****

**UK Biobank Limited**

**Procurement Name:** Automated Large-Scale Ultra-Low Temperature Biological Sample Archive

**Procurement Reference Number:** UKBB017

**Procurement Procedure:** Open

**Invitation to Tender (ITT):**

Volume 2: Bidder Questionnaire

**Table of Contents**

|  |  |  |  |
| --- | --- | --- | --- |
| Section | Contents | | Page No |
| **1** | Standard Selection Questionnaire | | 2 |
|  |  | |  |
| Notes for completion | | | 3 |
|  |  | |  |
| Part 1 | Potential Supplier information | | 5 |
| Section 1 | 1.1 | Potential Supplier information | 5 |
|  | 1.2 | Bidding model | 7 |
|  |  | |  |
| Part 2 | Exclusion Grounds | | 9 |
| Section 2 | Grounds for mandatory exclusion | | 9 |
| Section 3 | Mandatory and discretionary grounds relating to the payment of taxes and social security contributions | | 10 |
| Section 4 | Grounds for discretionary exclusion | | 11 |
|  |  | |  |
| Part 3 | Selection Questions | | 13 |
| Section 5 | Economic and Financial Standing | | 13 |
| Section 6 | Technical and Professional Ability | | 14 |
| Section 7 | Additional Questions | | 16 |
|  | 7.1 | Insurance | 16 |
|  | 7.2 | Health and Safety | 16 |
|  |  | |  |
| Contact Details and Declaration of Consent | | | 17 |
| Form of Tender Declaration | | | 18 |
| Conflict of Interest Declaration | | | 19 |
| Contract Confirmation Declaration | | | 20 |
|  |  | |  |
| **2** | **Award Questions** | | 21 |
| A | Mandatory Criteria | | 22 |
| B | Quality Questions | | 33 |
| C | Price Criteria | | 41 |
|  |  | |  |
| Appendix 1 | Exclusion grounds: Public Procurement | | 42 |

This ITT uses the Crown Commercial Service Standard Selection Questionnaire, as required by the Public Contracts Regulations 2015 (as amended) (“PCR 2015”).

# Standard Selection Questionnaire

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

The SQ template includes a self-declaration, made by you (the potential supplier), that none of the grounds for exclusion apply[[1]](#footnote-2). If any of the grounds for exclusion do apply, there is an opportunity to explain any measures you have taken to demonstrate your reliability notwithstanding the existence of a ground for exclusion (we call this self-cleaning).

We require all the organisations that form part of your bidding group/consortium and each subcontractor that you are relying on to meet the selection criteria to provide a completed Part 1 and Part 2. This means that where you are joining a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Subcontractors that you rely on to meet the selection criteria, must also complete a self-declaration (although subcontractors 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 ITT provides 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 subcontractors, you should complete all of the selection questions on behalf of the group/consortium and/or any subcontractors.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay we reserve the right to exclude you from the procurement process, including where an award decision has already been notified, and award to another supplier.

**Consequences of misrepresentation**

If you 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.

**Procurement Name: Automated Large-Scale Ultra-Low Temperature Biological Sample Archive**

**Procurement Reference Number: UKBB017**

**Procurement Procedure: this is an Open procedure under Regulation 27 of PCR 2015**.

**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 PCR 2015 (also 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 subcontractors, 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 member of your bidding group/consortium, and any subcontractor that is being relied on to meet the selection criteria, must complete and submit the Contact Details and Declaration and the Conflict of Interest Declaration.
6. For the mandatory exclusion grounds only (Q2.1(a)), you must complete the declaration for all relevant persons and entities. There are two categories of persons and entities:

* members of your administrative, management or supervisory board; secondly, entities and persons who have powers of representation, decision or control. You must decide, depending on the nature and structure of the entity or person who is bidding, which entities and persons this applies to in your particular circumstances. Clearly, members of your administrative, management or supervisory board should be easily identifiable and will cover company directors (or equivalent for other types of corporate entities) and members of an executive board.
* the second category of those with powers of representation, decision or control, is likely to be more complicated. As an illustration, entities or persons with 25% or more shareholding (or equivalent for other types of corporate entities) are likely to have powers or representation, decision or control, although those with a lower shareholding may still have the relevant powers depending on their particular rights. Similarly, your ultimate parent company (or equivalent for other types of corporate entities) is likely to have powers of representation, decision or control. Depending on your particular structure, intermediate parent companies who do not have a direct shareholding, directors or members of an executive board of your immediate parent company (for example in the case of an SPV set up specifically to bid for a particular contract), and holders of mortgages or liens may be covered. It isn’t necessary to identify which entities and persons you think are covered but you must be satisfied that your declaration is made in respect of all of those that are covered.

1. All subcontractors that you rely on to meet the selection criteria are required to complete their own Part 1 and Part 2[[2]](#footnote-3).

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

When providing details of contracts in answering Section 6 (Technical and Professional Ability), the supplier agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.

UKB reserves the right to contact the named customer contacts in Section 6 regarding the contracts included in Section 6. The named customer contacts do not owe UKB any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.

The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

1. The Public Procurement Review Service allows government suppliers and potential government suppliers to raise concerns anonymously about unfair public sector procurement practice. The government can then investigate and resolve these concerns for contracting authorities as listed in [Schedule 1](http://www.legislation.gov.uk/uksi/2015/102/schedule/1/made) of the PCR 2015. To use the Public Procurement Review Service, [read the terms](https://www.gov.uk/government/publications/mystery-shopper-scope-and-remit) and email [publicprocurementreview@cabinetoffice.gov.uk](mailto:publicprocurementreview@cabinetoffice.gov.uk) or phone 0345 010 3503.

**Assessment of Economic and Financial Standing**

The assessment of Economic and Financial Standing will only be undertaken on the proposed winning supplier, as set out in Volume 1 of the ITT.

**Verification of Information Provided**

Whilst reserving the right to request information at any time throughout the procurement process, when requesting evidence that the supplier can meet the specified requirements (such as the questions in Section 6 relating to Technical and Professional Ability) UKB will only request such evidence from the proposed successful supplier, as set out in Volume 1 of the ITT.

