



Transport for London



Standard Selection Questionnaire

Telecommunications Commercialisation Project Tender

TfL Reference Number: TfL 93898

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Part A - Introduction to Opportunity

1. Overview

TfL is seeking to appoint a suitably experienced commercial partner (the **Concessionaire**) to commercialise certain of its assets, for the purposes of providing telecommunications services.

The Concessionaire will be responsible for developing all aspects of the TCP including designing, financing, installing, operating and maintaining the telecoms infrastructure and delivering the service requirements as set out in the Concession Agreement, as well as commercialising the service.

TfL will be seeking a share of the revenue generated by the concession which it will re-invest in its transport network.

It is currently envisaged that the concession will be for a period of twenty years with an option to extend for a further five years. The concession will be awarded under a concession agreement through a competitive tendering process.

Experience of building and operating substantial DAS neutral host solutions together with experience in deploying a fibre-optic cable networks is essential. A background in utilising streetscape assets to support small cell deployment and support for public Wi-Fi would also be desirable. The Concessionaire will also be expected to demonstrate a proven record in commercialising DAS and fibre optic networks.

For a broad overview of this opportunity please refer to Annex 1- Connected London (Summary of the Telecommunications Commercialisation Project) and Annex 3 (Summary of Contract Terms) Appendix 1 (Schedule 2.1 Scope of Services Description).

2. Document structure

For the purposes of the SSQ phase of TfL's TCP, the following documents are being provided to Applicants via TfL's e-Tendering portal:

- Standard Selection Questionnaire (this document)
- Annex 1 – Connected London (Summary of the Telecommunications Commercialisation Project)
- Annex 2 – Summary of Invitation to Tender
- Annex 3 – Summary of Contract Terms
- Annex 3 (Summary of Contract Terms) Appendix 1 (Schedule 2.1 Scope of Services Description)

Part B - Instructions

1. Key terms / definitions

1.1 Key terms used in this SSQ are defined below:

Term	Definition
4G	means the fourth generation of cellular network technology with capabilities defined by the International Telecommunications Union in the IMT Advanced Standard;
5G	means the next-generation of mobile networks beyond the 4G LTE mobile networks of today;
Acts	shall have the meaning set out in Paragraph 9.1 of this SSQ;
Affiliate Company	means a Parent Company of or a legal entity that is related through common majority group ownership and control to the Applicant or, if the Applicant is a Consortium or a Joint Venture, of or to one of the Consortium / JV Member(s);
Allowable Assumptions	means the assumptions set out in the Concession Agreement which have been approved as Permitted Bid Assumptions by TfL as part of the ITT process;
Applicant	means an applicant who has submitted a SSQ response to be selected by TfL as a Tenderer for the TCP either as: <ul style="list-style-type: none"> (a) an entity (whether or not incorporated) owned or controlled (or to be owned or controlled) by a single incorporated entity; or (b) a Consortium or Joint Venture;
Associated Companies	means in relation to a body corporate, any other entity which is a subsidiary or parent entity of that body corporate or is a subsidiary of the same parent entity of that body corporate and Associated

Term	Definition
	Company shall be construed accordingly;
Bid Assumption	has the meaning set out in Paragraph 2.6 of Annex 2 – Summary of Invitation to Tender;
Business Plan	means the business plan to be provided by the Concessionaire and reviewed by TfL which will include at a sufficiently detailed level to show projections and assumptions for revenue, operating expenditure, capital expenditure and cash flow at service level. Detailed for the first 5 years with forecasts beyond that;
CDM Regulations 2015	means the Construction (Design and Management) Regulations 2015;
Central Government Body	means a body listed in one of the following sub-categories of the Central Government classification of the Public Sector Classification Guide, as published and amended from time to time by the Office for National Statistics: <ul style="list-style-type: none"> (a) Government Department; (b) Non-Departmental Public Body or Assembly Sponsored Public Body (advisory, executive, or tribunal); (c) Non-Ministerial Department; (d) Executive Agency; or (e) devolved government;
Concession Agreement	means the agreement which will be entered into by TfL and the Preferred Tenderer(s) at the completion of the Procurement;
Concessionaire	has the meaning set out Paragraph 1 of Part A of the SSQ;
Concessionaire Personnel	means all directors, officers, employees, workers, agents, consultants and contractors of the Concessionaire or of any sub-contractor engaged in the

Term	Definition
	performance of the Concessionaire's obligations under the Concession Agreement;
Consortium	means an association of two or more organisations working together with the objective of pooling their resources and acting jointly for the purposes of being awarded the Concession Agreement who have not formed a legal entity at this point in the procurement, and Consortia shall be construed accordingly;
Consortium / Joint Venture (JV) Member	means, in relation to an Applicant that is a Consortium or a Joint Venture, each company, firm, corporate body or other legal entity which is a member of the Consortium or Joint Venture (as applicable);
DAS	means Distributed Antennae System;
Data Controller	has the meaning given in the following: <ul style="list-style-type: none"> (a) any legislation in force from time to time in the United Kingdom which implements the European Community's Directive 95/46/EC and Directive 2002/58/EC, including but not limited to the Data Protection Act 1998 and the Privacy and Electronic Communications (EC Directive) Regulations 2003; (b) from 25 May 2018 only, the Regulation (EU) 2016/679 on the protection of natural persons with regard to the Processing of personal data and on the free movement of such data (the "General Data Protection Regulation"); (c) any other legislation in force from time to time in the United Kingdom relating to

Term	Definition
	<p>privacy and/or the Processing of Personal Data; and</p> <p>(d) any statutory codes of practice issued by the Information Commissioner in relation to such legislation;</p>
Data Processor	<p>has the meaning given in the following:</p> <p>(a) any legislation in force from time to time in the United Kingdom which implements the European Community's Directive 95/46/EC and Directive 2002/58/EC, including but not limited to the Data Protection Act 1998 and the Privacy and Electronic Communications (EC Directive) Regulations 2003;</p> <p>(b) from 25 May 2018 only, the Regulation (EU) 2016/679 on the protection of natural persons with regard to the Processing of personal data and on the free movement of such data (the "General Data Protection Regulation");</p> <p>(c) any other legislation in force from time to time in the United Kingdom relating to privacy and/or the Processing of Personal Data; and</p> <p>(d) any statutory codes of practice issued by the Information Commissioner in relation to such legislation;</p>
DCMS	means the Department for Digital, Culture, Media and Sport;
Draft Concession Agreement	means the draft version of the Concession Agreement issued with the

