the Assessment Criteria D:

Company	Gearing Ratio			Score
	Audited Accounts Yr 1	Audited Accounts Yr 2	Forecast	
W	22%	30%	21%	10
X	22%	30%	70%	5
Y	65%	70%	71%	0
Z	58%	67%	71%	5

Even if a bidder receives a low cumulative score in the financial assessment, they may still go forward to the tender evaluation stage, at DFTs sole discretion, as the contract allows DFT to request either a Bankers or Parent Company Guarantee. If required the DFT may contact a bidder for further information and/or clarification as appropriate.

<b>Section 6</b>	<b>Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015</b>	
<b>6.1</b>	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 <input type="checkbox"/> N/A <input type="checkbox"/>
<b>6.2</b>	If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Yes <input type="checkbox"/> Please provide the relevant url ...  No <input type="checkbox"/> Please provide an explanation

## 7. 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.

Section 7	Additional Questions
<b>7.1</b>	<b>Insurance</b>
a.	<p>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: Y/N</p> <p>Employer's (Compulsory) Liability Insurance = £5 million*</p> <p>Public Liability Insurance = £10 Million Professional Indemnity Insurance = £10 Million</p> <p>Product Liability Insurance = £5 Million</p> <p>*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.</p>

<b>7.2</b>	<b>Skills and Apprentices<sup>6</sup> – (please refer to supplier selection guidance)</b>	
a.	<p>Public procurement of contracts with a full life value of £10 million and above and duration of 12 months and above should be used to support skills development and delivery of the apprenticeship commitment. This policy is set out in detail in Procurement Policy Note 14/15.</p> <p>Please confirm if you will be supporting apprenticeships and skills development through this contract.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
b.	<p>If yes, can you provide at a later stage documentary evidence to support your commitment to developing and investing in skills, development and apprenticeships to build a more skilled and productive workforce and reducing the risks of supply constraints and increasing labour cost inflation?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>
c.	<p>Do you have a process in place to ensure that your supply chain supports skills, development and apprenticeships in line with PPN 14/15 (see guidance) and can provide evidence if requested?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

<sup>6</sup> [Procurement Policy Note 14/15– Supporting Apprenticeships and Skills Through Public Procurement](#)

## **Annex 1A - 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 26<sup>th</sup> February 2015 in England, Wales or Northern Ireland

## **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.

### **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).



## Annex 2 – Tender Response Checklist

### Evaluation Criteria Mandatory Requirements, Quality Factors & Financial Factors

#### Annex 2A: Mandatory Requirements

Minimum Mandatory Requirements Matrix	
Mandatory Requirement:	State 'Agreed' for each requirement below
Agreement to adopt all current architecture applications, platforms and service applications in place.	
Take full licence ownership, management and funding payment of AWS Licensing.	
Deliver the Service from Public Beta to Live through successful completion of GDS Live Service Assessment.	
Initial drafts of the Access Agreement and Data Processing Agreement submitted, in preparation for agreement and distribution to each Local Authority upon contract award.	
Invoice 206 LA's monthly (Tenderer's UBP Financial Submission's volume-based costs).	
References (contact details) within Section 6.12.	
A minimum of Baseline (BPSS) clearance is required by all key team members. SC Clearance (Privileged Administrator Access).	
Cyber Essentials Plus and/or ISO 27001 certification.	

Service Level Matrix			
Service Requirement	Minimum Service Level	Confirmation of adherence to minimum mandatory SLAs	Notes
Service Uptime	Minimum 98.00%		
Service Desk Support response times	<b>Priority 1</b> – within 2.00 hours <b>Priority 2</b> – 2.00-7.50 working hours <b>Priority 3</b> – within 15 working hours		
Release Cycles	Minimum of 1 release per calendar month		
Key Team personnel upgrading / downgrading	30 Calendar Day's notice for every 2 additional role-types required		
Invoicing Accuracy	Minimum 95.00%		
Invoicing Promptness	Invoice submitted within 10WDs of Month-end / Quarter-end		