|  |  |  |
| --- | --- | --- |
| **Part 1: Your information and the bidding model.** | | |
| You must answer all questions in Parts 1 and 2 of this ITT Volume 2. If you are the supplier, you must answer all questions in Part 3 as well. | | |
| Suppliers must ensure that every organisation on which they will rely to meet the selection criteria completes and submits their own answers for Part 1 and Part 2, the Contact Details and Declaration and the Conflict of Interest Declaration. | | |
| **Section 1** | **Your information** | |
| **Question**  **number** | **Question** | **Response** |
| 1.1(a) | Name (if registered, please give the registered name) |  |
| 1.1(b) – (i) | Registered address (if applicable) or head office address |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status  a) - public limited company  b) - private 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 (if applicable) or date of formation. |  |
| 1.1(e) | Registration number (company, partnership, charity, etc if applicable). |  |
| 1.1(f) | Registered VAT number. |  |
| 1.1(g) - (i) | Are you registered with the appropriate professional or trade register(s) specified for this procurement in the Member State where your organisation is established? | Yes **▢**  No **▢**  N/A **▢** |
| 1.1(g) - (ii) | If you responded yes to 1.1(g) - (i), please provide the relevant details, including the name of the register and registration number(s), and if evidence of registration is available electronically, please provide  - the website address,  - issuing body  - reference number. |  |
| 1.1(h) - (i) | For procurements for services only, is it a legal requirement in the country where you are established for you to:  a) possess a particular authorisation, or  b) be a member of a particular organisation,  to provide the requirements specified in this procurement? | Yes **▢**  No **▢** |
| 1.1(h) - (ii) | If you responded yes to 1.1(h) - (i), please provide additional details of what is required, confirmation that you have complied with this and, if evidence of compliance is available electronically, please give the website address, issuing body and reference number. |  |
| 1.1(i) | 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(j) | Are you a Small, Medium or Micro Enterprise (SME)[[3]](#footnote-4)? | Yes **▢**  No **▢** |
| 1.1 (k) | Details of Persons with Significant Control (PSC)[[4]](#footnote-5), where appropriate[[5]](#footnote-6):  - 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;  - 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(l) | Details of your immediate parent company:  - Full name of immediate parent company,  - Registered or head office address,  - Registration number (if applicable),  - VAT number (if applicable),  Please enter N/A if not applicable) |  |
| 1.1(m) | Details of ultimate parent company:  - Full name of ultimate parent company,  - Registered or head office address,  - Registration number (if applicable),  - 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 proposed successful supplier and all relevant persons and entities (as described above). | | |
| **Please provide the following information about your approach to this procurement:** | | |
| **Section 1 1 (cont.)** | **Bidding model** |  |
| **Question**  **Number** | **Question** | **Response** |
| 1.2 | Please indicate if you are bidding as a single supplier or as part of a group or consortium?  *If you are bidding as a single supplier please go to Q 1.3.*  If you are bidding as part of a group or consortium (including where you intend to establish a legal entity to deliver the contract, or you are a subcontractor), please tell us:   1. The name of the group/consortium. 2. The proposed structure of the group/consortium, including the legal structure where applicable. 3. The name of the lead member in the group/consortium. 4. Your role in the group/consortium (e.g. lead member, consortium member, subcontractor). 5. If you are the lead member in the group/consortium, whether you are relying on other consortium members to meet the selection criteria (i.e. are you relying on other consortium members for economic and technical standing and/or technical and professional ability?) and, if so, which criteria you are relying on them for |  |
| 1.3 | If you are proposing to use subcontractors please provide the details for each subcontractor[[6]](#footnote-7).  - Name  - Registration number  - Registered or head office address,  - Trading status   1. Public limited company 2. Private limited company 3. Limited liability partnership 4. Other partnership 5. Sole trader 6. Third sector 7. Other (please specify your trading status)   - Registered VAT number  - SME (Yes/No)  - The role each subcontractor will take in providing the supplies and/or services e.g. key deliverables - if known  - The approximate % of contractual obligations assigned to each subcontractor, if known  - Is the subcontractor being relied upon to meet the selection criteria (i.e. are you relying on the subcontractor for economic and technical standing and/or technical and professional ability?) and, if so, which criteria are you relying on them for? |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Part 2: Exclusion Grounds** | | | |
| Please answer the following questions in full. Note that every organisation that forms part of your bidding group/consortium, as well as every organisation that is being relied on (including subcontractors being relied on) to meet the selection criteria must complete and submit responses to Part 1 and Part 2, the Contact Details and Declaration and the Conflict of Interest Declaration. | | | |
| **Section 2** | **Grounds for mandatory exclusion** | | |
| **Question**  **Number** | **Question** | **Declaration** | |
| 2.1 (a) | Within the past five years, anywhere in the world, have you or any person who:   * is a member of your administrative, management or supervisory body, or * has powers of representation, decision or control in your organisation[[7]](#footnote-8), * been convicted of any of the offences within the summary below and listed in full 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 **▢**  No **▢** | |
|  | Corruption. | Yes **▢**  No **▢** | |
|  | Terrorist offences or offences linked to terrorist activities. | Yes **▢**  No **▢** | |
|  | Money laundering or terrorist financing. | Yes **▢**  No **▢** | |
|  | Child labour and other forms of trafficking in human beings. | Yes **▢**  No **▢** | |
|  | Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales or Northern Ireland. | Yes **▢**  No **▢** | |
|  | Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland. | Yes **▢**  No **▢** | |
| 2.1(b) | **If you have answered yes to any part of question 2.1(a), please provide further details,** including:   * date of conviction and the jurisdiction, * which of the grounds listed the conviction was for, * the reasons for conviction, * the identity of who has been convicted.   If the relevant documentation is available electronically please provide:   * the web address, * issuing authority, * precise reference of the documents. |  | |
| 2.1(c) | If you have answered yes to any part of the question above please explain what measures have been taken to demonstrate your reliability despite the existence of relevant grounds for exclusion (Self cleaning). |  | |
| **Section 3** | **Mandatory and discretionary grounds relating to the payment of taxes and social security contributions** | | |
| The detailed grounds for mandatory and discretionary exclusion of an organisation for non-payment of taxes and social security contributions, 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), and should be referred to before completing these questions. | | | |
| **Question**  **number** | **Question** | | **Declaration** |
| 3.2(a) | Please confirm that you have met all your obligations relating to the payment of taxes and social security contributions, both in the country in which you are established and in the UK.  If documentation is available electronically please provide:   * the web address, * issuing authority, * precise reference of the documents | | Yes **▢**  No **▢** |
| 3.2(b) | If you have answered no to 3.2(a) please provide further details including the following:   * Country concerned, * what is the amount concerned * how the breach was established, i.e. through a judicial or administrative decision or by other means. * if the breach has been established through a judicial or administrative decision please provide the date of the decision, * if the breach has been established by other means please specify the means. | |  |
| 3.3 | Please also confirm whether 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. | | Yes **▢**  No **▢** |
| Please Note: We reserve our right to exclude your bid where we can demonstrate by any appropriate means that you are in breach of your obligations relating to the payment of taxes or social security contributions | | | |

|  |  |  |
| --- | --- | --- |
| **Section 4** | **Grounds for Discretionary Exclusion** | |
| 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), and should be referred to before completing these questions. | | |
| **Question**  **number** | **Question** | **Declaration** |
| 4.1 | Within the past three years, anywhere in the world, have any of the situations summarised below and listed in full on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf) applied to you? |  |
| 4.1(a) | Breach of environmental obligations?  To note that environmental law obligations include Health and Safety obligations. See [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | Yes **▢**  No **▢** |
| 4.1(b) | Breach of social law obligations? | Yes **▢**  No **▢** |
| 4.1(c) | Breach of labour law obligations? | Yes **▢**  No **▢** |
| 4.1(d) | Bankruptcy or subject of insolvency? | Yes **▢**  No **▢** |
| 4.1(e) | Guilty of grave professional misconduct? | Yes **▢**  No **▢** |
| 4.1(f) | Distortion of competition? | Yes **▢**  No **▢** |
| 4.1(g) | Conflict of interest? | Yes **▢**  No **▢** |
| 4.1(h) | Been involved in the preparation of the procurement procedure? | Yes **▢**  No **▢** |
| 4.1(i) | Prior performance issues? | Yes **▢**  No **▢** |
| 4.1(j)  4.1(j) - (i)  4.1(j) - (ii)  4.1(j) –(iii)  4.1(j)-(iv) | Do any of the following statements apply to you ?  You have been 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.  You have withheld such information.  You are not able, without delay, to submit documents if/when required.  You have undertaken to unduly influence the decision-making process of the contracting authority to obtain confidential information that may confer upon you undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes **▢**  No **▢**  Yes **▢**  No **▢**  Yes **▢**  No **▢**  Yes **▢**  No **▢** |
| 4.2 | You are a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015 if you carry on your business, or part of your business in the UK, supplying goods or services and you have an annual turnover of at least £36 million.  If you are a relevant commercial organisation please -   * confirm that you have published a statement as required by Section 54 of the Modern Slavery Act. * confirm that the statement complies with the requirements of Section 54 and any guidance issued under Section 54. | Yes **▢**  No **▢**  Yes **▢**  No **▢** |
| 4.3 | If your latest published statement is available electronically please provide:   * the web address * precise reference of the documents |  |
| 4.4 | If you have answered YES to any of the questions in 4.1, or NO to any of the questions in 4.2, please explain what measures have been taken to demonstrate your reliability despite the existence of a relevant ground for exclusion (Self cleaning). |  |

|  |  |  |
| --- | --- | --- |
| **Part 3: Selection Questions** | | |
| **Section 5** | **Economic and Financial Standing** | |
| **Question**  **number** | **Question** | **Response** |
| 5.1 | If documentary evidence of economic and financial standing is available electronically (e.g. financial statements filed with Companies House), please provide:   * the web address * issuing authority * precise reference of the documents |  |
| 5.2 | If documentary evidence of economic and financial standing is not available electronically, please provide a copy of your detailed accounts for the last two years (audited if required by law).  Also, for any other person or entity on whom you are relying to meet the selection criteria relating to economic and financial standing, please provide a copy of their detailed accounts for the last two years (audited if required by law). |  |
| 5.3  5.3(a)  5.3(b) | If you cannot provide an electronic link to your audited accounts (5.1) and cannot provide a copy (5.2), please provide any of the following alternatives:  A statement of your annual turnover, Profit and Loss Account/Income statement, Balance Sheet/statement of Financial Position and Statement of Cash Flow for the most recent year(s) of trading and a bank letter outlining the current cash and credit facility position.  Alternative information to evidence economic and financial standing (e.g. forecast financial statements and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). |  |
| 5.4 | 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 in the procurement documents. | Yes **▢**  No **▢** |
| 5.5 | Where you are relying on another member of your bidding group/consortium or any sub-contractors or other security in order to meet the selection criteria relating to economic and financial standing, please confirm that the relevant person or entity is willing to provide a guarantee or other security if required | Yes **▢**  No **▢** |

