**INVITATION TO TENDER**

**(OPEN PROCEDURE)**

**FOR**

**Appointment of Investment Manager(s)**

**for the HMS Caroline Preservation Company**

HMSC\_INVMANAGERS\_180123

Annex D-E-F

(For Completion and Return)

The National Museum of the Royal Navy

HMS Naval Base (PP66)

Portsmouth

PO1 3NH

**ISSUE: 001**

**Version 4**

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Introduction

This tender is for the management of investments held by The HMS Caroline Preservation Company, a charitable company limited by guarantee with company number 08303946 and registered charity number 1149930 (the “Company”). The Company is controlled by the National Museum of the Royal Navy (“NMRN”).

The Parties involved in this tender are as follows;

1. **HMS Caroline Trust** (the legal entity that is to be invested into)
	1. The HMS Caroline Trust has no employees, nor appointed trustees
2. **HMS Caroline Preservation Company**
	1. The preservation company is the sole trustee of the HMS Caroline Trust.
	2. The HMSC Preservation Company is the contracting party for this tender.
3. **The National Museum of the Royal Navy (NMRN)** is the controlling body of the HMSC Preservation Company
	1. All operational activity is done by NMRN Operations
	2. NMRN Operations will provide the procurement support for this tender.

The charity is the sole corporate Trustee of the HMS Caroline Preservation Trust. The Ship, the collection and the endowment for the future of HMS Caroline are held under the objects of this Trust. All operational activity is undertaken under an operator agreement with the charitable entity, NMRN Operations (charity number: 1169061), also a wholly owned subsidiary of the National Museum, to enable both the maintenance of the Ship and its present it as a visitor attraction to the public as part of its charitable activities.

The purpose of the Company is to manage and maintain for display HMS Caroline, a light cruiser built in 1914 by Cammell Laird in Birkenhead and now moored in Belfast Harbour. HMS Caroline is of historical significance as the only surviving major warship which fought in the Battle of Jutland in 1916.

The mentions to the ‘NMRN’ throughout the document are for reference only, the process will be overseen by the HMS Caroline Investment Committee of the Company in conjunction with the Procurement Team of the NMRN who are overseeing the tender procedure.

Submission Deadline

The submission deadline is Wednesday 22nd January 2023 at Midday (1200). All submissions are to be submitted to tenders@nmrn.org.uk .

Further dates including clarifications, post-submission interview dates can be found in Annex A-B-C

Annex D

TENDER SUBMISSION DOCUMENT

1. Supplier Selection Questionnaire

**Appointment of Investment Manager(s)**

**for HMS Caroline Preservation Company**

**HMSC\_INVMANAGERS \_180123**

**Open Procedure**

**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.
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, 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.

1 See PCR 2015 regulations 71 (8)-(9)

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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| **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 no.** | **Question** | **Response** |
| **1.1 (a)** | Full name of the potential supplier submitting the information |       |
| **1.1 (b) – (i)** | Registered office address (if applicable) |       |
| **1.1 (b) – (ii)** | Registered website address (if applicable) |       |
| **1.1 (c)** | Trading Status:1. public limited company
2. limited company
3. limited liability partnership
4. other partnership
5. 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) - (ii)** | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |       |
| **1.1 (j) - (i)** | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |       |
| **1.1 (k)** | Trading name(s) that will be used if successful in this procurement |       |
| **1.1 (l)** | Relevant classifications (state whether you fall within one of these, and if so which one)1. Voluntary Community Social Enterprise (VCSE)
2. Sheltered Workshop
3. Public service mutual
 |       |
| **1.1 (m)** | Are you a Small, Medium or Micro Enterprise (SME)? | **[ ]** Yes**[ ]** No |
| **1.1 (n)** | Details of Persons of Significant Control (PSC), where appropriate: * Name;
* Date of birth;
* Nationality;
* Country, state or part of the UK where the PSC usually lives;
* Service address;
* The date he or she became a PSC in relation to the company (for existing companies 6 April 2016 should be used);
* Which conditions for being a PSC are met;
* Over 25% up to (and including) 50%,
* More than 50% and less than 75%,
* 75% or more.