Term	Definition
	ITT;
EAP-SIM	means an Extensible Authentication Protocol (EAP) [RFC3748] mechanism for authentication and session key distribution using the Global System for Mobile communications (GSM) Subscriber Identity Module (SIM). It is used in the current Wi-Fi service to authenticate users via their sim cards rather than logging in with a username and password;
EBITDA	means earnings before interest, taxes, depreciation and amortisation;
EE	means Everything Everywhere (EE) Limited (company number: 02382161);
Effective Date	means the later of: <ul style="list-style-type: none"> (a) the date on which the Concession Agreement is signed by both Parties; and (b) the date on which any condition precedent been satisfied or waived;
ESN	means Emergency Services Network, the new communication system used by the three emergency services and other public safety users in the UK. TfL and the Home Office are cooperating to improve the communication systems for the emergency services on the London Underground. The new ESN will be based on the standard 4G network provided by the mobile network operator EE;
ESN Service Management Services	means the services set out in Appendix 1 of Schedule 2.1 Scope of Services Description (Annex 3);
Exogenous Assumptions	has the meaning set out in Paragraph 2.4 of Annex 2 – ITT Summary;
Final Tender Submission	has the meaning set out in Paragraph 2.1 of Annex 2 – ITT Summary;

Term	Definition
FOIA	means the Freedom of Information Act 2000;
GDPR	means the General Data Protection Regulation (Regulation (EU) 2016/679);
GLA	means the Greater London Authority;
GLA Group	means the list of GLA entities set out at Paragraph 13.4 of Schedule 2.1 Scope of Services Description (Annex 3);
Good Industry Practice	<p>means at any time the exercise of that degree of care, skill, diligence, prudence, efficiency, foresight and timeliness which would be reasonably expected at such time from:</p> <ul style="list-style-type: none"> (a) a leading and expert supplier of services similar to the Services to a customer like TfL; and (b) a competent and experienced designer of telecoms infrastructure and network installation services, <p>such supplier seeking to comply with its contractual obligations in full and complying with applicable Laws;</p>
HMRC	means HM Revenue and Customs;
HSE	means health, safety and environment;
Interim Submission	has the meaning set out in Paragraph 2.4 of Annex 2 – ITT Summary;
IPR	means intellectual property rights;
ISP	means Internet Service Providers;
ITIL	means the Information Technology Infrastructure Library;
ITT	means invitation to tender;
Joint Venture (JV):	means an association of two or more organisations working together with the

Term	Definition
	objective of pooling their resources and acting jointly for the purposes of being awarded the Concession Agreement who have already formed a legal entity for the purposes of this Procurement;
JOTS	means Joint Operator Technical Specification;
Key Sub-contractor	<p>means:</p> <ul style="list-style-type: none"> (a) a Consortium/ JV Member that has or will have 20% or more equity investment (or equivalent) in the proposed Consortium or Joint Venture; and (b) where the Qualifying Consortium/ JV Members under paragraph (a) collectively hold or will hold less than 70% of the equity investment in the Applicant's Consortium or Joint Venture (as applicable), the next largest Consortium/ JV Member (or Consortium/ JV Members, if appropriate) with less than 20% equity investment in the proposed Consortium or Joint Venture will be considered as a Qualifying Consortium/ JV Members, until all Qualifying Consortium/JV Members of the Applicant collectively hold at least 70% of the equity investment in the Applicant's proposed Consortium or Joint Venture (as applicable); or (c) any SSQ Sub-contractor;
KPI	means key performance indicator;



Term	Definition
Law	means any law, statute, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of section 2 of the European Communities Act 1972, regulation, order, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body with which the Concessionaire is bound to comply;
LFFN	means the Local Full Fibre Network challenge fund administered by DCMS. The LFFN programme aims to stimulate commercial investment in full fibre networks across the whole of the UK landscape, including rural and urban locations in England, Scotland, Wales and Northern Ireland, by demonstrating approaches that encourage additional private investment and by making sustainable commercial deployments viable;
London Boroughs	means the list of London local authorities set out at Paragraph 13.4 of Schedule 2.1 Scope of Services Description (Annex 3);
London Underground	collectively refers to the following lines: Bakerloo, Jubilee, Northern, Piccadilly, Metropolitan, Hammersmith and City, Waterloo and City, Central, Circle and District;
LTE	means the Long Term Evolution Standard;
MIMO	means “multiple input, multiple output” which is an antenna technology for wireless communications in which multiple antennas are used at both the transmitter and the destination receiver;
MNO	means mobile network operator;
MVNO	means mobile virtual network operator;

Term	Definition
NPV	means net present value;
Parent Company	means either of the following: <ul style="list-style-type: none"> a) in relation to an Applicant that is not a Consortium or Joint Venture, the legal entity that owns or controls (or will own or control) the Applicant, as applicable (and the ultimate parent where the corporate structure involves any companies which own or control the immediate Parent Company); or b) in relation to an Applicant that is a Consortium or Joint Venture, the legal entities that own or control (or will own or control) each individual Consortium/JV Members (and the ultimate parent where the corporate structure involves any companies which own or control the immediate Parent Companies);
PCN	means Public Cellular Network;
Permitted Bid Assumptions	has the meaning set out in Paragraph 2.6 of Annex 2 – ITT Summary;
Permitted Recipients	has the meaning set out in Paragraph 9.4 and Permitted Recipient shall be construed accordingly;
Personal Data	has the meaning given in the following: <ul style="list-style-type: none"> (a) any legislation in force from time to time in the United Kingdom which implements the European Community's Directive 95/46/EC and Directive 2002/58/EC, including but not limited to the Data Protection Act 1998 and the Privacy and Electronic Communications (EC Directive) Regulations 2003; (b) from 25 May 2018 only, the