|  |  |
| --- | --- |
| **Section 6** | **Technical and Professional Ability** |
| **Question**  **number** | **Question** |
| 6.1 | **Relevant experience and contract examples…………………………………………**  Please provide details of up to three example contracts (from the past three years) from either the public or private sectors; voluntary, charity or social enterprise (VCSE), that are relevant to our requirement to obtain an automated large-scale ultra-low temperature biological sample archive. For the purposes of this question only, “large-scale” means an archive with a minimum capacity of one (1) million samples. VCSEs may include examples of grant-funded work.  ……………………………………………………….  The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below...  .……………………………………  For consortium bids, or where you have indicated that you are relying on a subcontractor in order to meet the technical and professional ability, you should provide relevant examples of where the consortium/subcontractors have delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or members of the Special Purpose Vehicle or subcontractors (three examples are not required from each member).…  ………………………………  Where the supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or subcontractor(s) who will deliver the contract.  **For each contract please provide the following information**  If you cannot provide examples see question 6.2 |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | **Contract 1** | **Contract 2** | **Contract 3** |
| Name of customer organisation who signed the contract | |  |  |  |
| Name of supplier who signed the contract | |  |  |  |
| Point of contact in the customer’s organisation | |  |  |  |
| Position in the customer’s organisation | |  |  |  |
| E-mail address | |  |  |  |
| Direct phone number | |  |  |  |
| Description of contract (storage temperature, capacity, and products used) | |  |  |  |
| Contract start date | |  |  |  |
| Contract completion date | |  |  |  |
| Estimated contract value | |  |  |  |
| 6.2 | If you cannot provide at least one example of previous contracts for questions 6.1 that are relevant to our requirement, in no more than 500 words please provide an explanation for this and how you meet the selection criteria relating to technical and professional ability e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. | | | |
|  |  | | | |
| 6.3 | Where you intend to subcontract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your subcontractor(s).  The description should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment and whether you are a signatory of the UK Prompt Payment Code (or have given commitments under other equivalent schemes). | | | |
|  |  | | | |

|  |  |  |
| --- | --- | --- |
| **Section 7** | **Additional Questions** | |
| **Question**  **number** | **Question** | **Response** |
| **7.1** | **Insurance**  Please confirm 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 = £5m \*  Public Liability Insurance = £20m  Professional Indemnity Insurance = £20m  Product Liability Insurance = £20m  Either:  (i) cyber liability insurance (or equivalent); or  (ii) network security and privacy liability cover under professional indemnity insurance (or equivalent),  in each case, covering third party liability and first party loss resulting from cyber related risks including: theft of data, cyberattacks, ransomware, theft of intellectual property, and cost of dealing with regulatory investigations following a data security breach = £5m  \*There is a legal requirement for certain employers to hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. See the Health and Safety Executive website for more information:  <http://www.hse.gov.uk/pubns/hse39.pdf> | Yes **▢**  No **▢**  Yes **▢**  No **▢**  Yes **▢**  No **▢**  Yes **▢**  No **▢**  Yes **▢**  No **▢** |
| **7.2** | **Health and Safety**  Please describe the arrangements you have in place to manage health and safety effectively and control significant risks relevant to the requirement (including risks from the use of contractors, where relevant). Please use no more than 500 words. | |
|  |  | |

**Contact Details and Declaration**

I declare that to the best of my knowledge the answers submitted and information contained in this completed document are correct and accurate, including Parts 1, 2 and 3.

I declare that, upon request and without delay I will provide the certificates and/or documentary evidence referred to in this document except where this documentation can be accessed by the contracting authority via a national database free of charge or the contracting authority already possesses the documentation.

I understand that the information will be used in the selection process to assess my suitability 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.

I am aware of the consequences of serious misrepresentation.

I declare that I am duly authorised to sign and submit this declaration on behalf of my organisation.

**Contact details of those making the declaration**

|  |  |
| --- | --- |
| Completed by: | |
| Contact name |  |
| Role in organisation |  |
| Phone number |  |
| E-mail address |  |
| Signature (electronic signature is acceptable but typed name is not) |  |
| Date |  |

**This declaration needs to be completed by every member of your bidding group/consortium, and any subcontractor that is being relied on to meet the selection criteria (as applicable to your bid team)**

|  |  |
| --- | --- |
| **Form of Tender Declaration** | |
| **Name of Supplier** |  |
| I accept the conditions and requirements set out in the Invitation to Tender (Volume 1 and Volume 2) and confirm that we have submitted our Bid on this basis.  I understand and accept that a misrepresentation in any part of its dealings with, or responses to, UKB will result in our exclusion from this procurement. I understand that UK Biobank reserve the right to terminate any contract awarded pursuant to this procurement process if it is discovered that I or we have made any material misrepresentation in our Bid or this Form of Tender Declaration.  I certify that we have complied with and will continue to comply with the UKB procurement rules set out in Section 5 of Volume 1 of the ITT and in particular certify that we have not done any of the acts set out in paragraphs (a)-(h) of Section 5.4 of ITT Volume 1 and we undertake that we will not do so at any time.  I understand that all Bids submitted shall remain valid for acceptance by UK Biobank for a period of six months from the Bid submission date, and that submission of a Bid shall be deemed to constitute acceptance of this requirement.  I declare that I am duly authorised to sign and submit this Form of Tender Declaration on behalf of the Bidder (including all consortia members and any relied upon third parties (as applicable to the bid team)). | |
| Completed by: | |
| Contact name |  |
| Role in organisation |  |
| Phone number |  |
| E-mail address |  |
| Signature (electronic signature is acceptable but typed name is not) |  |
| Date |  |

|  |  |
| --- | --- |
| **Conflict of Interest Declaration**  Please refer to Section 5.6 of ITT Volume 1 for a non-exhaustive list of the situations in which a potential conflict of interest may arise. | |
| **Name of Supplier** |  |
| Please outline any potential, actual or perceived conflicts of interest by providing full details here, including what the conflict is and proposals for how it might be resolved.  [If no potential conflict of interest has been identified, please state “No potential conflict of interest has been identified”.]  I declare that I am duly authorised to sign and submit this declaration on behalf of my organisation. | |
| Completed by: | |
| Contact name |  |
| Role in organisation |  |
| Phone number |  |
| E-mail address |  |
| Signature (electronic signature is acceptable but typed name is not) |  |
| Date |  |

**This declaration needs to be completed by every member of your bidding group/consortium, and any subcontractor that is being relied on to meet the selection criteria (as applicable to your bid team)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Contract Confirmation Declaration**  The contractual terms applicable to this procurement are those provided as part of the ITT (subject to any clarifications issued and/or amendments made by UKB).  In submitting a Bid in response to the ITT, Bidders should not amend or qualify any terms or conditions in the contract issued with the ITT (or as may have been clarified and/or amended by UKB).  Any other terms or conditions or any general reservations which may be printed on any correspondence issued by you in connection with this Bid or any contract resulting therefrom shall not be applicable. | | | |
| **Name of Supplier** |  | | |
| Does your organisation accept the terms and conditions of the contract as issued with the ITT (subject to any clarifications issued and/or amendments made by UKB)? | | **Yes** | **No** |
|  |  |
| I declare that I am duly authorised to sign and submit this Contract Confirmation Declaration on behalf of the Bidder (including all consortia members and any relied upon third parties (as applicable to the bid team)). | | | |
| Completed by: | | | |
| Contact name |  | | |
| Role in organisation |  | | |
| Phone number |  | | |
| E-mail address |  | | |
| Signature (electronic signature is acceptable but not typed name) |  | | |
| Date |  | | |

**2 Award Questions**

As highlighted in ITT Volume 1, Bidders should submit a full response to all of the award questions. The response should give sufficient detail for a full evaluation to be made.

Responses should be typed into the boxes below each question. Boxes may be expanded to fit answers and additional documents (including by way of supporting evidence) can be referenced. However, responses should be concise and relevant. Bidders should ensure that all areas raised in the tender documentation are included in their response.

Bidders should avoid providing excessively long responses to any questions and should avoid including irrelevant material or generic catalogues (which, if received, will not be reviewed or taken into consideration by UKB).

When evaluating Bids, UKB will only consider information provided in response to this ITT. In compiling their Bid, Bidders should assume that UKB has no prior knowledge of the Bidder, its practice or reputation or its involvement in existing supplies, services, projects and existing or previous procurements.