## Annex 2B: Quality Factors

Primary Criteria	Primary Quality Criteria Weighting (60%)	Section Reference	Individual Sub - Criteria Weighting (%)
<b>Service Management</b>	<b>40%</b>	6.1. Hosting, Support and Maintenance	5%
		6.2. Stakeholder Service Support	5%
		6.3. Collaboration	5%
		6.4. LA Invoicing	5%
		6.5. GDS Live Assessment	5%
		6.9. (non-scoring criteria)	0%
		6.10. (non-scoring criteria)	0%
		6.11. Service Level Matrix	15%
<b>Continuous Development &amp; Improvement</b>	<b>5%</b>	6.6. Backlog Feature Development	5%
		6.7. (non-scoring criteria)	0%
		6.8. (non-scoring criteria)	0%
<b>Case Studies/References</b>	<b>15%</b>	6.12. Case Studies	15%
		6.12. References (Mandatory)	0%
	<b>Total = 100%</b>		

Service Level Matrix					
Service Requirement	Minimum Service Level	Confirmation of adherence to minimum mandatory SLAs	Tenderer's increased Offering	%age Weighting (16% total available)	Notes
Service Uptime	Minimum 98.00%			2%	
Service Desk Support response times	<b>Priority 1</b> – within 2.00 working hours  <b>Priority 2</b> – 2.00-7.50 working hours  <b>Priority 3</b> – within 15 working hours			P1 - 2%  P2 – 2%  P3 – 2%	
Release Cycles	Minimum of 1 release per calendar month			2%	
Key Team personnel upgrading / downgrading	30 Calendar Days' notice for every 2 additional role-types required			2%	
Invoicing Accuracy	Minimum 95.00%			2%	
Invoicing Promptness	Invoice submitted within 10WDs of Month-end / Quarter-end			1%	

<b>Case Studies &amp; References Matrix (15% weighting)</b>					
Criteria	% Weig hting	Case Study 1 (300 word limit)	Case Study 2 (300 word limit)	Case Study 3 (300 word limit)	Case Study 4 (300 word limit)
Demonstrate experience and proven ability to deliver digital services/products to the Government Digital Service standards	5%				
Demonstrate experience and proven ability of iteratively improving and successfully taking complex, high volume transactional digital services from Public Beta through to Live service.	5%				
Demonstrate experience and proven ability of performing Security Health Checks, Penetration Testing, Service Readiness, and release reviews as part of quality and acceptance tests	5%				
<b>References (Contact details)</b>	<b>Man dator y</b>				

**\*Case Studies are not Mandatory, however if the Tenderer seeks to gain up to 15% weighting available, then References for any written Case Studies must be provided for the Evaluation Team's due diligence checks. Failure to provide References will result in Case Studies not being considered as part of the evaluation and the Tenderer will not receive any scores for this element of their tender.\***

## Annex 2C: Financial Factors

Financial Evaluation will use the Unitary Badge Price for the initial guaranteed contract term of years 1 and 2. Tenderers must also provide their indicative UBP for optional contract years 3 and 4.

### \*40% Evaluation Weighting

Financial Evaluation Matrix - Unitary Badge Price					
Annual Blue Badge Volume Ranges	Unitary Badge Price (per Blue Badge Issued) Tenderer to complete			%age Weighting (of 40% total available)	%age awarded (Evaluation team use)
	Initial Contract Term Years 1 & 2	Indicative UBP Optional Extension - Contract Year 3	Indicative UBP Optional Extension - Contract Year 4		
<500,000				2.50%	
500,000 – 749,999				7.50%	
750,000 – 999,999				10%	
1,000,000 – 1,299,999				10%	
>1,300,000				10%	
				<b>40%</b>	

## Annex 3 – Schedule 1: Schedule of Processing, Personal Data & Data Subjects

This Schedule shall be completed by the Controller (post contract award). The Controller may take account of the view of the Processor(s), however the final decision as to the content of this Schedule shall be with the Controller at its absolute discretion.