Term	Definition
	<p>Regulation (EU) 2016/679 on the protection of natural persons with regard to the Processing of personal data and on the free movement of such data (the “General Data Protection Regulation”);</p> <p>(c) any other legislation in force from time to time in the United Kingdom relating to privacy and/or the Processing of Personal Data; and</p> <p>(d) any statutory codes of practice issued by the Information Commissioner in relation to such legislation;</p>
Preferred Tenderer	means the Tenderer(s) selected by TfL, following the Final Tender Submission, to proceed to Concession Agreement execution;
Procurement	means the two stage process through which a private sector entity or entities is appointed to enter into the Concession Agreement with TfL to deliver the TCP;
Reserve Preferred Tenderer	means a Tenderer which, following evaluation of Final Tender Submissions, remains in contention to be awarded the Concession Agreement, should the Preferred Tenderer fail to comply with the Final Tender Submission or the requirements of the Preferred Tender letter;
Residual Life	means that the relevant asset is in good working order and is the subject of a support and maintenance agreement between the Concessionaire and either a third party or the original equipment manufacturer;
Section 12	means those stations that are

Term	Definition
	underground and come under the definition of section 12 of the Fire Precautions (Sub-Surface Railway Stations) Regulations 2009;
Services	means the services set out in Schedule 2.1 Scope of Service Description (Annex 3);
SLA	means service level agreement;
SMS	means service management system;
SSQ	means this Standard Selection Questionnaire including all appendices and annexes;
SSQ Document Pack	<p>means the following documents:</p> <ul style="list-style-type: none"> • Standard Selection Questionnaire (this document); • Annex 1 - Connected London (Summary of the Telecommunications Commercialisation Project); • Annex 2 - Summary of Invitation to Tender; and • Annex 3 – Summary of Contract Terms (including Appendix 1 Schedule 2.1 (Scope of services))
SSQ Sub-contractor	means a sub-contractor on whom an Applicant wishes to rely to respond to a question in this SSQ. To be a SSQ Sub-contractor it will be necessary for the Applicant to prove that the sub-contractor supports the Applicant by means of the submission as part of the SSQ response of a letter from a director of the sub-contractor showing support for the project (or equivalent evidence of a legal link between the SSQ Sub-contractor and the Applicant).
Tax	has the meaning in question number 9.1 of section 9 of Part 3 of the SSQ;

Term	Definition
TCP	means Telecommunications Commercialisation Project;
Tender Requirements	has the meaning set out in Paragraph 3.4 of Annex 2 – ITT Summary;
Tenderer	means an Applicant successful at the SSQ stage who has been invited to the second stage of this procurement;
Tenderer Presentation	means the presentation at which a Tenderer will present their solution to TfL following Final Tender Submission;
Term	means the initial term of 20 years, together with, where applicable, the 5 year extension;
TfL	means Transport for London;
TfL Data	means: <ul style="list-style-type: none"> (a) the data, text, drawings, diagrams, images or sounds (together with any database made up of any of these) which are embodied in any electronic, magnetic, optical or tangible media, and which are: <ul style="list-style-type: none"> (i) supplied to the Concessionaire by or on behalf of TfL; and/or (ii) which the Concessionaire is required to generate, process, store or transmit pursuant to this Agreement; or (b) any Personal Data for which TfL is the Data Controller;
Third Party Contracts	means a contract with a third party entered into by the Concessionaire exclusively for the purpose of delivering the Services;



Term	Definition
TUPE	means the Transfer of Undertakings (Protection of Employment) Regulations 2006 (SI 2006/246) (as amended); and
VAT	means value added tax.

2. Notes for Applicants seeking selection

- 2.1 Please note that Annex 1 – Connected London (Summary of the Telecommunications Commercialisation Opportunity), Annex 2 – Summary of Invitation to Tender and Annex 3 - Summary of Contract Terms, as well as associated attachments and appendices uploaded with this SSQ are for information only at this stage. Updated documents will be released at a future date to those Applicants that have been invited to take part in the tender.
- 2.2 The purpose of this SSQ Document Pack is to assist TfL in deciding which Applicants to invite to tender for the TCP. This SSQ Document Pack is for use by Applicants who are interested in tendering for this contract, their professional advisers and other parties essential to preparing responses to the SSQ and for no other purpose.
- 2.3 This SSQ Document Pack is made available in good faith. No warranty is given as to the accuracy or completeness of the information contained in it and any liability for any inaccuracy or incompleteness is therefore expressly disclaimed by TfL and its advisers.
- 2.4 At a later stage you may be asked to confirm that there has not been a material change to the matters addressed in this SSQ Document Pack which may change the responses you have given.
- 2.5 No information contained in this SSQ Document Pack or in any communication with TfL in connection with this SSQ Document Pack shall be relied on as constituting a contract, agreement, or representation that any contract shall be offered at any time. TfL is not bound to award a contract for this proposed requirement.
- 2.6 Under no circumstances shall TfL incur any liability, financial or otherwise, in respect of this SSQ Document Pack. We reserve the right to cancel the selection process at any point. We are not liable for any costs resulting from cancellation of this process or for any costs incurred by Applicants taking part in the selection process. This SSQ Document Pack does not create contractual or quasi-contractual obligations that are binding on TfL.
- 2.7 Direct or indirect canvassing of the Mayor of London, any Deputy Mayor, London Assembly member, councillor in any London Borough or any Government Minister, public sector employee or agent by you concerning the proposed requirement, or any attempt by you to obtain information from the same concerning this SSQ Document Pack may result in ineligibility for selection.



- 2.8 Failure to disclose all material information (facts that TfL regards as likely to affect the selection process), or disclosure of false information may result in ineligibility for selection. You must provide all information requested and not assume that TfL has prior knowledge of any of your information.
- 2.9 Please answer every question. If the question does not apply to you please write N/A; if you do not know the answer please write N/K but this may impact on your evaluation. All responses and accompanying documents must be in the English language.
- 2.10 You must submit any questions relating to this SSQ via the clarifications facility on TfL's e-Tendering portal (found at: <https://procontract.due-north.com/>) no later than 13:00 on **26/06/2018** to allow TfL sufficient time to respond to all concerned prior to the closing date for the receipt of completed SSQ responses.
- 2.11 TfL will endeavour to respond within five working days to clarification questions, which have been transmitted to TfL via the TfL e-Tendering portal prior to the SSQ clarification deadline set out in Paragraph 2.10.
- 2.12 You should be aware that:
 - if, in TfL's view, questions are of a general nature, TfL will provide copies of questions in a suitably anonymous form, together with answers, to all Applicants;
 - if, the Applicant has marked their clarification as 'Confidential' and, in TfL's view, questions are of an Applicant-specific, commercially sensitive nature, TfL will provide copies of questions, together with answers, only to the Applicant seeking clarification. Where TfL does not agree that the question relates to an Applicant-specific, commercially sensitive matter it shall contact the Applicant prior to responding to the question and may refuse to provide the response on a 'Confidential' basis; and
 - the clarification process will be conducted on the basis of the equal, transparent and non-discriminatory treatment of Applicants.