|  |  |  |  |
| --- | --- | --- | --- |
| **SECTION A – MANDATORY CRITERIA**  In addition to narrative responses requested to subsequent scored quality questions (Section B), Bidders are required to answer ‘Yes’ or ‘No’ to the following questions, which confirm compliance of the Bid with UKB’s minimum requirements as set out in the Specification, as referenced below.  A Bidder who cannot meet these minimum requirements will not be awarded the Contract. UKB’s minimum requirements are highlighted in the Specification using the term ‘must’, and cross-referenced to the Specification below.  UKB reserves the right to undertake appropriate due diligence to verify the responses to these questions and require supporting evidence to be provided by a Bidder where UKB considers appropriate (and where this has not been provided as part of a Bidder’s answers to subsequent scored quality questions).  Any Bidder that answers ‘No’ for any question in this Section A will not be taken forward in the evaluation and its Bid will be excluded. | | | |
| **Specification reference** | **Feature** | **Response** | |
| **2.** | **DESIGN REQUIREMENTS** |  |  |
| 2.1.1 | Will the Archive be able to store 20 million Samples in UKB’s predominant current Labware (1.2 ml ABGene Tubes) on 96-position SBS-format Racks and allowing for an additional 5mm on top of the catalogue-specified Tube height? | Yes ▢ | No ▢ |
| 2.1.2 | Will the Archive have a deliverable expansion route to increase capacity to store a further 10 million samples (i.e. 30 million in total) to the same specification as the 20 million Sample requirement, at a future date? | Yes ▢ | No ▢ |
| 2.3.1 | Will the Archive be capable of being physically accommodated within the Sample Hall of UKB’s new Facility with the inclusions and exclusions listed in Section 2.3.1 of the Specification? | Yes ▢ | No ▢ |
| 2.3.4 | Will the Archive generate internal reverberant noise and external noise breakout of no more than 70dBA measured at a typical operator distance (~1.0m distance, 1.6m height)? | Yes ▢ | No ▢ |
| 2.3.6 | Will the Archive be installable on the floor as described in Section 2.3.6 of the Specification with respect to maximum loading (when fully operational and filled with Labware), floor flatness and finish, and vibration metric? | Yes ▢ | No ▢ |
| 2.4.1 | Will the Archive draw an average power of no more than 90 kW (empty of samples, excluding Supporting Plant) with a peak requirement of no more than 135 kW? | Yes ▢ | No ▢ |
| 2.5.1 | Will the Archive require a chilled water supply of no more than 450 litres / minute? | Yes ▢ | No ▢ |
| 2.6.1 | Will the Archive require a liquid nitrogen flow rate for backup cooling of no more than 320 litres / hour? | Yes ▢ | No ▢ |
| 2.7.1 | Will the Archive operate within an ambient temperature of 20 ± 4°C and Relative Humidity of less than or equal to 60%, with only short duration (1-2 hours) humidity excursions above this level? | Yes ▢ | No ▢ |
| 2.7.2 | Can personnel access storage areas and remove Labware manually for troubleshooting and contingent access? | Yes ▢ | No ▢ |
| 2.7.3 | Will the Archive have a GUI management interface readily accessible to operator and support personnel, showing status and errors, and allowing control of the Archive including starting, stopping and reprioritising Sample Handling tasks? | Yes ▢ | No ▢ |
| 2.7.4 | Will all internal areas of the Archive have closed-circuit television (CCTV), including loading and unloading buffers, picking, handling and transfer areas, all Sample storage areas and associated robotics? | Yes ▢ | No ▢ |
| 2.7.5 | Will CCTV images (and time-limited recordings) be accessible through Archive management systems, via a programmatic interface (e.g. an API), or similar web-based service? | Yes ▢ | No ▢ |
| 2.7.6 | Will the Archive have safety controls to allow for safe operation and maintenance including interlocked access, machinery guarding and emergency stops? | Yes ▢ | No ▢ |
| 2.7.7 | Will the Archive have security controls to prevent unauthorised access, and prevent access for untrained personnel to restricted areas? | Yes ▢ | No ▢ |
| 2.7.8 | Will the Archive be designed to minimise fire risk: minimising sources of ignition, and maximising the protection given to Samples in the case of fire in the Sample Hall? | Yes ▢ | No ▢ |
| 2.7.9 | Will the Archive either include oxygen depletion and fire sensors that can operate independently and are interfaceable with Facility systems, or have provision to incorporate such sensors (to be provided by the Developer) during installation? | Yes ▢ | No ▢ |
| 2.7.10 | Will all materials used to construct the Archive comply with ‘EN 13501-1: Fire classification of construction products and building elements’ and be fire rated to ‘Class B’ as a minimum, or by reference to a recognised and equivalent international standard? | Yes ▢ | No ▢ |
| **3.** | **FUNTIONAL REQUIREMENTS: SAMPLE STORAGE** |  |  |
| 3.1.3 | Will the Archive use 96-position SBS-format Racks for internal storage of UKB’s Labware rather than any proprietary, or higher-density, storage? | Yes ▢ | No ▢ |
| 3.1.5 | Will the Archive be able to store and handle the different types of current UKB Labware? | Yes ▢ | No ▢ |
| 3.1.6 | Will the Archive be designed with flexibility to store different 96-position SBS-format Labware requiring different shelf pitches and handling requirements, together with Samples on Plates? | Yes ▢ | No ▢ |
| 3.1.7 | Will the Archive be capable of handling different Labware types concurrently and identify them by a Rack (or plate) barcode prefix? | Yes ▢ | No ▢ |
| 3.1.11 | Will the Archive be fitted internally to store 135,500 96-position SBS-format Racks of 1.2 ml ABGene Tubes, 6,000 Racks of 0.65 ml ABGene Tubes and 1,300 Racks of 0.26ml Azenta / FluidX Tubes? | Yes ▢ | No ▢ |
| 3.1.13 | Will the Archive be designed to store current and future Labware in the most spatially efficient way (e.g. by optimising shelf pitch)? | Yes ▢ | No ▢ |
| 3.1.15 | Will the Archive be able to successfully handle (load, store, Rack retrieve, Tube pick, unload, consolidate and otherwise internally move) ABGene Tubes with a raised, loose or missing split-septum seal bung? | Yes ▢ | No ▢ |
| 3.1.17 | Will the Archive allow UKB to configure in the Supplier IT System where each type of Labware can be stored? | Yes ▢ | No ▢ |
| 3.1.18 | Will the Archive allow UKB to setup new Labware types in the Supplier IT System and configure fields including, but not be limited to, those in Section 3.1.18 of the Specification? | Yes ▢ | No ▢ |
| 3.1.19 | Will the Archive allow UKB to monitor via a programmatic interface the total, used and unused Rack and Sample capacity by location, including empty spaces on Racks? | Yes ▢ | No ▢ |
| 3.1.20 | Will the Archive allow operators to view via the GUI used and unused storage locations? | Yes ▢ | No ▢ |
| 3.2.1 | Will the Archive maintain stored Samples in long-term cryopreservation at a stable temperature of -80 °C, by maintaining a uniform air temperature within storage areas of -80 ± 5 °C and ensure that the temperature does not deviate outside of this range for more than 2 hours? | Yes ▢ | No ▢ |
| 3.2.2 | Will the Archive be electrically cooled and offer 2N+1 resilience for cooling, with a minimum of dual redundancy of all key system components supporting long-term cryopreservation of Samples (2N), with an additional contingency / backup cooling system (+1)? | Yes ▢ | No ▢ |
| 3.2.3 | Will the Archive’s additional contingency / backup cooling be based on a supply of liquid nitrogen, and be capable of maintaining air temperatures within storage areas of -80 ± 10°C? | Yes ▢ | No ▢ |
| 3.2.5 | Will the Archive maintain all areas where Sample Handling takes place at a stable temperature of -20 °C, by maintaining a uniform air temperature within these areas of -20 +2 /-5 °C? | Yes ▢ | No ▢ |
| 3.2.6 | Will the Archive limit the time that Samples spend in any Sample Handling area to less than 8 hours, including in the case of a fault or Sample Handling error? | Yes ▢ | No ▢ |
| 3.2.7 | Will the Archive move Samples held outside of -80 °C back to storage at that temperature in the case of a fault, Sample Handling error, or cooling failure? | Yes ▢ | No ▢ |
| 3.2.8 | Will the Archive store and handle Samples in conditions that are as dry as possible (no more than 10 ppm moisture, “Ultra-Dry Air”) to minimise frosting and icing? | Yes ▢ | No ▢ |
| 3.2.9 | Will the Archive control and minimise humidity introduced during Sample loading, unloading or maintenance? | Yes ▢ | No ▢ |
| 3.2.10 | Will the Archive measure the temperature and humidity of all areas using independently calibrated probes that are traceable back to the National Institute of Standards and Technology (“NIST”), permanently logged and reportable to operators and support personnel? | Yes ▢ | No ▢ |
| 3.2.11 | Will the Archive have sufficient numbers of temperature probes to provide dual redundancy and assurance that the temperature of all sample storage areas and Samples stored within them are maintained within the specified temperature ranges? | Yes ▢ | No ▢ |
| 3.2.12 | Will the Archive measure both air temperature and the temperature of physical materials by connection to probes embedded within test Samples accommodated in Sample storage areas? | Yes ▢ | No ▢ |
| 3.2.14 | Will the Archive allow UKB to monitor (on-site and remotely) via the programmatic interface the current and longitudinal trends of temperature and humidity by location and probe? | Yes ▢ | No ▢ |
| 3.2.15 | Will the Archive allow operators to view via the GUI the current temperature and humidity of each location and probe? | Yes ▢ | No ▢ |
| **4.** | **FUNTIONAL REQUIREMENTS: SAMPLE HANDLING** |  |  |
| 4.1.1 | Will the Archive prevent error or failure of one task halting other types of Sample Handling, with a defined ‘negative path’ for each task to avoid the process halting other tasks? | Yes ▢ | No ▢ |
| 4.1.2 | Will the Archive maintain a record of Sample Handling errors and other failures that require an operator intervention to resolve? | Yes ▢ | No ▢ |
| 4.1.3 | Will the Archive record overall operational availability and performance metrics for each Sample Handling task sufficient to enable monitoring of the KPIs established in Schedule 3 (Performance Levels) of the Contract? | Yes ▢ | No ▢ |
| 4.2.2 | Will the Archive support an initial loading rate of 1,400 Racks per day with an error rate requiring operator intervention of less than 1% (of Racks loaded)? | Yes ▢ | No ▢ |
| 4.2.3 | Will the Archive support the loading of 341 Racks per day, alongside UKB’s other daily handling requirements? | Yes ▢ | No ▢ |
| 4.2.4 | Will the Archive capture as a minimum the 2D barcodes on the bottoms of Tubes, the Rack position and Rack barcode, and Archive storage position on loading? | Yes ▢ | No ▢ |
| 4.2.4 | Will the Archive allow UKB to configure, including via use of the GUI, which areas are available for loading Racks and where specific Rack types are stored, and whether to control locations automatically by reference to such parameters, or for an operator to manually assign locations? | Yes ▢ | No ▢ |
| 4.2.4 | Will the Archive leave Labware ready to be picked once loading is complete? | Yes ▢ | No ▢ |
| 4.2.5 | Will the Archive be able to store partial Racks (i.e. less than 96 Tubes in a SBS-format Rack) and distinguish accurately between ‘no Tube’ and ‘no read’ scenarios? | Yes ▢ | No ▢ |
| 4.2.6 | Will the Archive be able to load existing ABGene Racks that have a thin layer of frost on the 1D Rack barcode and 2D Tube barcode (see Appendix A of the Specification)? | Yes ▢ | No ▢ |
| 4.2.7 | Will the Archive be able to load existing ABGene Racks that have a substantial ice build-up on the bottom of the Tubes and sides of the Rack that could obscure 2D and 1D barcodes (see Appendix A of the Specification). | Yes ▢ | No ▢ |
| 4.2.8 | Will the Archive be able to scan and load Racks, Plates and Tubes containing Samples of any colour? | Yes ▢ | No ▢ |
| 4.2.9 | Will the Archive be able to detect and handle loading of a Rack in the incorrect orientation, by rotating the Rack and checking for a barcode? | Yes ▢ | No ▢ |
| 4.2.10 | Will the Archive prevent the encountering of a difficult to scan Rack or Sample Tube, or other loading Sample Handling error, from stopping loading of other Racks? | Yes ▢ | No ▢ |
| 4.2.13 | Will the Archive record the time taken to load each Rack and make these data available via the programmatic interface? | Yes ▢ | No ▢ |
| 4.2.14 | Will the Archive’s GUI allow the operator to view any Racks that have failed loading? | Yes ▢ | No ▢ |

