Invitation to Tender

Selection Questionnaire

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| Tender reference | AP/CORP/LCC/18/844 |
| Tender for | Dynamic Purchasing System -  Provision of Passenger Transport Services |

# 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-1). 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 procurement documents will provide instructions on the selection questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group/consortium or you intend to use 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 seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences. You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

**Dynamic Purchasing System - Provision of Passenger Transport Services**

**AP/CORP/LCC/18/844**

**Restricted Procedure**

**Notes for completion**

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; 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 self-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 are required to complete their own part 1 and part 2[[2]](#footnote-2).*
2. *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*.

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 Public Contracts Regulations 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.

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| **Part 1: Your information and the bidding model.** |
| You must answer all questions in parts 1 and 2. If you are the supplier, you must answer all questions in part 3 as well. |
| Bidders must ensure that every organisation on which they will rely to meet the selection criteria completes and submits their own answers and declaration for part 1 and 2. |

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| **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-3)? | Yes  No |
| 1.1 (k) | Details of Persons with Significant Control (PSC)[[4]](#footnote-4), where appropriate[[5]](#footnote-5):  - Name  - Date of birth  - Nationality  - Country, state or part of the UK where the PSC usually lives  - Service address  - The date he or she became a PSC in relation to the company ;  - 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 preferred supplier and all relevant persons and entities (as described above). | | |

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| **Please provide the following information about your approach to this procurement:** | | |
| **Section 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/a supply chain, please  provide the details for each one[[6]](#footnote-6)  - 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 works and /or supplies 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? |  |

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| **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 the declarations in part 2. | | |
| **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 the supplier’s administrative, management or supervisory body or * has powers of representation, decision or control in the supplier[[7]](#footnote-7), * been convicted of any of the offences within the summary below and listed in full in Annex D? |  |
|  | 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). |  |

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| **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 a supplier for non-payment of  taxes and social security contributions, are set out in Annex D, and should be referred to before  completing these questions. | | |
| **Question number** | **Question** | **Declaration** |
| 3.1(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 |
| 3.1(b) | If you have answered no to 3.1(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. |  |
| 3.2 | 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 use our discretion 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 | | |

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| **Section 4** | **Grounds for Discretionary Exclusion** | |
| The detailed grounds for discretionary exclusion of an organisation are set out in Annex D, 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 in  Annex D applied to you? |  |
| 4.1(a) | Breach of environmental obligations?  To note that environmental law  obligations include Health and Safety  obligations. See Annex D. | 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 you have answered YES to any of the questions in 4.1, or NO to question 4.2, please explain what measures have been taken to demonstrate your reliability despite the existence of a relevant ground for exclusion. (Self cleaning) |  |

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| **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 confirm if you can provide a copy of your detailed accounts for the last two years (audited if required by law) if requested.  Also, for any other person or entity on whom you are relying to meet the selection criteria relating to economic and financial standing, please confirm if you can provide a copy of their detailed accounts for the last two years (audited if required by law). | Yes  No |
| 5.3  5.3(a)  5.3(b) | If you are not able to provide a response to questions 5.1 or 5.2, please confirm if you can provide any of the following alternatives if requested.  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). | Yes  No  Yes  No |
| 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. | Yes  No |
| 5.5 | Where you are relying on another member of your bidding group/consortium or any subcontractors 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 |  |

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| **Section 6** | **Not Used** |

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| **Section 7** | **Additional Questions** |

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| **Please select the Category(s) and Area(s) you wish to apply for with an 'x' in the table below.** | | | | | |
| **Category Number** | **Category Name** | **North\*** | **South & Central\*** | **East\*** | **Out of County\*** |
| 1 | Wheelchair Accessible Vehicle (WAV) |  |  |  |  |
| 2 | Vehicles with between 4 and 8 passenger seats |  |  |  |  |
| 3 | Vehicles with more than 8 passenger seats (PSV buses) |  |  |  |  |
| 4 | Ambulance  (this Category not split by area) |  | | | |

**\*Areas:**

* North: (Fylde, Wyre, Blackpool, Lancaster & Morecambe)
* South & Central: (Chorley, West Lancashire, Preston & South Ribble)
* East: (Blackburn with Darwen, Hyndburn, Burnley, Pendle, Rossendale, Ribble Valley)
* Out of county

**Please note that the location will be based on the end destination of the journey** and not on the pickup point for the Service User. This means that you may wish to tender for locations outside your normal area of operation as a journey may start locally with a destination being in another area.