(Please enter N/A if not applicable) |       |
| **1.1 (o)** | Details of immediate parent company:* Full name of the immediate parent company
* Registered office address (if applicable)
* Registration number (if applicable)
* Head office DUNS number (if applicable)
* Head office VAT number (if applicable)

(Please enter N/A if not applicable) |       |
| **1.1 (p)** | Details of ultimate parent company:* Full name of the ultimate parent company
* Registered office address (if applicable)
* Registration number (if applicable)
* Head office DUNS number (if applicable)
* Head office VAT number (if applicable)

(Please enter N/A if not applicable) |       |
| **Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.**  |

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

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| **Section 3** | **Grounds for discretionary exclusion**  |
| **Question no.** | **Question** | **Response** |
| **3.1** | **Regulation 57 (8)**The detailed grounds for discretionary exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions.Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. |
| **3.1(a)** | Breach of environmental obligations? | [ ]  Yes[ ]  NoIf Yes please provide details at 3.2 |
| **3.1 (b)** | Breach of social obligations?  | [ ]  Yes[ ]  NoIf Yes please provide details at 3.2 |
| **3.1 (c)** | Breach of labour law obligations? | [ ]  Yes[ ]  NoIf 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[ ]  NoIf Yes please provide details at 3.2 |
| **3.1(e)** | Guilty of grave professional misconduct? | [ ]  Yes[ ]  NoIf Yes please provide details at 3.2 |
| **3.1(f)** | Entered into agreements with other economic operators aimed at distorting competition? | [ ]  Yes[ ]  NoIf 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[ ]  NoIf Yes please provide details at 3.2 |
| **3.1(h)** | Been involved in the preparation of the procurement procedure? | [ ]  Yes[ ]  NoIf 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, which led to damages or other comparable sanctions? | [ ]  Yes[ ]  NoIf Yes please provide details at 3.2 |
| **3.1(j)****3.1(j) - (i)** | Please answer the following statementsThe organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria. | [ ]  Yes[ ]  NoIf Yes please provide details at 3.2 |
| **3.1(j) - (ii)** | The organisation has withheld such information. | [ ]  Yes[ ]  NoIf 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[ ]  NoIf Yes please provide details at 3.2 |
| **3.1(j)-(iv)** | The organisation has influenced the decision-making process of the NMRN to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to have negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | [ ]  Yes[ ]  NoIf 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** |

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| **Section 4** | **Economic and Financial Standing** |
| **Question no.** | **Question** | **Response** |
| **4.1**  | **Please confirm which of the following, as applicable to your organisation, you would be able to provide if requested?**1. **Organisations Trading for 3 Years Or More**

Full copies of the two or three most recent sets of approved and signed audited accounts that cover the last three years of trading, including:* A balance sheet
* A detailed profit and loss or income & expenditure account
* All other reports and notes to the accounts.

**The Company would like to see a minimum of 3 years of trading as an entity.**  | 1. [ ]
2. [ ]
3. [ ]
4. [ ]
5. [ ]

 Provide details  |
| **4.2** | Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering ‘Yes’ or ‘No’ that you meet the requirements set out.  | [ ]  Yes[ ]  No |
| * [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes)
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| **Section 5** | **Technical and Professional Ability** |
| **5.1** | Relevant experience and contract examples Please provide names of referees from 2 similar funds with assets of over £10m in size that can be contacted to provide a reference if the candidate reaches the final stages of selection.These can be any combination from either the public or private sector. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.If you cannot provide examples see question 6.3**(The forms are on the next page to complete)** |
| **Contract 1** |
| **Fund/Organisation** |       |
| **Point of contact in the organisation/fund** |       |
| **Position in the organisation** |       |
| **E-mail address** |       |
| **Description of Contract**  |       |
| **Fund Management Start date** |       |
| **Estimated Fund/Contract value** |       |
| **Contract 2** |
| **Name of Fund/Organisation** |       |
| **Point of contact in the organisation/fund** |       |
| **Position in the organisation** |       |
| **E-mail address** |       |
| **Description of Contract**  |       |
| **Fund Management Start date** |       |
| **Estimated Fund/Contract value** |       |
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| **6.2** | If you cannot provide at least one example for question 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. |
|       |
|  | If you have previously worked with the NMRN please give a brief statement of this work and when this was undertaken. |
| **6.3** |  |