PLEASE NOTE: TfL reserves the right not to answer clarification questions, which it receives after the SSQ clarification deadline set out in Paragraph 2.10.
- 2.13 Please submit your completed SSQ response and accompanying documentation via the e-Tendering portal by 13:00 on **06/07/2018**. Guidance for making your submission can be found in the FAQ and Interactive Walkthroughs sections on the e-Tendering portal.
- 2.14 Please confirm via the clarifications facility on the TfL eTendering portal by no later than 13:00 on **20/06/2018** that you shall submit a completed SSQ response; if you decide not to submit a completed SSQ response please disassociate all your organisations users from the opportunity in the TfL eTendering portal.
- 2.15 A qualifying SSQ response is a response which does not receive any Fail Scores and is not otherwise excluded from the SSQ process.
- 2.16 Each question will be scored as indicated in Appendices A, B, C, as follows:

- Pass/Fail and Discretionary Pass/Fail criteria will apply as indicated, and failures will be allocated where threshold scores for failure are indicated;
 - A “Fail” score on any question designated a Pass/Fail or Discretionary Pass/Fail will result in exclusion from the procurement process; and
 - Indicated weightings will be applied to scored questions to rank those SSQ responses with no fails.
- 2.17 It is anticipated that this SSQ will shortlist a maximum of the four highest scoring qualifying Tenderers to be invited to tender, at the discretion of TfL.
- 2.18 Applicants will be notified in writing of the selection outcome before the ITT is issued.
- 2.19 TfL reserves the right to reject SSQ responses which are not submitted in accordance with the instructions given.
- 2.20 When responding to the SSQ, please do not make references to other sections of your SSQ response; information should simply be repeated where necessary. Failure to do so may result in the Applicant achieving a lower score.
- 2.21 Where a Joint Venture (JV) or Consortium bid (please refer to section 1 for full definitions) is proposed, please provide the information requested in this document as per the instructions in section 0 (Guidance in provision of SSQ response).
- 2.22 Tenderers will be required to provide in their tender submissions an undertaking that if awarded the Concession Agreement they will contract with TfL through a single incorporated entity. TfL considers that for the satisfactory performance of the contract, having particular regard to the ease of contract management, the formation of a single incorporated entity is necessary.

3. Indicative Timetable

- 3.1 The following table illustrates the indicative timetable for this selection exercise. Please note this timetable is neither binding nor fixed:

Activity	Date
Deadline for submission of SSQ clarification questions	13:00 on 26 June 2018
SSQ return	13:00 on 06 July 2018
Complete short-listed Tenderer selection	August 2018
Issue ITT to selected Tenderers	August 2018
Interim Submission	October 2018
Final ITT requirements issued	November 2018



Deadline for submission of ITT clarification questions	December 2018
Final Tender Submission	December 2018
Selection of Preferred Tenderer	February 2019
Award Concession Agreement	March 2019

4. Responsible Procurement

- 4.1 The GLA Group has defined 'Responsible Procurement' as the purchase of goods, works and services in a socially and environmentally responsible way that delivers value for money and benefits to TfL and to London.
- 4.2 In 2017 the GLA Group updated its Responsible Procurement Policy to support the delivery of the Mayor of London's vision for London. The policy defines six themes of responsible procurement. These are: enhancing social value; encouraging equality and diversity; embedding fair employment practices; enabling skills, training and employment opportunities; promoting ethical sourcing practices; and improving environmental sustainability.
- 4.3 TfL encourages Applicants and those companies interested in tendering for TfL contracts to undertake their activities in line with the Responsible Procurement principles. Further information on TfL's Responsible Procurement policies can be found on the following website: <https://tfl.gov.uk/corporate/publications-and-reports/procurement-information>.

Please visit this web page to ensure you are working with the current version of this policy.

5. TUPE

- 5.1 The attention of Applicants is drawn to TUPE.
- 5.2 TfL anticipates that no relevant transfer under TUPE will take place. However, Applicants will be expected to undertake due diligence and form their own view as to whether the TUPE is likely to apply in respect of the proposed opportunity. TfL does not make any warranty or representation concerning a) the application of TUPE (or otherwise) to the opportunity, or b) the accuracy or completeness of any information it provides regarding the application of TUPE (in this SSQ Document Pack or otherwise).

6. Applicants' Organisation and Structure



- 6.1 The resources, range and depth of skills needed to deliver the TCP could reside within a single vertically integrated organisation delivering the whole project or a group of organisations that may wish to collaborate together to form a Consortium or JV. In either case, entities may wish to bid on the basis of an intention to enter into sub-contracting arrangements to deliver certain aspects of the scope.
- 6.2 Accordingly, TfL is willing to consider SSQ responses from JVs, Consortia or single organisations, in each case acting alone or including SSQ Sub-contractors.
- 6.3 It is critical for Applicants to set out whether they are applying to be evaluated and short listed as a single entity or in a Consortium or JV arrangement and whether they are bidding with a SSQ Sub-contractor. The proposed role of each Consortium / JV Member / SSQ Sub-contractor on the TCP, the proposed equity investment of each Consortium / JV Member in the relevant special purpose vehicle (or equivalent arrangement) and Consortium / JV Members should be set out clearly in the Applicant's SSQ response.
- 6.4 TfL does not require the Consortia to have formed the legal entity or contracting structure which would deliver the Concession Agreement at the SSQ stage of this procurement. However, various questions require Applicants to set out what the identity of all parties and proposed shareholdings will be within the Consortium arrangement. Tenderers will be required to provide in their tender submissions an undertaking that if awarded the Concession Agreement, they will contract with TfL through a single incorporated entity.
- 6.5 TfL recognises that arrangements in relation to Consortia, JVs and SSQ Sub-contractor arrangements may be subject to future change and Applicants should therefore respond in light of such arrangements as they are currently envisaged. Applicants should note, however, that future change to the bidding structure of Applicants will be subject to the approval of TfL.
- 6.6 When responding to SSQ technical questions, it is recognised that in a single entity, Consortium or Joint Venture, each Consortium / JV Member / SSQ Sub-contractor may not be able to provide all requested information because it does not have the relevant experience. In this case, the Applicant as a whole should be able to provide the information requested in accordance with the requirements in the technical section. Applicants should clearly indicate which Consortium/JV Member/SSQ Sub-contractor is providing the information in the SSQ response for evaluation.