*For example, a Service User may live in Hyndburn (East) but go to a school in Lancaster (North). If you only indicate you are interested in contracts in the East of the county you will miss the opportunity to tender for such a contract.*

**Please note that you must have a relevant licence/registration for the Category(s) you are applying for to be appointed to the Category.**

**Additional Questions**

Service Providers who self-certify that they meet the requirements to these additional questions will be required to provide evidence upon request by the Authority. The Authority may request evidence at any time during the lifetime of the DPS. Failure to provide evidence upon request by the Authority may result in non-admittance, suspension or removal from the DPS.

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| **7.1** | **Licences – Hackney Carriage** | |
| a. | Do you operate a Hackney Carriage Vehicle(s)? | Yes  No | |
| b. | If you answered "Yes" to 7.1(a) please state how many Hackney Carriage Vehicles you operate.  If you answered 'No" to 7.1(a) please move onto section 7.2. | [insert number] | |
| c. | Please provide the name the Licencing Authority who granted your licence.  Please note that all Hackney Carriage Vehicles under this submission must be licenced by the same Licensing Authority. | [insert Licensing Authority name] | |
| d. | Are there any special conditions pertaining to your Hackney Carriage licence(s) (for example intended use policy)? | Yes  No | |
| e. | If you answered "Yes" to 7.1(d) please provide details of the special conditions.  You may be required by the Authority to send in any relevant documents, including those issued by the relevant Licencing Authority. | [Insert special conditions details here or enter N/A] | |

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| **7.2** | **Licences – Private Hire** | |
| a. | Do you hold a Private Hire Operators Licence? | Yes  No | |
| b. | If you answered "Yes" to 7.2(a) please state your Private Hire Operators Licence Number.  Please note that only one Private Hire Operators Licence number will be accepted per submission. If you operate multiple Private Hire Operators Licences (for example under separate company names, then you submit a separate submission for each company).  If you answered 'No" to 7.2(a) please move onto section 7.3. | [insert Private Hire Operators Licence Number] | |
| c. | Please list the Private Hire Operators Licence Holders name(s) | [insert Private Hire Operators Licence Holders name(s) | |
| d. | Please name the Licencing Authority who granted your licence. | [insert Licensing Authority name] | |
| e. | Are there any special conditions pertaining to your Private Hire Operators Licence? | Yes  No | |
| f. | If you answered "Yes" to 7.2(e) please provide details of the special conditions.  You may be required by the Authority to send in any relevant documents, including those issued by the relevant Licencing Authority. | [Insert special conditions details here or enter N/A] | |

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| **7.3** | **Licences – PSV** | |
| a. | Do you hold a PSV Operators Licence? | Yes  No | |
| b. | If you answered "Yes" to 7.3(a) please state your PSV Operators Licence Number.  If you answered 'No" to 7.3(a) please move onto section 7.4. | [Insert PSV Licence number] | |
| c. | Do you have a procedure which you follow for ensuring that your drivers operating under the PSV Operators Licence complete the mandatory 35 hours of periodic training every five years in accordance with the Driver Certificate of Professional Competence (CPC) Regulations? | Yes  No | |
| d. | Is your fleet of vehicles used under the PSV Operators Licence inspected and serviced in accordance with your PSV Operators License? | Yes  No | |

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| **7.4** | **Licences – Section 19 / 22 Permit** | |
| a. | Do you operate vehicles under a Section 19 Permit? | Yes  No | |
| b. | If you answered "Yes" to 7.4(a) please state the number of Permits and relevant categories that you hold.  If you answered "No" to 7.4(a) please move onto 7.4(c). | [insert number of Permits / relevant categories] | |
| c. | Do you operate vehicles under a Section 22 Permit? | Yes  No | |
| d. | If you answered "Yes" to 7.4(c) please state the number of Permits that you hold.  If you answered "No" to 7.4(c) please move onto 7.4(e). | [Insert number] | |
| e. | Do you have procedures in place to ensure that drivers operating under your Section 19 or 22 Permit receive appropriate training? | Yes  No | |
| f. | Is your fleet of vehicles used for your Section 19 / 22 Permit(s) inspected and serviced in accordance with the Driver & Vehicle Standards Agency Guide to Maintaining Roadworthiness (Commercial goods and passenger carrying vehicles) 2018? | Yes  No | |

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| **7.5** | **Registration – Ambulance** | |
| a. | Do you operate a Private Ambulance? | Yes  No | |
| b. | If you answered "Yes" to 7.5(a) please state your Care Quality Commission (CQC) registration number (or any successor body carrying out the same/similar functions).  If you answered "No" to 7.5(a) please move onto section 7.6. | [insert CQC registration number] | |