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| **Section 7** | **Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015** |
| **Question no.** | **Question** | **Response** |
| **7.1** | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | [ ]  Yes[ ]  N/A |
| **7.2** | If you have answered yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | [ ]  YesPlease provide relevant the URL     [ ]  NoPlease provide an explanation      |

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| **Section 4: Additional Questions**Suppliers who self-certify that they meet the requirements to the additional questions will be required to provide evidence of this if they are successful at contract award stage. |
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| **4.1** | **Insurance** |
| **Question no.** | **Question** | **Response** |
| **a.** | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:Employer’s (Compulsory) Liability Insurance = **£5,000,000**Public Liability Insurance = **£5,000,000**Professional Indemnity Insurance = **£5,000,000** Product Liability Insurance = **£0** Please note the insurance cover values shall not be less than the amounts detailed above for each and every claim.\* It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders. | [ ]  Yes[ ]  No |

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| **4.2** | **Compliance with equality legislation** |
| **Question no.** | **Question** | **Response** |
| **a.** | Does your organisation comply with the requirements of the Equality Act 2010 (or equivalent legislation in the country in which you are located)? | [ ]  Yes[ ]  No |
| **b.** | In the last three years * Have any finding of unlawful discrimination, victimisation, harassment or failure to make reasonable adjustments, been made against your organisation by any court or employment tribunal (or in comparable proceedings in any other jurisdiction)?
* Has your organisation been the subject of a formal investigation by the Equality and Human Rights Commission?

If **yes**, please provide details including what steps your organisation took in consequence of this  | [ ]  Yes[ ]  No |
|       |

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| **4.3** | **Audit and Information Security** |
| **a.** | **Information Security Policies and Standards**The Provider will be required to provide a level of information security assurance for both NMRN Information and personal data/sensitive personal data which is compliant with current data protection legislation and information security best practice.Please explain1. How incidents, which may affect the security of NMRN Information and personal data/sensitive data are identified, reported and managed.
2. Does your organisation hold any security related certifications and/or accreditations e.g. ISO27001

**Response:** |
|       |
| **c.** | **Government-backed Cyber Essentials or Cyber Essentials Plus**Please confirm you have the Government-backed Cyber Essentials or Cyber Essentials Plus or equivalent.If no please confirm you are willing to put in place the Government-backed Cyber Essentials, Cyber Essentials Plus or equivalent before the contract commences.Further information is available on the Government-backed scheme: <https://www.gov.uk/government/publications/cyber-essentials-scheme-overview>  | [ ]  Yes[ ]  No[ ]  Yes |

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| **4.4** | **Quality Management** |
| **Question no.** | **Question** | **Response** |
| **a.** | Does your organisation have a recognised quality management certification e.g. BS/EN/ISO 9001 or equivalent?If **yes**, please provide details: | **[ ]** Yes**[ ]** No |
|       |
| **b.** | Does your organisation have a written Quality policy?If **yes**, please:a) Confirm that a copy of your organisation’s Quality policy will be provided on request.b) Provide details of how does your organisation communicate its quality policy to:* Those concerned with recruitment, training and promotion
* Employees, recognised trade unions or other representative groups of employees
* Prospective employees

(Maximum 250 words)If **no**, please provide details of the quality management processes and procedures your organisation uses to ensure that it is managed properly and that legal requirements are met (or explain why such processes and procedures are not in place):(Maximum 250 words) | **[ ]** Yes**[ ]** No**[ ]** Confirmed      |
|       |
| **c.** | Please provide details of how your organisation manages, monitors and ensures compliance with:* ***Document control and record keeping.***

 (Maximum 250 words) |
|       |
| **d.** | Do you have an Officer or Third Party responsible for your organisation’s quality?If **yes**, please provide details including name, qualifications & experience relevant to Quality: (Maximum 250 words) | **[ ]** Yes**[ ]** No |
|       |

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| **4.5** | **Business Continuity / Disaster Recovery** |
| **Question no.** | **Question** | **Response** |
| **a.** | Does your organisation have a written Business Continuity / Disaster Recovery policy? | [ ]  Yes[ ]  No |
| If **yes**, please:1. Confirm that you have in your organisation’s a Business Continuity / Disaster Recovery policy and evidence of its implementation and any non-compliance procedures.