|  |  |  |  |
| --- | --- | --- | --- |
| 4.3.7 | Will the Archive be able to deliver UKB’s “typical daily Sample Handling requirement” in any 24-hour period, giving due consideration to the expectation that the Archive might operate 24x7 but noting that any manual intervention needed will only take place when UKB operational personnel are available on site between 7am and 5pm 7 days a week? (Specification Section 4.3, Table C.) | Yes ▢ | No ▢ |
| 4.3.9 | Will the Archive record, and expose via the programmatic interface, metadata relating to all Sample Handling activities to allow UKB to monitor throughput? | Yes ▢ | No ▢ |
| 4.4.3 | Will the Archive treat consolidation as a separate Sample Handling task and defined process (separate to Tube picking) that ensures Samples are moved to full Racks and empty Racks unloaded, without the consolidated Racks leaving the Archive? | Yes ▢ | No ▢ |
| 4.4.4 | Will the Archive allow UKB to control which Samples are consolidated together via the GUI and programmatic interface using fields held either in the Archive’s Inventory or Laboratory System? | Yes ▢ | No ▢ |
| 4.4.5 | Will the Archive allow UKB to configure (through the GUI and programmatic interface) when and how consolidation happens? | Yes ▢ | No ▢ |
| 4.4.6 | Will the Archive allow user- and role-based access control to protect the configuration of consolidation parameters? | Yes ▢ | No ▢ |
| **5.** | **FUNCTIONAL REQUIREMENTS: DATA AND INFORMATION SYSTEMS** |  |  |
| 5.1.4 | Will you be responsible for the design, specification, sourcing, installation and management of all hardware and software components for the Supplier IT System required to operate and manage the Archive and provide ongoing support in respect of the Supplier IT System, including all software, hardware and management components in accordance with the Contract? | Yes ▢ | No ▢ |
| 5.1.6 | Will you maintain a demonstrable approach to quality management (for example, through certification to the ISO 9001 or equivalent quality standard)? | Yes ▢ | No ▢ |
| 5.1.7 | Will you maintain a demonstrable approach to information security (for example, through certification to standards such as ISO 27001 or Cyber Essentials Plus, or by reference to internal information security policies)? | Yes ▢ | No ▢ |
| 5.1.8 | Will the Supplier support UKB’s continued certification to ISO 27001 throughout the period of the Contract? | Yes ▢ | No ▢ |
| 5.1.9 | Will the Supplier IT System support UKB’s intent to accredit to the ISO 20387 standard throughout the lifetime of the Archive, with particular emphasis on the requirements for the storage of biological material and sample traceability, and management of information and data? | Yes ▢ | No ▢ |
| 5.2.1 | Will the Supplier IT System provide fine grained access control for users and service accounts, supporting user- and role-based access control and user management configuration? | Yes ▢ | No ▢ |
| 5.2.2 | Will the Supplier IT System have the ability for UKB to configure user roles, with configurable permissions for access to operational functionality, data and system administration functionality? | Yes ▢ | No ▢ |
| 5.2.3 | Will the Supplier IT System provide for integration with UKB’s Active Directory (AD) infrastructure (both on-premises or Microsoft Azure hosted) using Single Sign On (SSO) with Multi-Factor Authentication (MFA) enabled? | Yes ▢ | No ▢ |
| 5.2.4 | Will the Supplier IT System GUI be securely accessible from both on-premise workstations and remotely by authorised users including Supplier support personnel? | Yes ▢ | No ▢ |
| 5.3.1 | Will the Supplier IT System provide functionality for operation and management of the Archive by UKB laboratory and facilities staff with limited interaction from the Supplier (other than as part of Support Services)? | Yes ▢ | No ▢ |
| 5.3.2 | Will the Supplier IT System provide UKB (without the need for Supplier support) with the ability to configure, operate, manage, generate alerts, and report on all aspects of the Archive including architectural, environmental, sample storage and handling? | Yes ▢ | No ▢ |
| 5.3.3 | Will the Supplier IT System be able to be controlled, managed and monitored via a GUI and programmatically with support for integration with the Laboratory System? | Yes ▢ | No ▢ |
| 5.3.4 | Will the Supplier IT System programmatic interface be accessible and usable remotely? | Yes ▢ | No ▢ |
| 5.3.5 | Will the Supplier IT System GUI for general operation be designed with user accessibility in mind (e.g. incorporating good practice guidelines, such as WCAG) and with particular consideration given to human-readable reporting for operators? | Yes ▢ | No ▢ |
| 5.3.6 | Will the Supplier IT System be capable of returning information (that is Timestamped and operator tagged) regarding the progress of any Sample Handling task, and allow an operator to shuffle priorities, delete picking orders and similar commands? | Yes ▢ | No ▢ |
| 5.3.7 | Will the Supplier IT System include the ability to backup, export for version control, and restore configurations on an ad-hoc and scheduled basis? | Yes ▢ | No ▢ |
| 5.3.8 | Will the Supplier IT System maintain a precise, real-time Inventory of Labware (and by inference, Samples) stored at all times to document its current state, including Tube, Rack and Plate identifiers, Tube positions, and Rack and Plate storage locations? | Yes ▢ | No ▢ |
| 5.3.9 | Will the Supplier IT System support flexible searching for specific Labware or groups of Labware both via GUI and programmatically? | Yes ▢ | No ▢ |
| 5.3.10 | Will the Supplier IT System support traceability of all Labware movements into, out of and within the Archive by notification of events (e.g. at each Rack scan, Sample Tube picking, or Rack movement or similar) via the programmatic interface with details of Labware, location, date and time sufficient to enable UKB to externally maintain a full record of how samples are managed? | Yes ▢ | No ▢ |
| 5.3.12 | Will the Supplier IT System support means to update the Inventory and publish the changes associated with the Labware so they can be reflected in the Laboratory System and other UK Biobank Systems in the case of manual work? | Yes ▢ | No ▢ |
| 5.4.1 | Will the Supplier IT System support the viewing of routine operational reports or dashboards within the GUI that are easily interpretable? | Yes ▢ | No ▢ |
| 5.4.3 | Will the Supplier IT System produce detailed, Time-stamped, auditable logs, recording all events pertaining to the Archive and its contents, all information & data changes, logins, environmental data and activity? | Yes ▢ | No ▢ |
| 5.4.4 | Will the Supplier IT System be able to associate long-running processes with a change in operator identity part-way through? | Yes ▢ | No ▢ |
| 5.4.5 | Will the Supplier IT System logs be searchable via the GUI and exportable both in real-time (programmatically) and on-demand, in bulk (via some file transfer mechanism)? | Yes ▢ | No ▢ |
| 5.4.6 | Will the Supplier IT System maintain an unlimited, permanent longitudinal record of environmental and performance information? | Yes ▢ | No ▢ |
| 5.4.7 | Will the Supplier IT System expose these longitudinal environmental and performance records via the GUI, and programmatically with consideration made to the frequency of measurements? | Yes ▢ | No ▢ |
| 5.4.8 | To satisfy ISO 20387:2018 requirements, will the Supplier IT System support UKB’s ability to maintain a longitudinal record of individual Sample history (including Sample movements and temperature)? | Yes ▢ | No ▢ |
| 5.4.9 | Will the Supplier IT System be able to integrate with internal or external monitoring solutions and alerting when thresholds (which must be configurable by UKB) are breached? | Yes ▢ | No ▢ |
| 5.4.10 | Will you provide read access to any database schema with documentation to support reporting purposes? | Yes ▢ | No ▢ |