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| **7.6** | **Past contracts, Traffic Commissioner Inquiries, Licensing Authority committees** | |
| a. | Has your organisation been suspended from any Framework Agreement or Dynamic Purchasing System providing similar Services, or had any such agreement terminated early within the last two years? | Yes  No | |
| b. | If you answered "Yes" to 7.6(a), please provide details and the reasons for the suspension / early termination and any remedies you may have put in place as a result of the suspension / early termination.  If you answered "No" to 7.6(a), please move onto 7.6(c). | [insert details] | |
| c. | Have you had your Operators License removed by any Traffic Commissioner, Licensing Authority or equivalent bodies within the past two years? | Yes  No | |
| d. | If you answered "Yes" to 7.6(c), please provide details and the reasons for the removal of your Operators Licence and any remedies you may have put in place as a result of the removal of your Operators Licence.  If you answered "No" to 7.6(c), please move onto 7.6(e). | [insert details] | |
| e. | Within the last five years have you / your organisation been called to attend a Traffic Commissioners Formal Public Inquiry in relation to not keeping to the conditions of your Operators Licence, concerns about your operating centre or conduct of you or one of your employed drivers? | Yes  No | |
| f. | If you answered "Yes" to question 7.6(e) please provide details, findings, outcomes of the inquiry and any remedies you may have put in place as a result of the inquiry.  If you answered "No" to 7.6(e), please move onto 7.6(g). | [insert details] | |
| g. | Within the last five years have you / your company been called to attend a district council hackney carriage / private hire vehicle Licencing Authority committee hearing in relation to not keeping to the conditions of your licence, or conduct of you or one of your employed drivers? | Yes  No | |
| h. | If you answered "Yes" to question 7.6(g) please provide details, findings, outcomes of the committee hearing and any remedies you may have put in place as a result of the Licencing Authority committee hearing.  If you answered "No" to 7.6(g), please move onto 7.6(i). | [insert details] | |
| i. | I acknowledge that I must notify the Authority immediately if:  - myself or my organisation has a licence removed; and/or  - myself or my organisation is called to attend a Traffic Commissioners Formal Public Inquiry, or Licencing Authority committee, or any other equivalent body meeting which may affect the validity of mine or my organisations licence. | Yes  No | |

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| **7.7** | **Vehicles Checks and Procedures** | |
| a. | Do you have a procedure in place that will ensure that all vehicles used in the provision of Services under this DPS will be taxed, insured and licensed on time and in accordance with the specified requirements detailed in the Call-off Terms and Conditions of the DPS Agreement for the provision of Passenger Transport Services? | Yes  No | |
| b. | Do you have a procedure which you follow for ensuring that your vehicles are checked for cleanliness and road worthiness on a daily basis? | Yes  No | |
| c. | Do you have a procedure which you follow for ensuring that your vehicles have regular maintenance checks, including vehicle plating where applicable? | Yes  No | |
| d. | I acknowledge that before being awarded any contracts for Category 1 (Wheelchair Accessible Vehicles) my vehicle must be physically checked by the Authority as being suitable for wheelchair service users. | Yes  No | |

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| **7.8** | **Drivers Checks and Procedures** | |
| a. | Do you have a procedure for checking your drivers’ driving licences on a regular basis? | Yes  No | |
| b. | Do your drivers have a command of the English language sufficient to allow effective communication with passenger assistants (if provided) and other passengers including service users? | Yes  No | |
| c. | Do you ensure all drivers are trained, have an awareness of the areas below:   * - Local geographical knowledge * - Route learning programme * - Disability awareness | Yes  No | |
| d. | Do you have a two way communication system between your operating centre and each vehicle used in the delivery of the Services? | Yes  No | |
| e. | Do you have a vehicle breakdown procedure that is communicated to and understood by your personnel operating vehicles? | Yes  No | |
| f. | Do you have a policy for managing drug and alcohol misuse within your organisation? | Yes  No | |
| g. | Will you ensure, and where necessary work with the Authority to implement, good recruitment practices in order to safeguard children and vulnerable adults? | Yes  No | |

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| **7.9** | **Organisational Procedures** | |
| a. | Do you have an Equal Opportunities policy in place or are willing to put one in place prior to bidding for contracts? | Yes  No | |
| b. | Do you have a customer care and complaints procedure or are willing to put one in place prior to bidding for contracts?? | Yes  No | |
| c. | Do you have contingency plans in place to ensure continuity of service in the event of you being unable to fulfil a Route Instruction? | Yes  No | |

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| **7.10** | **Insurance** | |
| a. | Please confirm whether you already have, or can commit to obtain, prior to submitting a Supplemental Tender, the levels of insurance cover indicated below:  Employer’s Liability Insurance = ten million pounds (£10,000,000)  Public Liability Insurance = five million pounds (£5,000,000)  Motor Insurance (minimum cover level as required by Law) | Yes  No | |
| b. | If applying for Category 4 (Ambulance), or if relevant, (for example where specialist ambulance or medical transport services are being provided and medical intervention insurance and/or medical malpractice insurance is required for medical professionals engaged in the delivery of the Services) in addition to the insurances listed in question 7.10(a), please confirm that you already have, or can commit to obtain, prior to the commencement of an awarded contract, professional indemnity insurance with a limit of indemnity of not less than five million pounds (£5,000,000) in relation to any one (1) claim or series of claims. | Yes  No  N/A | |