If **no**, please provide details of the Business Continuity / Disaster Recovery provisions, processes and procedures your organisation would use to identify and mitigate adverse conditions, both internal and external, to ensure the continuation of operations (or explain why such processes and procedures are not in place):(Maximum 500 words) | [ ]  Yes[ ]  No |

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| **4.6** | **Environmental Management** |
| **Question no.** | **Question** | **Response** |
| **a.** | Does your organisation comply with the environmental legislation and/or regulations that apply to your organisation and its activities? | [ ]  Yes[ ]  No |
| **b.** | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)? If **yes**, please provide details including any remedial action or changes you have made as a result of conviction or notices served. | [ ]  Yes[ ]  No |
|       |

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| **Section 5: Investment Management Question**The following Supplier Questions are specific to this tender which the HMS Caroline Preservation Company would like all suppliers to complete, **submissions which fail to meet or complete the below criteria will not be considered further.** |
|  |
| **5.1** | **Insurance** |
| **Question no.** | **Question** | **Response** |
| **a.** | Regulated in the UK by the FCA or equivalent? | [ ]  Yes[ ]  No |
| **B** | Is approved by the FCA? | [ ]  Yes[ ]  No |

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| **5.2** | **Asset Management** |
| **Question no.** | **Question** | **Response** |
| **a.** | Assets under management of at least £2.5bn, of which at least £250m should be for UK based charitable institutions | [ ]  Yes[ ]  No |
|  |

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| **5.3** | **UK Stewardship Code** |
| **Question no.** | **Question** | **Response** |
| **a.** | Published a statement of commitment to the UK Stewardship Code; | [ ]  Yes[ ]  No |
|  |

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| **5.4** | **UK Stewardship Code** |
| **Question no.** | **Question** | **Response** |
| **a.** | Signatories to the United Nations Principles of Responsible Investment | [ ]  Yes[ ]  No |
|  |

1. Response to Quality Evaluation Criteria

2.1 Technical/Quality Evaluation Criteria

Tenderers must use the template below for their response to quality evaluation criteria. Responses in any other format externally from this tender will not be accepted.

If you require to link to an appendix documents as part of your submission please note clearly the name of the document, it should be for illustrative process only.

The Full Evaluation Criterion and the weighting of them can be found in Annex B of the ITT on Page 33.

All tender documentation is saved in PDF format, the NMRN who are managing the procedure are unable to send out the MS Word version of the document. Please use MS Word or Google Drive to open the PDF to then be saved as a workable document.

All criterion responses should be detailed, which can include diagrams, charts in the response tables below. If there is difficulty entering the information please provide on a separate document and reference it in the table.

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| **Criterion 1** | **Please provide, detail and explain…****Mandate Solution****•** Please detail your proposed approach for the portfolio, including how it would be implemented and which products or strategies you are proposing for the mandate.• Comment on the suitability of the approach proposed given the information set out in the responsible investment section above. • Would you implement this mandate via a pooled or segregated approach, given the investment requirements?• Please outline the expected annual total return, including the income yield the proposed portfolio is anticipated to generate. |
| Response[2500word limit]This includes diagrams, charts etc. |  |

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| **Criterion 2** | **Please provide, detail and explain…****Investment Process*** Please set out in detail your investment process, including your investment philosophy and research capabilities in each area.
* Please describe your risk management processes in terms of risk measurement software/analysis, other internal processes e.g. peer review and quality standards, and appropriate regulatory administration.
 |
| Response[2500word limit]This includes diagrams, charts etc. |  |