- 6.7 Please note that where a specific, identified Consortium / JV Member or their Affiliate Company / SSQ Sub-contractor, is relied upon to meet a particular requirement (e.g. capital raising or technical competency), TfL requires that the specific Consortium / JV Member / SSQ Sub-contractor relied upon will actually be substantially responsible for the fulfilment of the role(s) in the bidding organisation that relate substantially to the relevant the requirement tested. This will be assessed by means of the response to question 6.1 in the SSQ below, together to with the responses to those which require reference to experiences/capabilities of Consortium / JV Member / SSQ Sub-contractors (as the case may be). Where this rule is not complied with, TfL reserves the right to award a score of 0 or Fail in relation to the response requiring reference to experiences/capabilities.
- 6.8 When selecting potential Consortium/ JV Members / SSQ Sub-contractors, the Applicant, each Consortium / JV Member, and the Parent Company shall ensure that there is no conflict of interest (whether actual, potential or perceived) arising from any work on this procurement process or other work for TfL, the GLA or any of TfL's Associated Companies or any member of the GLA Group or for another Applicant, its Consortium / JV Member(s)/ SSQ Sub-contractor(s) or Parent Company(s) in connection with this procurement process.
- 6.9 The Applicant, Consortium/JV Member/ SSQ Sub-contractor and Parent Company shall inform TfL immediately in writing if any actual, potential or perceived conflict of interest arises, and TfL shall, at its absolute discretion, decide on the appropriate course of action (which may include disqualification from the procurement process if the Applicant cannot satisfy TfL that the conflict of interest is not capable of distorting competition or continued participation on the basis of compliance with conditions specified by TfL).
- 6.10 If TfL becomes aware of any conflict of interest (whether actual, potential or perceived) that an Applicant, Consortium/ JV Member / SSQ Sub-contractor or Parent Company has not declared to TfL, the Applicant may be disqualified from the procurement process.

7. Guidance in provision of SSQ response

- 7.1 The parts of the SSQ must be completed as set out in the table below.
- 7.2 TfL reserves the right to require additional entities to complete one or more parts of this SSQ (at any time during the procurement or subsequent operation of the concession).

SSQ Section	Question	If the Applicant is a single entity	If the Applicant is a Consortium or Joint Venture or relies on SSQ Sub-contractors
Part 1: Potential Applicant Information			
Section 1: Potential Applicant information	Question 1.1 (a) - 1.1 (p)	The Applicant	All Consortium / JV Members / SSQ Sub-contractors
Section 2: Bidding Model	Question 1.2 (a)(i) – 1.2 (b)(ii)	The Applicant	All Consortium / JV Members/ SSQ Sub-contractors
Section 3: Contact Details and Declaration	Question 1.3(a) – 1.3(h)	The Applicant	The Applicant on behalf of all participants
Part 2: Exclusion Grounds			
Section 2: Grounds for Mandatory Exclusion	Question 2.1(a) – 2.3(b)	The Applicant	All Consortium / JV Members / SSQ Sub-contractors
Section 3: Grounds for Discretionary Exclusion	Question 3.1(a) – 3.2	The Applicant	All Consortium / JV Members / SSQ Sub-contractors
Part 3: Applicant Selection Questions			
Section 4: Modern Slavery	Question 4.1(a) – 4.1(b)	The Applicant	All Consortium / JV Members/ SSQ Sub-contractors
Section 5: Insurance	Question 5.1(a) – 5.1(e)	The Applicant	The Applicant
Section 6: Financial Information – Applicant details	Question 6.1, 6.2a and 6.2b	The Applicant	The Applicant
Section 7: Financial Accounts and Subsequent Information	Question 7.1 – 7.7	The Applicant	All Consortium / JV Members / SSQ Sub-contractors
Section 8: Financial Standing	Question 8.1a - 8.6	The Applicant	All Consortium / JV Members / SSQ Sub-contractors



Section 9: Tax	Question 9.1 – 9.2	The Applicant	All Consortium / JV Members / SSQ Sub-contractors
Section 10: Raising Capital Expenditure Finance	Question 10.1a - 10.2	The Applicant	The Applicant and/or each Consortium/ JV Members / SSQ Sub-contractors on whom the Applicant is relying to pass the raising capital expenditure tests
Part 4: Technical Competency			
Section 11: Technical Competence	Question 11.1 – 11.4	The Applicant	The Applicant, including Consortium / JV Members / SSQ Sub-contractors on whom the Applicant is relying to pass the technical competence tests.
Part 5: Health & Safety			
Section 12: Health and Safety	Question 12.1 - 12.3	The Applicant	The Applicant and/or the Consortium/ JV Member / SSQ Sub-contractors whose relevant documentation, if the Applicant was successful in this procurement, the Applicant would put in place and use for the TCP

- 7.3 In respect of the Financial Standing questions in Part 3, the Applicant may elect to present the consolidated financial statements and information from a Parent Company of the Applicant or a Consortium/ JV Member(s) / SSQ Sub-contractor(s) (as applicable) to satisfy the relevant criteria set out in the Financial Standing questions.
- 7.4 Should an Applicant be qualified based upon the financial standing of a Parent Company(s) or SSQ Sub-contractor(s), such Parent Company(s) or SSQ Sub-contractor(s) shall be required to:
- confirm the intent of the Parent Company(s) or SSQ Sub-contractor(s) to provide the necessary financial support to the related company throughout the procurement process and (if applicable) over the life of the concession.