|  |  |  |  |
| --- | --- | --- | --- |
| 5.4.11 | Will you communicate changes to the database schema to UKB as soon as possible, (but no less than 1-month in advance of implementation) to ensure the validity of UKB reporting? | Yes ▢ | No ▢ |
| 5.4.13 | Will the Supplier IT System provide UKB with the ability to configure alerts and notifications to groups and individuals via the GUI, programmatic interface, email and/or telephone/SMS services and be configurable to (at least) the extent in Section 5.4.13 of the Specification? | Yes ▢ | No ▢ |
| 5.4.14 | Will the Supplier IT System log all alerts and notifications and display them via the GUI and/or allow them to be interrogated programmatically? | Yes ▢ | No ▢ |
| 5.5.1 | Will you be responsible for development, provision and maintenance of the Supplier Software (including New Releases and Updates) necessary to operate and manage the Archive, and for supplying a programmatic interface (e.g. an API) to support integration with the Laboratory System and other UK Biobank Systems for operational, management and reporting purposes, in each case, as provided for in the Contract? | Yes ▢ | No ▢ |
| 5.5.3 | Will data transmitted to and from the Supplier IT System be encrypted using TLS v1.2 or higher, using strong encryption cyphers? | Yes ▢ | No ▢ |
| 5.5.4 | Will the Supplier IT System be programmatically accessible from services hosted either on-premises or in the cloud at UKB’s discretion? | Yes ▢ | No ▢ |
| 5.5.5 | Will any development of a programmatic interface maintain adequate backward compatibility so that New Releases and Updates to the Supplier IT System can be applied without requiring changes to services consuming the interface? | Yes ▢ | No ▢ |
| 5.6.4 | Will the Supplier IT System comply with the information security requirements set out in Section 5.6.4 of the Specification? | Yes ▢ | No ▢ |
| 5.6.5 | Will the Supplier IT System be designed to be resilient, protecting against any potential component failure where possible and the loss of individual servers, appliances, components or other devices that host system software and data, supporting recovery of the Archive to a working state, whilst ensuring the integrity of the Inventory and logging, and minimising the risk of data loss? | Yes ▢ | No ▢ |
| **6.** | **INSTALLATION SERVICES** |  |  |
| 6.1.4 | Will all components of the Archive be installable through a covered service yard, with a soffit height of 3100mm and two roller shutter openings, each of which will be 2500mm high by 2400mm wide? | Yes ▢ | No ▢ |
| 6.1.5 | Will you be able to commence installation (which may be phased) of the Archive no later than 30 April 2025? | Yes ▢ | No ▢ |
| 6.1.6 | Will you take responsibility for the successful integration of the Archive with the Facility and its Supporting Plant? | Yes ▢ | No ▢ |
| 6.2.2 | Will you develop, conduct and ensure the Archive passes a Factory Acceptance Test (‘FAT’), agreed and witnessed in person by UKB, to meet the minimum requirements of the Test Plan provided at Schedule 6 (Testing Procedures) to the Contract? | Yes ▢ | No ▢ |
| 6.2.3 | Will you permit factory visits requested by UKB with reasonable notice at any point from the Effective Date of the Contract to Archive delivery? | Yes ▢ | No ▢ |
| 6.2.4 | Will you develop, conduct and ensure the Archive passes a series of qualification tests agreed and witnessed in person by UKB including the Installation Qualification, the Operational Qualification and the Performance Qualification (‘IQ, OQ, PQ’), which together will comprise UKB’s Site Acceptance Test (SAT)? | Yes ▢ | No ▢ |
| 6.2.5 | Will you ensure the Archive, or any constituent phase, passes IQ and OQ tests within six months of the start of its installation? | Yes ▢ | No ▢ |
| 6.2.6 | Will you install sufficient Archive capacity and pass IQ and OQ on that capacity to meet the planned Sample transfer schedule from the existing UKB archive provided in Table E of the Specification? | Yes ▢ | No ▢ |
| 6.3.1 | Will you provide a named project manager able to attend in-person meetings and visit UKB and the Facility site regularly from contract signature to successful PQ, who will develop, agree with UKB and maintain a Project Plan and provide regular written progress reports and risk registers? | Yes ▢ | No ▢ |
| 6.3.2 | Will you provide a named senior sponsor who can take part in a monthly Steering Group meeting from the Effective Date to successful PQ? | Yes ▢ | No ▢ |
| 6.3.3 | Will you accept UKB have the right to review and veto any changes to the project manager and senior representative, as Key Personnel under Section 12 of the Contract? | Yes ▢ | No ▢ |
| 6.3.4 | Will your project manager, from the Effective Date of the Contract through to the start of Installation Services, provide a written monthly project highlight report with an updated Project Plan and risk register in a format agreed with UKB? | Yes ▢ | No ▢ |
| 6.3.5 | Will your project manager, after the start of installation, attend a weekly update meeting to present a written weekly project highlight report, and any updates to the project plan and risk register? | Yes ▢ | No ▢ |
| **7.** | **SUPPORT SERVICES** |  |  |
| 7.1.1 | Will you offer a minimum of five years of Support Services commencing at the point OQ is achieved? | Yes ▢ | No ▢ |
| 7.1.2 | At UKB’s request, will you extend the availability of Support Services for such further periods as determined by UKB (each period being at least 12 months in duration) up to ten years (i.e. years 6-15)? | Yes ▢ | No ▢ |
| 7.1.3 | Will you offer Support Services in accordance with Section 7.1.3 of the Specification, and Clause 5.1of the Contract, including but not limited to: on-site engineering support, second line support, locally-hosted package of Spares, 24x7 remote monitoring, and Supplier IT System support? | Yes ▢ | No ▢ |
| 7.1.5 | In the event that the Support Services agreement ends, will you provide UKB with a suitable handover of Supplier IT System deployable artefacts (such as containers, executables and source code), build configuration and tools, the test environment and training to ensure that UKB or their appointed resource is competent before you cease providing the Support Services? | Yes ▢ | No ▢ |
| 7.3.1 | Will the Archive be provided with comprehensive documentation for all hardware and software components, including four paper copies and electronic media both in PDF and an editable format? | Yes ▢ | No ▢ |
| 7.3.2 | Will you ensure UKB receives documentation updates including advisory notices, corrections, inclusion of new features and any other changes, in a timely manner? | Yes ▢ | No ▢ |
| 7.3.3 | Will you provide a package of initial training for a range of UKB users? | Yes ▢ | No ▢ |
| 7.3.4 | Will you provide additional ongoing training for new UKB personnel, and to reflect upgrades or availability of new features? | Yes ▢ | No ▢ |
| 7.3.5 | Will you design the training and documentation to enable UKB to become self-sufficient in supporting the Archive if it chooses to do so at the end of any period of Support Services? | Yes ▢ | No ▢ |