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| **Criterion 3** | **Please provide, detail and explain…****Firm Background and Business Management****•** Please state your office location (s), clearly indicating those that would be involved in day to day investment management for the mandate.• Detail contingency arrangements to ensure continuity of service delivery.• Please indicate the size of the assets under management (as at 31 December 2021) for your proposed products/strategies indicating the split between charities, pension funds and private clients. |
| Response[2500word limit]This includes diagrams, charts etc. |  |

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| **Criterion 4** | **Please provide, detail and explain…****Key Decision Makers and Personnel*** Please state the number of investment professionals employed by your organisation (worldwide, in the UK and directly involved with managing your proposed products/strategies).
* Please provide details of the organisational structure of your investment personnel including how research/portfolio management/administration responsibilities etc. are split.
* Please state the size of the teams and research resources that would be directly involved in this mandate.
* Please provide details of the individuals who would be specifically responsible for the Company’s investments, including reference to names, the specific roles they would fulfil, and industry experience and professional qualifications.
 |
| Response[2500word limit]This includes diagrams, charts etc. |  |

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| --- | --- |
| **Criterion 5** | **Please provide, detail and explain…****Investment Performance*** Please detail past performance for comparable funds/mandates. The information should show performance of the proposed strategy versus the relevant benchmark.
* This information should be provided for the last ten discrete calendar years and also on a 1, 3, 5- and 10-year rolling basis (as at the end of Q3 2022).
 |
| Response[2500-word limit]This includes diagrams, charts etc. |  |

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| **Criterion 6** | **Please provide, detail and explain…****Fee Structure*** Please detail the annual management charge you propose for this mandate, on both a pooled and segregated basis if applicable. Please quote the fee as a % of assets and in £ terms given the assumed mandate size, and ensure that the fee quoted is your best offer.
* Detail all other associated fees including transaction and administration charges, and include underlying costs for any collective funds being proposed. Information on all fees should be disclosed in full and presented in a format compliant with the MiFID II costs & charges disclosure rules.
 |
| Response[2500word limit]This includes diagrams, charts etc.  |  |

1. Response to Commercial Evaluation Criteria

3.1. Contractual Information

3.1.1 Please confirm whether you accept the terms and conditions of the Tender Documentation and all relevant Annex’s within the ITT in their current form and without any amendments.

|  |  |  |  |
| --- | --- | --- | --- |
| **Yes** | ☐ | **No** | ☐ |

A Yes response will score a Pass, and a No response will score a Fail

3.1.2 Full legal name, address and website of the Potential Provider in whose name the tender will be submitted (the Prime or Single Supplier):

|  |  |
| --- | --- |
| **Company Name** |  |
| **Address from which the contract will be delivered** |  |
| **Town/City** |  |
| **Postcode** |  |
| **Country** |  |
| **Website** |  |

3.1.3 Name, position, telephone number and email address of the main contact for this project:

|  |  |
| --- | --- |
| **Name** |  |
| **Position** |  |
| **Telephone Number** |  |
| **Fax Number** |  |
| **Email Address** |  |

3.1.4 Current legal status of Potential Provider (e.g. partnership, private limited company, etc.)

|  |  |
| --- | --- |
|  | **Please tick one box** |
| **Sole Trader** |  |
| **Partnership** |  |
| **Public Limited Company** |  |
| **Private Limited Company** |  |
| **Public Sector (including Registered Charities, NDPBs, Housing Associations)** |  |
| **Other (*please state)*** |  |

3.1.5 Date and place of formation of the Potential Provider and, if applicable, registration under the Companies Act 2006[[1]](#footnote-1).

|  |  |
| --- | --- |
| **Date of Formation** |  |
| **Place of Formation** |  |
| **Date of Registration** |  |
| **Company Registration Number** |  |
| **Registered VAT Number** |  |
| **Registered Office** |  |
| **Principal Place of business** |  |

Annex E

Form of Tender

**To: National Museum of the Royal Navy (as NMRN Operations)**

**Dear Sir/Madam**

**TENDER FOR:**

I/We the undersigned, hereby Tender and offer to perform the proposed tender, details of which was set out in the ITT supplied to me/us for the purpose of Tendering for our own proposed Contract and agree to do so in accordance with the terms of the ITT.