1. The contact details of the Controller's Data Protection Officer are: **[insert contact details]**.
2. The contact details of the Processor's Data Protection Officer are: **[insert contact details]**.
3. The Processor shall comply with any further written instructions with respect to processing by the Controller.
4. Any such further instructions shall be incorporated into this Schedule.

### Description

### Details

Identity of the Controller and Processor

The Parties acknowledge that for the purposes of the Data Protection Legislation, the Authority is the Controller and the Contractor is the Processor in accordance with Clause **[E1.1]**. **[Note: clause numbers refer to DFT General Conditions of Contract for Services. Amend if necessary.]**

**[Guidance:** You may need to vary this section where (in the rare case) the Authority and Contractor have a different relationship. For example where the Parties are Joint Controllers of some Personal Data:

*“Notwithstanding Clause **[E1.1]** the Parties acknowledge that they are also Joint Controllers for the purposes of the Data Protection Legislation in respect of: **[Insert** the scope of Personal Data which the purposes and means of the processing is determined by the both Parties]*

*In respect of Personal Data under Joint Control, Clause **[E1.1-E1.14]** will not apply and the Parties agree to put in place a Joint Controller Agreement as outlined in Schedule **[Y]** instead.”*

## Annex 4 - Architecture Design

### Printing

#### Provider

<b>Print Provider</b>	APS
<b>Protocol</b>	SFTP
<b>Format</b>	XML
<b>Image Encoding</b>	Base64
<b>Send Frequency</b>	3 files sent daily. 10am (Fast track only), 1pm and 4pm Badges to be posted to the LA (deliverTo = Your council) are only sent in batches (excluding 10 am) on MON, WED and FRI
<b>Receive Frequency</b>	1 batch per day containing successfully processed badges 1 batch per day containing rejected badges
<b>Transmission</b>	Batch

#### Technology

<b>SFTP Server</b>	TBC
<b>Print_Svc</b>	Java 8 Web Service

#### Commands

<b>SendPrintBatchCommand</b>	Send the latest batch to the printer for a given Delivery To Code and Delivery Option Code.
<b>CollectProcessedBatchCommand</b>	Process the processed badges received from the printer.
<b>CollectRejectedBatchCommand</b>	Process the rejected badges received from the printer.

#### Technical Requirements

##### Badge Service

- Must send all badges to the DFT Print Service when the relevant endpoint in the Badge API is invoked.
- Must collect all processed badges from the DFT Print Service when the relevant endpoint in the Badge API is invoked.
- Must collect all rejected badges from the DFT Print Service when the relevant endpoint in the Badge API is invoked.