- provide evidence that the Parent Company(s) or SSQ Sub-contractor(s) has been authorised to provide such financial support to the related company in connection with the TCP, such as a certified copy of the relevant board minutes.
 - confirm that the Parent Company(s) or a SSQ Sub-contractor(s) acknowledges and agrees that it will be required to provide a parent company guarantee / guarantee.
- 7.5 Where the Applicant is seeking qualification based upon the financial standing of a Parent Company(s), a Consortium/ JV Member(s), Affiliate Company(ies) or a SSQ Sub-contractor(s), the Parent Company(s), a Consortium/ JV Member(s), Affiliate Company(ies) or a SSQ Sub-contractor(s) will be required to provide a parent company guarantee / guarantee or other surety in a form acceptable to TfL. TfL otherwise reserves the right to require an Applicant to provide a parent company guarantee / guarantee or other surety in a form acceptable to TfL.
- 7.6 In respect of Section 10 Raising Capital Expenditure Finance of Part 3 (Standard Selection Questionnaire) and Section 11 (Technical Competence) of Part 4 (Technical Competency), the Applicant may elect to present evidence of projects undertaken by an Affiliate Company of the Applicant or a Consortium/ JV Member to satisfy the relevant criteria. In doing so, Applicants should be aware that TfL reserves the right to assess at the ITT stage whether Tenderers can, where relevant, demonstrate to the satisfaction of TfL that the relevant skills and resources of the Affiliate Company will be made available to the Tenderer over the life of the concession. If it cannot, at that stage, be established that the relevant skills and resources are available, the Tenderer may then be excluded from the procurement process.
- 7.7 Where an Applicant submits information in the SSQ response in relation to a Parent Company(s) or Affiliate Company, the references to the Applicant, Consortium / JV Member in the SSQ question and the rows in the table above should be interpreted as references to the Parent Company(s) or Affiliate Company of such Applicant, Consortium / JV Member, as applicable.

8. Foreign Exchange Rate Requirements

- 8.1 The Applicant may provide financial information in response to the requirements of the Financial Standing questions in Part 3, including in supporting documents (such as a set of financial statements), in its original currency, except for the purposes of responding to the following requirements where relevant financial information should be provided both in the original currency and converted to Pounds Sterling:
- Question 8.1a and 8.1b Statement of Turnover
 - Question 8.2a EBITDA
 - Question 10.2 Raising Capital Expenditure Finance



- 8.2 Where required in accordance with the above, the Applicant should convert the provided financial information to Pounds Sterling using the foreign exchange closing mid spot rate (or rates, if required for multiple currencies) quoted in the Financial Times printed edition (Market Data, Currencies section) on 07 June 2018 and state the applied foreign exchange spot rate(s) in the Applicant's submission.

9. Confidentiality & Freedom of Information

- 9.1 TfL is committed to meeting its legal responsibilities under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 (together 'the Acts'). Accordingly all information submitted by you may need to be disclosed by TfL in response to a request under the Acts. TfL may decide to include certain information in the publication scheme which it maintains under the Acts, which may include information supplied in response to this SSQ.
- 9.2 If you consider that any of the information included in your SSQ response is commercially sensitive you should clearly identify it and explain (in broad terms) what harm may result from the disclosure if a request is received, and the time period applicable to that sensitivity. Please provide details in Attachment 1 to this SSQ.
- 9.3 The information in this SSQ Document Pack and any associated documents is made available to you on the condition that it is treated as confidential and that you do not disclose, copy, reproduce, distribute or pass it to any other person at any time except for the purpose of enabling a response to be made. You are responsible for ensuring that all such persons give an undertaking at the time of receipt to keep such information confidential. If you are unable or unwilling to comply with this requirement you are required to destroy this SSQ Document Pack and all associated documents immediately and not to retain any electronic or paper copies.
- 9.4 TfL confirms that it will keep confidential and will not disclose to any third parties any information obtained from an Applicant, Consortium/JV Member, SSQ Sub-contractor, Affiliate Company or Parent Company or a named customer contact (as applicable), other than to its Associated Companies, the Cabinet Office, the DCMS, the GLA and members of the GLA Group, the London Boroughs (the **Permitted Recipients**) its professional advisers 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 TfL or any of the Permitted Recipients is under a legal or regulatory obligation to make such a disclosure, including for the avoidance of doubt, where the TfL or the Permitted Recipient considers that it is obliged to release information pursuant to the Acts.
- 9.5 Note that clarification questions and TfL's responses to such questions or other such requests for clarification (with the exception of those deemed commercially sensitive by TfL) shall be communicated to all Applicants completing this SSQ in accordance with the process set out in Paragraph 2.12.

10. Selection Process

10.1 The evaluation team will, as applicable:

- score each question;
- apply pass/fail rating, including those where threshold scores are used to trigger failure (indicated in the SSQ); and
- apply weightings to scored questions to rank those responses which have no fails (i.e. scores above failure thresholds, and pass on all pass/fail responses).

10.2 Applicants who score unacceptable '0', or major reservations '1' in any of the scored questions in section 11 will be deemed as a fail and will be excluded from further participation in this procurement.

10.3 Criteria types

Unless indicated otherwise in the questionnaire, the following criteria types shall be used as stated below:

Pass/Fail - Used to exclude Applicants who do not meet the set requirement; i.e. excludes Applicants who fail question(s) subject to grounds for exclusion.

Discretionary Pass/Fail - Used where the Applicant has not met the set requirement in full, but where the Applicant has provided evidence which mitigates concerns, TfL may at its discretion Pass the Applicant. TfL shall retain the right to exclude Applicants who do not meet the set requirement and could not propose anything that then mitigates identified concerns to TfL's satisfaction.

Score with weighting - Used to indicate the relative importance of a category against others.

For information only - Used to gather general information about the Applicant which is not scored. However, failure to respond to these questions will be deemed a fail.

10.4 For the scored questions, scores (marks) will be awarded using the scoring criteria found in Appendix B unless otherwise stated.

10.5 TfL reserves the right to revisit the responses to any questions asked in this SSQ after the selection is complete to ensure that any changes to Tenderers' circumstances are taken into account during the tendering process. Tenderers are required at any time during the SSQ and tender processes to inform TfL of any changes to circumstances which impact on their response to this SSQ, selection or suitability to tender. TfL reserves the right to deselect a Tenderer prior to any award of contract, based on an assessment of the updated information.