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| **7.11** | **Health and Safety** | |
| a. | All organisations with more than 5 employees must have a Health and Safety Policy.  For organisations that have fewer than 5 employees, the Authority maintains that you must give due regard for your Health and Safety responsibilities and are therefore still required to have a Health and Safety Policy.  Please confirm that your organisation has, or will have prior to bidding for contracts, a Health and Safety Policy that complies with current legislative requirements. | Yes  No | |
| b. | Please confirm that you review your Health and Safety Policy a minimum of every two years. | Yes  No | |
| c. | Do your staff receive induction that includes Health and Safety training before undertaking work for your organisation? | Yes  No | |

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| **7.12** | **Disclosure and Barring Service** | |
| a. | I acknowledge that some contracts will require Disclosure and Barring Service (DBS) cleared personnel to be assigned to operate the contract and I must have DBS cleared personnel to be able to be successfully awarded any such contracts. | Yes  No | |
| b. | I acknowledge that DBS clearances must be applied for through the Authority, and if successful in bidding for a contract that requires DBS cleared personnel, I acknowledge that evidence of DBS clearance for the assigned personnel from my organisation will be requested by the Authority before and throughout the contract period. | Yes  No | |

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| **7.13** | **Data Protection** | |
| a. | Have you ever been issued with an enforcement notice by the Information Commissioner’s Office or been fined in relation to a breach of the Data Protection Act/ General Data Protection Regulation? | Yes  No | |
| b. | If you answered "Yes" to 7.13(a) you must provide further details of the incident(s) and what mitigating actions your organisation has taken in response to the incident(s).  If you answered "No" to 7.13(a) please move on to section 7.14. | [insert details] | |

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| **7.14** | **Timescales** | |
| a. | By requesting to participate in this Dynamic Purchasing System, I/we understand that wherever possible the response time for published opportunities for individual routes awarded under the Dynamic Purchasing System (each known as a call off contract or contract for route instruction) will be no less than ten (10) days. However, in circumstances where this is not possible I/we agree to opportunities being let under reduced timescales, which may include opportunities being published and awarded within the same day. I/we acknowledge that the response period for each opportunity will be stated at the time of publishing. | Yes  No | |

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| **7.15** | **Declaration** | |
| a. | Do you agree to the following declaration?  I/we warrant, represent and undertake to the Authority that:  a) neither I/we nor any employee or third party acting on my/our behalf has offered, promised or given any bribe or inducement or made any threat or colluded (or offered or agreed to collude) with any other person in connection with this Dynamic Purchasing System procurement exercise;  b) I/we have complied in all respects with the Authority's instructions applying to this Submission;  c) all information, representations and other matters of fact contained in my/our Submission are true, complete and accurate in all respects;  d) I/we have made our own investigations and research and:  1) are satisfied in respect of all matters relating to this Submission;  2) have not submitted this Submission by relying on any information, representation or assumption provided by the Authority;  3) will not enter into any future call off contract by relying on any information, representation or assumption provided by the Authority;  4) are satisfied that information in the Submission is accurate and sufficient;  e) I/we have full power and authority to enter into contracts;  f) should I/we be awarded any call off contract to deliver services under the Dynamic Purchasing System then in providing the services:  1) I/we are of sound financial standing and will have sufficient premises, vehicles, working capital, skilled staff and other resources available;  2 I/we have obtained or are able to obtain all necessary consents, licences and permissions; and  3) I/we acknowledge that I/we will be required to process personal data and I/we will comply with the prevailing data protection legislation to protect personal data. | Yes  No | |

**Contact details and declaration**

I declare that to the best of my knowledge the answers submitted and information contained in this complete document are correct and accurate, including parts 1, 2 and part 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, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

|  |  |
| --- | --- |
| Signature (electronic is acceptable) |  |
| Date |  |

|  |  |
| --- | --- |
| **Contact details of those making the declaration** | |
|  | Response |
| Contact name |  |
| Name of organisation |  |
| Role in organisation |  |
| Phone number |  |
| E-mail address |  |
| Postal address |  |

**Annex D - Exclusion Grounds: Public Procurement**

## Mandatory Exclusion Grounds

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**

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 negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award, or withheld such information or is not able to submit supporting documents required under regulation 59.

**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. See Annex D for full list of exclusions [↑](#footnote-ref-1)
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-2)
3. See definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-3)
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-4)
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-5)
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-6)
7. see Notes for Completion [↑](#footnote-ref-7)