|  |  |  |  |
| --- | --- | --- | --- |
| **SECTION B – QUALITY QUESTIONS**  The responses to the following questions will be evaluated and scored. The scoring process is detailed under Section 2.3 (Award Criteria) in the accompanying ITT Volume 1 document.  UKB will evaluate responses based only upon the response provided to the specific questions. Bidders should note that UKB considers its requirements to include both the mandatory minimum requirements (‘must’) and the desirable requirements, enhanced performance and/or features (‘should’) marked in the Specification. | | | |
|  | **Question** | **Weighting** | **Sub -weighting** |
| **B1** | **OVERALL ARCHITECTURE**  Please refer to Section 2 of the Specification. | **5%** |  |
| B1.1 | Please explain in detail how your proposed solution has been optimised to meet UKB’s requirements drawing upon your previous experience in providing Automated Large-Scale Ultra-Low Temperature Biological Sample Archives? In your response, please explain:   * how the parameters, options and learnings from exemplar installations for other customers or test sites have influenced your design decisions and approach; and * how you considered and optimised the number of modules that constitute the proposed Archive, with reference to Section 2.1 of the Specification and the considerations therein.   Please provide further details as to:   * where the Archive and its technology sit within your product ‘roadmap’; and * the extent to which the Archive represents existing mature technology in operation at other customer sites, new technology from the roadmap, or a bespoke development to meet UKB’s requirements.   Please provide supporting evidence including a high-level summary of the Archive, and any calculations, technical specifications, operational data from installed systems, factory test-beds, and/or theoretical modelling or evidence of optioneering, used to determine the optimised solution. | | 5% |
|  | *Response* | | |
| **B2** | **PHYSICAL CHARACTERISTICS AND EFFICIENCY**  Please refer to the Specification Section 2, and the Facility plans in Appendix D. Quantitative information on energy use and chilled water requirements will be collected in Section D of the Pricing Schedule. | **9%** |  |
| B2.1 | Please explain in detail how the Archive will be accommodated in the Sample Hall of UKB’s new Facility. In your response, please include a detailed explanation of:   * How spatial efficiency has been maximised, including by reference to the height of the Sample Hall. * How the Optional Deliverable of future expansion from 20 to 30 million Samples would be physically accommodated. * How remaining fallow space around an expanded Archive of 30 million Sample capacity can support in-situ infrastructure replacement when components or modules reach end of life. * How the Archive through its design, materials, operating procedures and monitoring systems will control the risk of fire, considering both life safety and Sample safety, the risks of fire *from* internal components of the Archive, and the risks of fire *to* the Archive’s contents from outside.   Please provide supporting evidence to demonstrate deliverability of your response including CAD drawings (PDF, optionally with supporting DWG file) of how the Archive, and all of its components or modules, is to be placed within the space specified by Appendix D of the Specification and provide a fire risk assessment, if available. Please make clear, in these plans, the dimensions and the required operator, ventilation and maintenance clearances.  *The Supplier will be responsible for integrating the Archive with the Supporting Plant. For UKB’s information, but not for evaluation: provide detail of all points of service connection required between the Archive and the Facility, their location and specification, including electricity, network, liquid nitrogen feed and exhaust, compressed air, any other piped gases, chilled water, condensate and mains water supply and drainage, information on heat loading to the Sample Hall from the Archive in kW and any other service connection requirements or physical characteristics that the Developer, in the reasonable opinion of the Supplier, will need to be aware of to support successful integration of the Archive with the Facility. (Installation guides may be submitted as part the response, but will not be evaluated.)* | | 4% |
| *Response* | | |
| B2.2 | Please explain in detail how the design and operation of the Archive will optimise environmental efficiency in line with UKB’s requirements. In your response, please include details on:   * How direct electricity use by the Archive has been minimised by design, and can be minimised in operation, by UKB, including consideration of efficiency after the initial loading of UKB Samples, but before the Archive is filled, with respect to fallow space. * Given the description of the Facility chilled water supply in Section 2.5 of the Specification, how you have minimised to UKB’s benefit the combination of direct Archive electricity use and the energy consequences of the Archive’s chilled water requirements (i.e. indirect Supporting Plant electricity use), including (with supporting rationale and calculations) what you consider to be the optimal solution for the chilled water inlet and outlet temperature and flow rates. * How you have minimised embodied carbon in the design and production of the Archive.   Please provide supporting evidence to demonstrate deliverability of your response, including technical specifications, operational data from installed systems, factory test-beds, and/or theoretical modelling and underlying calculations where appropriate.  (*Quantitative information on energy use and chilled water requirements will be collected in Section D of the Pricing Schedule).* | | 5% |
| *Response* | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **B3** | **SAMPLE STORAGE**  Please refer to Section 3 of the Specification. | **10%** |  |
| B3.1 | Please explain in detail how the Archive will deliver resilient, stable cryopreservation of biological samples whilst also meeting UKB’s requirements for efficiency and flexibility. In your response, please include within your explanation (with supporting rationale):   * How the Archive will be configured to store efficiently current UKB Labware in the quantities expected (see Table 2 and Appendix A of the Specification), including choices of shelving pitch and distribution of different Labware. * How the Archive enables UKB to configure the Archive to support future Labware types, including all physical, electronic and Supplier IT System changes that would be associated with the accommodation of additional Labware types. * How any potential difficulties, risks and/or costs associated with accommodating the exemplars of future Labware in Table 2 and Appendix A of the Specification in the Archive would be prevented and/or minimised. * How the Archive recognises different Labware, effectively and efficiently to UKB’s benefit, including barcoding, any use of computer vision to identify shape and size, or other methods. * How temperature and humidity are controlled and monitored across the Archive to ensure the delivery of stability and resilience in line with UKB’s requirements. * How resilience features in the Archive deliver against UKB’s requirements for temperature and humidity stability, how they are controlled and activated, and in what order. * Your approach to minimising any build-up of snow, ice and carbon dioxide frost in the Archive, and details of any ‘defrost cycles’ or similar required.   Please provide supporting evidence to demonstrate deliverability of your response, including calculations where relevant and by reference to technical specifications, operational data from installed systems, factory test-beds, and/or theoretical modelling, in relation to:   * temperature and humidity control achievable; * minimising snow, ice and carbon dioxide frost; * reconfiguration of storage to support different Labware, including a list of compatible Labware,   in each case in line with UKB’s requirements. | | 10% |
| *Response* | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **B4** | **SAMPLE HANDLING**  Please refer to Sections 4, 6.2 and Appendix A of the Specification. | **24%** |  |
| B4.1 | Please explain in detail how the Archive will ensure loading by UKB of its existing Sample collection within a period of four to six months. Please include in your response:   * How the Archive will support a peak loading rate of 1,400 Racks per day with an error rate requiring operating intervention of less than 1% of Racks loaded, and whether this will be undertaken in a different way to day-to-day operational loading of Racks alongside other UKB Sample Handling tasks. * How you will deal effectively with the removal of frost and ice on the initial loading of Sample Tubes and Racks. * How the peak loading rate will be supported by distribution across the Archive and different input buffers, and your proposed arrangements for buffer space to temporarily accommodate hard to scan Labware (or any Labware that has encountered a Sample Handling error) for automatic or manual intervention. * Your calculation of how many hours per day the peak loading rate would take, taking into account any assumed inefficiencies or delays due to frost and ice removal to ensure successful barcode scanning of Racks and Sample Tubes. * How much of the time during loading would need to be attended by an operator, and how this is both minimised and scheduled around onsite availability of UKB operational staff during normal working hours. * How the features of the Archive will enable UKB to control where loaded Racks are stored, for UKB’s benefit.   Please provide supporting evidence to demonstrate deliverability of your response by reference to technical specifications, operational data from installed systems, factory test-beds, and/or theoretical modelling, and please include your full calculation of the required hours to load 1,400 Racks per day and any assumptions made. | | 5% |
|  | *Response* | |  |
| B4.2 | Please explain in detail how the Archive would maximise throughput and deliver UKB’s model of daily throughput requirement (Table C in the Specification). In your response, please:   * Explain how the Archive and/or your approach would support UKB’s operational efficiency by minimising the time taken by the Archive to deliver the daily throughput requirement. * Set out, on average, how many hours per day would be required to achieve the tasks specified in Table C, explaining how such activities might be best prioritised or scheduled, and considering it in the context of UKB’s typical staffed laboratory hours of 7am-5pm. Assuming: * the lower, non-peak number of racks to be loaded per day from Table C (215 racks per day in total to be loaded); * where there is the potential for load balancing across more than one automation component (i.e. parallel processing), provide a maximum and minimum number of hours for the work specified in Table C, assuming either ineffective load balancing, or perfect load balancing across the Archive. * Indicate how many of these hours would not require operator supervision. * Explain any assumptions you have made about Sample Handling errors requiring operator intervention, failures, inefficiencies or other downtime. * Provide a full description of the resilience features offered in Sample Handling, how they are controlled and activated for UKB’s benefit, including how trained personnel can access stored Samples manually in the case of automation failure.   Please provide detailed supporting evidence and calculations to demonstrate deliverability of your response including itemising the time taken for each of the four activities shown in Table C (tabulated against different load balancing assumptions, where relevant). Please provide supporting evidence from technical specifications, operational data from installed systems, factory test-beds, and/or theoretical modelling and indicate the source of data used in your calculations. | | 9% |
|  | *Response* | |  |
| B4.3 | Please explain in detail how, after initial loading of Samples, the Archive will minimise the rate of Sample processing errors that require operator intervention. In your response, please explain how the Archive will:   * Minimise the need for operator intervention and enable UKB to undertake Sample Handling reliably without operator supervision. * Continue processing other tasks when an error is encountered. * Handle Sample Tubes with a layer of frost, or substantial ice build-up, including obscured Tube and Rack barcodes. * Detect and release Tubes frozen to their Rack. * Handle Tubes with raised, loose or missing split septum seal bungs. * Handle Racks loaded in an incorrect orientation. * Identify the absence of a Sample Tube within a rack vs. a failure to read the Tube’s barcode (i.e. ‘no tube’ vs. ‘no read’) and whether this relies on computer vision. * Maintain an accurate Inventory at all times, even when errors occur and are manually rectified.   Please provide supporting evidence to demonstrate deliverability of your response, including (if available) process maps, relevant technical specifications, operational data from installed systems, factory test-beds, and/or theoretical modelling, and video material. | | 5% |
|  | *Response* | |  |
| B4.4 | Please explain in detail how the Archive will support consolidation (defragmentation of space). In your response, please explain how the Archive will:   * Support UKB to maximise the efficiency of Sample storage. * Approach consolidation in conjunction with, but distinct from, other Sample Handling tasks. * Configure and control consolidation of Samples as a separate process. * Support UKB to forward plan, monitor and control the number of empty spaces created in stored Racks as Samples are selected for processing. * Manage consolidation alongside other Sample Handling tasks, including the recommended approach to efficient consolidation by identifying which Racks to consolidate and how Samples to fill such spaces can be identified, when and how consolidation would take place, and how this could be configured by UKB.   Please provide supporting evidence to demonstrate deliverability of your response, including by reference to operational data from installed systems, factory test-beds, and/or theoretical modelling. | | 5% |
| *Response* | | |
| **B5** | **DATA AND INFORMATION SYSTEMS**  Please refer to Section 5 of the Specification. | **9%** |  |
| B5.1 | Please explain in detail how the Supplier IT System supporting the Archive will meet UKB’s requirements in Section 5 of the Specification. In your response, please:   * Explain how the Supplier IT System aligns with and supports UKB to implement its stated data & technology principles (Section 5.1 of the Specification). * Explain how ongoing compliance with the standards and certifications set out in Section 5.1.5 of the Specification will be ensured. * Explain your approach to quality management, and information security (Sections 5.1.6 and 5.1.7 of the Specification) and how UKB will benefit from these approaches as a customer. * Identify potential areas of Supplier IT System risk, and explain your approach to managing and/or mitigating associated risk.   Please provide supporting evidence to demonstrate deliverability of your response, including as a minimum a high-level Supplier IT System architecture diagram and supporting detail of required hardware and software components, noting the requirements set out in Section 5.6 of the Specification. | | 4% |
| *Response* | | |
| B5.2 | Please explain in detail how the Supplier IT System will integrate with the Laboratory System and deliver UKB’s requirements for an environment to support laboratory operations for at least the next 15 years. In your response:   * Explain how your systems supports the access control and remote access requirements set out in Section 5.2 of the Specification. * Detail how the Supplier IT System provides both a GUI and programmatic interface to meet the functional requirements set out in Section 5.3 of the Specification. * Describe in detail how the Supplier IT System will maintain a precise, real-time Inventory of Labware, including how operator intervention or manual processes are entered into the Inventory (Section 5.3.12 of the Specification), and notifications generated to the Laboratory System as a result. * Describe how the Supplier IT System will support the reporting, logging and alerting requirements set out in Section 5.4 of the Specification. * Describe in detail how the Supplier IT System will support UKB to maintain full traceability and production of a longitudinal record for each Sample through publication of events and/or notifications (Section 5.3.10 and 5.4.8 of the Specification). * Explain how the Supplier IT System will integrate with the Laboratory System and other UKB Systems as set out in Section 5.5 of the Specification.   Please provide supporting evidence to demonstrate deliverability of your response. | | 5% |
| *Response* | | |
| **B6** | **PROJECT PLAN AND GOVERNANCE**  Please refer to Section 6 of the Technical Specification. | **4%** |  |
| B6.1 | Please explain in detail your proposed approach for the effective management of the project from the Effective Date of the Contract to completion of Performance Qualification. In your response, please:   * Explain your approach, with reference to a Gantt-formatted project plan. This should align with and include the Milestones and Milestone Dates in the Outline Project Plan set out in Annex 1 to Schedule 5 of the Contract. * Provide details of any proposed phasing to installation and commissioning of the Archive and the benefits to UKB of the proposed approach. * Set out your proposed approach to working collaboratively with UKB and other suppliers, recognising that the installation and commissioning of the Archive will be under a beneficial access or sectional completion arrangement with a main construction contractor responsible for a new building. * Explain how you will approach and take responsibility for integration of the Archive with the Facility Supporting Plant. * Explain how you are able to ensure your organisational sustainability over a long-term period to deliver the Archive and provide Support Services for up to 15 years.   Please provide supporting evidence to demonstrate deliverability of your response including:   * CVs for the proposed project manager and senior sponsor. * An organogram of the Bidding organisation showing clear accountabilities between the project manager, senior sponsor and company executives, annotated with information on the size and geographic locations of the specialist teams who will be responsible for this project, and Support Services delivery. | | 4% |
| *Response* | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **B7** | **SUPPORT SERVICES**  Please refer to Section 7 of the Technical Specification. | **9%** |  |
| B7.1 | Please explain in detail your approach to delivery of Support Services so as to ensure that the Archive meets UKB’s requirements for at least 15 years. Please consider in your response:   * Your Support Services model, including the balance of on-site, off-site and remote support, and the Supplier team available to respond to mechanical, electrical and Supplier IT System issues, including 24/7 remote monitoring. * The proposed package of on-site Spares incorporated into your Support Services pricing proposal and how this has been designed. * How you will design the schedule of Permitted Maintenance to balance availability with minimisation of non-scheduled downtime and ensure the ongoing performance of the Archive. * How your on-site engineer, off-site and remote support teams will interact with UKB’s Estates and Technical Services team. * How materials and sub-systems are selected, designed and assembled for long-term use at low temperatures. * Your component sourcing strategy and long-term supply chain assurance. * Your approach to continuous improvement, innovation and upgrades. * Your approach to including backup of the Supplier IT System as per Section 7.1.4 of the Specification.   Please provide supporting evidence to demonstrate deliverability of your response, including by reference to an exemplar job description for the personnel who would provide on-site engineering support, a schedule of Permitted Maintenance for the first five years and, where available, relevant operational data from installed systems. | | 9% |
| *Response* | | |