10.6 SSQ Evaluation Criteria

EVALUATION CRITERIA	CRITERIA SCORING	THRESHOLD
Part 1 Potential Applicant Information		
1.1 Applicant Information	Information Only	Information Provided
1.2 Bidding Model	Information Only	Information Provided
1.3 Contact details and declaration	Information Only	Information Provided
Part 2 Exclusion Grounds		
2.1, 2.2 and 2.3 Grounds for mandatory exclusion	Pass/Fail	Pass
3.1 and 3.2 Grounds for discretionary exclusion	Discretionary Pass/Fail	Discretionary Pass
Part 3 Applicant Selection Questions		
Part 3 (a) Additional Questions		
4 Modern Slavery	Pass/Fail	Pass
5 Insurance	Pass/Fail	Pass
Part 3 (b) Economic and Financial Standing		
6 Financial Standing – Applicant Details	Discretionary Pass/Fail	Discretionary Pass
7 Financial Accounts and Subsequent Information	Discretionary Pass/Fail	Discretionary Pass
8 Financial Standing	Discretionary Pass/Fail	Discretionary Pass
9 Tax	Discretionary Pass/Fail	Discretionary Pass
Part 3 (c) Raising Finance		
10 Raising Capital Expenditure Finance	Discretionary Pass/Fail	Discretionary Pass
Part 4 Technical Questions		
Scored (weightings) - 100%		
11.1 Relevant Case study provided	Pass/Fail	Pass
11.2 Design and Build	35%	Minimum Score 2
11.3 Service management	30%	Minimum Score 2
11.4 Commercialisation	35%	Minimum Score 2
Part 5 Health, Safety and Environment		
Discretionary Pass/Fail		
12 Health and Safety	Discretionary Pass/Fail	Discretionary Pass
TOTAL	100%	N/A



11. Uploading SSQ Submission

11.1 All responses to the SSQ must be in a single zipped file with the following file name convention:

“TCP_SSQ_[name of Applicant]” The single zipped file must contain the Applicant’s responses to all of the sections above (one file for each Section). Response documents should all be Adobe PDF version and each document clearly named as follows:

“TCP_SSQ_SECTION [X]_[name of Applicant].pdf”

11.2 Where supplementary information is required, please reference the question numbers and include within the PDF file for that question. Supplementary information must be clearly named in numerical order as follows:

“TCP_SSQ_SUPPORTING INFORMATION_[name of Applicant].pdf”

11.3 All information text should be generated in Arial font size 12 and formatted in A4 page layout. The font size may be smaller in diagrams and tables if required. All submission documentation as a minimum must have the document identifier (example: title block, document label).

11.4 For ease of recognition, the tender documentation submitted by the Applicant shall contain footers sequentially numbered, titled and cross-referenced whenever appropriate.



This Section is to be returned

NAME OF APPLICANT:_____

(Please insert the name of your bidding entity above)

STANDARD SELECTION QUESTIONNAIRE

Tender Ref: TfL 93898

Telecommunications Commercialisation Project

This section must be completed and returned on TfL's e-Tendering portal which can be found at:

<https://procontract.due-north.com/>

To be returned by: 13:00 on 06 July 2018

Part C - Standard Selection Questionnaire (this section to be returned by Applicant)

1. Potential Applicant Information and Exclusion Grounds: Part 1 and Part 2.

The SSQ is a self-declaration, made by you (the potential Applicant), that you do not meet any of the grounds for exclusion¹. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (this is referred to as this self-cleaning).

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example these could be Parent Companies, Affiliate Companies, associates, or SSQ Sub-contractors if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including Joint Ventures and partnerships, each organisation in that group must complete one of these self-declarations.

Please note that while SSQ Sub-contractors that you rely on to meet the selection criteria must complete Parts 1 and 2, sub-contractors which you intend to engage to provide the services, but on which you will not rely need not (at this stage) complete the relevant parts.

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.

2. Applicant Selection Questions: Part 3

See the notes on completing the Applicant Selection Questions, please ensure you sign the declaration provided therein. If you are bidding on behalf of a group (consortium) or you intend to use SSQ -Subcontractor(s), you should complete all of the selection questions on behalf of the Consortium / JV members and/or any SSQ Sub-contractor(s).

If the relevant documentary evidence referred to in the SSQ is not provided upon request and without delay TfL reserves the right to exclude you from the tendering process.

3. Consequences of misrepresentation

¹ For the list of exclusion please see https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf - to the extent that they are applicable to procurements conducted following the rules set out in the Concessions Regulation 2016



If you misrepresent any factual information in filling in the SSQ, 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.

TfL 93898 – Telecommunications Commercialisation Project Tender

RESTRICTED

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 Applicant completing this SSQ i.e. the legal entity responsible for the information provided. The term “potential Applicant” is intended to cover any economic operator as defined by the Concession Contracts Regulations 2016 (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 SSQ, in relation to a group of economic operators (for example, a consortium) and/or use of SSQ Sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. Similarly, where a Consortium / JV Member / SSQ Sub-contractor changes responsibility within the consortium, TfL should be notified so as to ensure that the rule set out in paragraph 6.[7] above is complied with. The Authority will make a revised assessment of the submission based on the updated information.
5. The Applicant should have regard to the table set out at paragraph 7.2 (above) when determining which parts of the SSQ should be completed by the Applicant, Consortium / JV Members, Affiliate Companies or SSQ Sub-contractor(s), as the case may be, in particular every organisation that is being relied on to meet the selection criteria must complete and submit the self-declaration for Part 1 and Part 2.
6. For answers to Part 3 - If you are bidding as a single entity or in a Consortium or JV arrangement or you intend to use SSQ Sub-contractors, you should complete all of the questions on behalf of the Consortium /JV Members / SSQ Sub-contractors, providing one composite response and declaration.