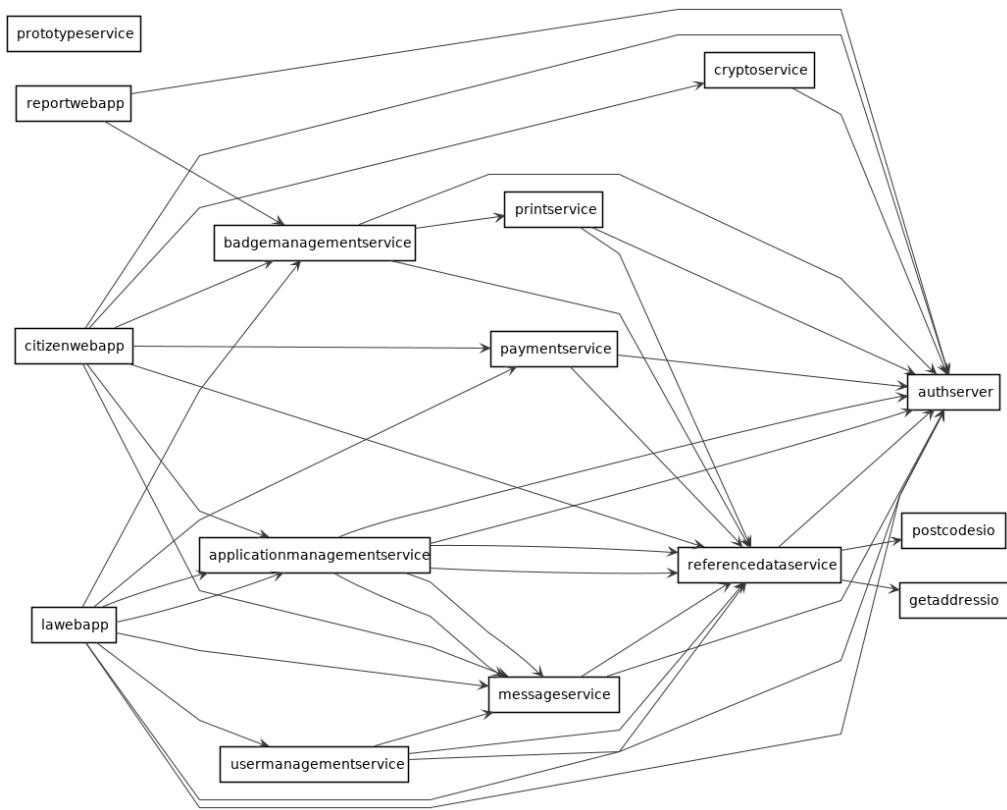
##### Database

- All badges must be traceable to one or more batches
- The date and time a batch was created must be recorded
- The date and time a badge status was updated must be stored.
- All changes to the the status of the badge must be stored for audit purposes, this requirement can be deferred until the Postgresql PG\_Audit ticket is done.
- The filename of the batches returned by the Print Service must be recorded against the batch ID.

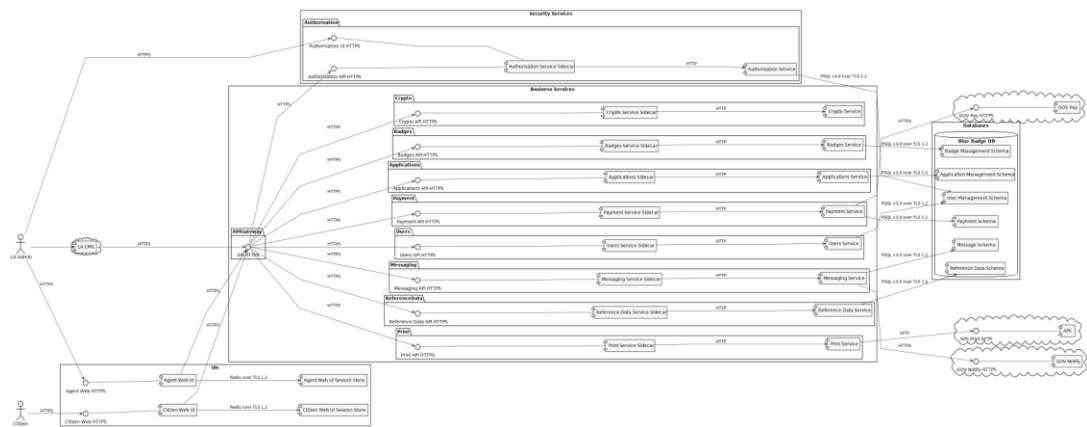
##### Print Service

- Uses S3 as a persistence for files it receives and ones it is transmitting in case of failure or service outage.
- Uses an SFTP Client to transmit the batch files to the Print Provider.
- Must send any existing files which exist in S3 when a batch send job is started.(This is in case any existing files are left over due to a previous failure or outage)
- The filename of the batch must be returned along with the badge ids that have either been processed or rejected.
- API allows the API Consumer to delete a given filename so that it is not returned again in this future. This is used as a mechanism to mark a batch as processed from a DFT perspective.