|  |
| --- |
| **SECTION C – PRICE CRITERIA**  Bidders should respond on the separate Archive Pricing response template spreadsheet.  Responses will be evaluated and scored in accordance with the process detailed under Section 2.4 (Basis of price scoring) in the accompanying ITT Volume 1 document.  **A 30% weighting** will be applied to price, consisting of:   * a **Total Cost of Ownership for an Archive with 20 million Sample capacity over 15 years** calculated from the Bidder’s response to Sections A, B and C of the Pricing response template (**25%**); * The up-front purchase, testing, installation and commissioning cost for the **Optional Deliverable upgrade to the Archive to provide for 30 million Sample capacity** provided by the Bidder in its response to Section D of the Pricing response template (**5%**).   An example completed Pricing response template has been provided with indicative figures for illustrative purposes only. |

**Appendix 1 - Exclusion Grounds: Public Procurement**

## Mandatory Exclusion Grounds

Section 2 and Section 3 of the standard Selection Questionnaire.

Listed in Public Contract Regulations 2015 (as amended) R57(1), (2) and (3) and the 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.

**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 1, 2 or section 4 of the Modern Slavery Act 2015.

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

* Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.
* Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:
* HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; or
* a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle;
* a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS) or any equivalent or similar regime in a jurisdiction in which the supplier is established.

**Other offences**

* Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland.
* Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland.

**Discretionary Exclusions Grounds**

Section 3 and Section 4 of the standard Selection Questionnaire.

Listed in Public Contract Regulations 2015 (as amended) R57(8) and the Public Contract Directives 2014/24/EU Article 57(4).

**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, but not limited to, the following:-
* In the last 3 years, 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 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 the organisation has been convicted of a breach of the Health and Safety legislation.
* 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.**

* Advised the contracting authority or contracting entity or otherwise 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 provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.

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

* The contracting 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.

**Additional grounds**

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

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

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

**Consequences of misrepresentation**

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

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

1. For the list of exclusions please see <https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf> [↑](#footnote-ref-2)
2. See [PCR 2015 regulations 71 (8)-(9)](http://www.legislation.gov.uk/uksi/2015/102/pdfs/uksi_20150102_en.pdf) (<http://www.legislation.gov.uk/uksi/2015/102/pdfs/uksi_20150102_en.pdf>) [↑](#footnote-ref-3)
3. See definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-4)
4. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) are required to identify and record the people who own or control their company. Companies, SEs and LLPs are required to keep a PSC register, and must file the PSC information with the central public register at Companies House. See [PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). Overseas bidders are required to provide equivalent information. [↑](#footnote-ref-5)
5. Only information that relates to the persons with powers of representation, decision or control within the meaning of regulation 57(2) can be considered in relation to the mandatory exclusion grounds and other details are requested for information only. [↑](#footnote-ref-6)
6. This applies to all supply chain members and/or subcontractors, where their identity is known at this stage, irrespective of whether you are relying on them to meet the selection criteria. Where a supply chain member and/or subcontractor has been identified in response to this question, any resulting subcontract entered into with that subcontractor for that part of the works, services or supplies identified in response to that question will not be subject to the requirement for contracts to advertise the subcontracting opportunity, as set out in PPN 01/18. [↑](#footnote-ref-7)
7. see Notes for Completion on pages 3-4 of this ITT Volume 2 [↑](#footnote-ref-8)