I/We confirm that I/We will provide the Contract at the price provided in my/our Tender. I/We confirm that the price provided in my/our Tender will not be subject to any increase otherwise than as determined in accordance with the Contract.

I/We confirm that this Tender will remain valid and open for acceptance without variation for at least 90 days from the Closing Date for the receipt of Tenders.

I/We confirm that we agree the Contract and undertake that in the event of our Tender being accepted to execute the Contract (subject to any minor amendments which have been accepted by the NMRN) within four (4) weeks from the date on which I/we receive notification that our Tender is successful.

**I/We confirm that attached to this Tender are the following:**

* **Completed Supplier Questionnaire (Annex D, Section 1)**
* **Completed Response to Quality Evaluation Criteria (Annex D, Section 2)**
* **Completed Response to Commercial Evaluation Criteria (Annex D, Section 3)**
* **Completed Certificate of Non-Collusion (Annex F)**

I/We confirm that the information supplied to you and forming part of this Tender, including, for the avoidance of doubt, any information supplied to you as part of my/our initial expression of interest in Tendering, was true when made and remains true and accurate in all respects.

I/We understand that any false representations, including but not limited to, changes to forms, could result in this Tender being rejected or subsequent contract termination.

I/We confirm and undertake that if any information supplied becomes untrue or misleading that I/We will notify you immediately and will update such information as is required.

I/We confirm acceptance of the terms and conditions provided in Annex C without amendment and agree to be bound by such Contract should the HMS Caroline Preservation Company and NMRN elect to accept my/our Tender.

|  |  |
| --- | --- |
| Signed |  |
| Name |  |
| Position in Organisation |  |
| Duly authorised to sign tenders for and on behalf of [Name] |  |
| Registered Address |  |
| Nationality of Company |  |
| Date |  |

Annex F

Certificate of Non-Collusion

**TO: National Museum of the Royal Navy (as NMRN Operations)**

**RE:**

The essence of the public procurement process is that the NMRN shall receive bona fide competitive tenders from all Tenderers. We, the undersigned, hereby certify that this is a bona fide bid and (except as authorised in the Invitation to Tender) we have not, and insofar as we are aware neither has any of our (or any of our proposed sub-Tenderer’s) officers, employees, servants or agents:

1. Entered into any agreement with any other person with the aim of preventing bids being made or as to the fixing or adjusting of the amount of any bid or the conditions on which any bid is made; or
2. Informed any other person, other than the person calling for this bid, of the amount or the approximate amount of the bid, except where the disclosure, in confidence, of the amount of the bit was necessary to obtain quotations necessary for the preparation of the bid for insurance, for performance bonds and/or contract guarantee bonds or for professional advice required for the preparation of the bid; or
3. Caused or induced any person to enter into such an agreement as is mentioned in paragraph (a) above or to inform us of the amount or the approximate amount of any rival bid for the Contract; or
4. Committed an offence under any applicable laws, statutes, regulations and codes relating to anti-bribery and anti-corruption including but not limited to the Bribery Act 2010; or
5. Offered or agreed to pay or give any sum of money, inducement or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other Bid or proposed Bid for the works any act or omission; or
6. Canvassed any other persons referred to in paragraph (a) above in connection with the Contract; or
7. Contacted any officer of NMRN or their agents about any aspect of the contract including (but without limitation) for the purposes of discussing the possible transfer to the employment of the Tenderer of such officer or agent for the purposes of the Framework Contract or for soliciting information in connection with the Contract.

We also undertake that we shall not procure the doing of any of the acts mentioned in paragraphs 1 to 7 above before the hour or date specified for the return of the bid nor (in the event of the bid being accepted) shall we do so while the resulting contract(s) continue in force between us (or our successors in title) and HMS Caroline Preservation Company and NMRN.

In this certificate, the word ‘person’ includes any person, body or association, corporate or incorporate and ‘agreement’ includes any arrangement whether formal or informal and whether legally binding or not

|  |  |
| --- | --- |
| Signed |  |
| Name |  |
| Position in Organisation |  |
| For and behalf of |  |
| Date |  |

1. All bidders must be approved by the FCA. [↑](#footnote-ref-1)