## Service Dependencies

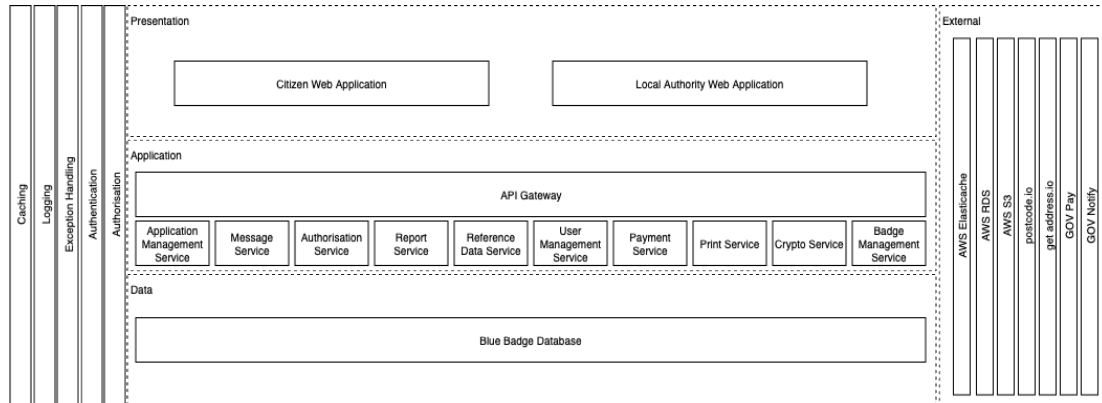


## Component





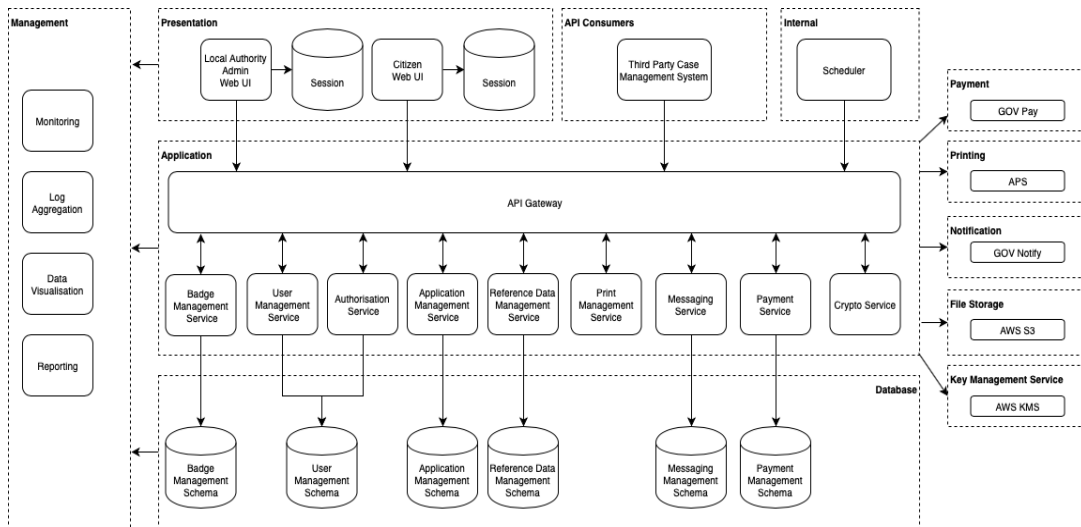
## System tiers



# High Level Architecture

## Logical

BlueBadgeHLA.xml



## Full tech stack, including front- and back-end

### Overall System

#### Development & Testing



#### Deployment & Operations



#### Monitoring & Alerting



### Amazon Web Services



### Other UK GOV Services



## **Annex 5 - Product Backlog**

Please see the Product Backlog in its current for at this Trello Board:

<https://trello.com/b/h8ceG9To/dft-blue-badge-backlog>