Part 1: Applicant Information

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

Section 1	Potential Applicant information	
Question number	Question	Response
1.1(a)	Full name of the Applicant submitting the information	
1.1(b) - (i)	Registered office address (if applicable)	
1.1(b) - (ii)	Registered website address (if applicable)	
1.1(c)	Trading status a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) other (please specify your trading status)	
1.1(d)	Date of registration in country of origin	
1.1(e)	Company registration number (if applicable)	
1.1(f)	Charity registration number (if applicable)	
1.1(g)	Head office DUNS (Data Universal Numbering System) number (if applicable)	
1.1(h)	Registered VAT number	
1.1(i) – (i)	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
1.1(i) - (ii)	If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).	
1.1(j) - (i)	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	Yes <input type="checkbox"/> No <input type="checkbox"/>



1.1(j) - (ii)	If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.	
1.1(k)	Trading name(s) that will be used if successful in this procurement	
1.1(l)	<p>Relevant classifications (state whether you fall within one of these, and if so which one)</p> <p>a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual</p>	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) ² ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
1.1(n)	<p>Details of Persons of Significant Control (PSC), where appropriate: ³</p> <ul style="list-style-type: none"> - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met; <ul style="list-style-type: none"> - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. ⁴ <p>(Please enter N/A if not applicable)</p>	
1.1(o)	<p>Details of immediate parent company:</p> <ul style="list-style-type: none"> - Full name of the immediate parent company - Registered office address (if applicable) - Registration number (if applicable) 	

² See E U definition of S ME https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

³ UK companies, Societas European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. See [PSC guidance](#).

⁴ Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.



	<ul style="list-style-type: none"> - Head office DUNS number (if applicable) - Head office VAT number (if applicable) <p>(Please enter N/A if not applicable)</p>	
1.1(p)	<p>Details of ultimate parent company:</p> <ul style="list-style-type: none"> - Full name of the ultimate parent company - Registered office address (if applicable) - Registration number (if applicable) - Head office DUNS number (if applicable) - Head office VAT number (if applicable) <p>(Please enter N/A if not applicable)</p>	

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



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

Section 2		Bidding model																	
Question number	Question	Response																	
1.2(a) - (i)	Are you bidding as the lead contact for a group of economic operators?	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> <p>If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.</p> <p>If no, and you are a supporting Applicant please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3.</p>																	
1.2(a) - (ii)	Name of group of economic operators (if applicable)																		
1.2(a) - (iii)	Proposed legal structure that the group of economic operators intends to form prior to signing the contract (if awarded), being a named single legal entity.																		
1.2(b) - (i)	Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>																	
1.2(b) - (ii)	<p>If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: TfL may request them to complete this form as well.</p> <table border="1"> <tbody> <tr> <td>Name</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Registered address</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>							Name						Registered address					
Name																			
Registered address																			



	Trading status					
	Company registration number					
	Head Office DUNS number (if applicable)					
	Registered VAT number					
	Type of organisation					
	SME (Yes/No)					
	The role each sub-contractor will take in providing the works and / or supplies e.g. key deliverables					
	The approximate % of contractual obligations assigned to each sub-contractor					



Contact details and declaration

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

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

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

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

I am aware of the consequences of serious misrepresentation.

Section 3 Contact details and declaration		
Question number	Question	Response
1.3(a)	Contact name	
1.3(b)	Name of organisation	
1.3(c)	Role in organisation	
1.3(d)	Phone number	
1.3(e)	E-mail address	
1.3(f)	Postal address	
1.3(g)	Signature (electronic is acceptable)	
1.3(h)	Date	



Part 2: Exclusion Grounds

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

Section 2	Grounds for mandatory exclusion	
Question number	Question	Response
2.1(a)	<p>Regulations 38(8) and (9) The detailed grounds for mandatory exclusion of an organisation are set out on this webpage, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the webpage.</p>	
	Participation in a criminal organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Corruption.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Fraud.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Terrorist offences or offences linked to terrorist activities	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Money laundering or terrorist financing	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 2.1(b)
	Child labour and other forms of trafficking in human beings	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please



		provide details at 2.1(b)
2.1(b)	<p>If you have answered yes to question 2.1(a), please provide further details.</p> <p>Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,</p> <p>Identity of who has been convicted</p> <p>If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.</p>	
2.2	If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(a)	<p>Regulation 38(10)</p> <p>Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?</p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
2.3(b)	If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	

Please Note: The authority reserves the right to use its discretion to exclude a potential Applicant where it can demonstrate by any appropriate means that the potential Applicant is in breach of its obligations relating to the non-payment of taxes or social security contributions.

Section 3	Grounds for discretionary exclusion	
Question number	Question	Response
3.1	<p>Regulation 38 (15) The detailed grounds for discretionary exclusion of an organisation are set out on this webpage, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p>	
3.1(a)	Breach of environmental obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(b)	Breach of social obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(c)	Breach of labour law obligations?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(e)	Guilty of grave professional misconduct?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(g)	Aware of any conflict of interest within the meaning of regulation 35 due to the participation in the	Yes <input type="checkbox"/> No <input type="checkbox"/>



	procurement procedure?	If yes please provide details at 3.2
3.1(h)	Been involved in the preparation of the procurement procedure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please provide details at 3.2
3.1(j)	Please answer the following statements	
3.1(j) - (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j) - (ii)	The organisation has withheld such information.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.1(j)-(iii)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Yes <input type="checkbox"/> No <input type="checkbox"/> If Yes please provide details at 3.2
3.2	If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)	

Part 3 – Applicant Selection Questions

3a) Additional Questions

Section 4	Modern Slavery – Pass/Fail	
Question number	Question	Response
4.1(a)	Is the Applicant a relevant commercial organisation as defined by Section 54 (“Transparency in supply chains etc.”) of the Modern Slavery Act 2015 (“The Act”)?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes please answer 4.1(b)
4.1(b)	Is the Applicant compliant with the annual reporting requirements contained within Section 54 of The Act 2015?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Section 5	Insurance – Pass/Fail	
Question number	Question	Response
5.1	Please confirm that the Applicant as a single entity or Consortium/ JV currently maintains or would maintain as a minimum:	
5.1 (a)	Employer’s liability insurance of not less than £10 million per occurrence (and that you comply with the relevant statutory workers’ compensation arrangements for non-UK based employees)	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.1 (b)	Public and product liability insurance of not less than £50m per occurrence (and in the annual aggregate in respect of product liability)	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.1 (c)	Professional indemnity insurance of not less than £10m per occurrence and in the aggregate per annum.	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.1 (d)	<p>Material damage insurance against loss or damage to the equipment/assets being installed on the London Underground network, whether such loss or damage occurs during installation, maintenance or whilst present on the London Underground network.</p> <p>This must be in an amount sufficient to cover the full reinstatement cost of the equipment/assets including associated professional fees and debris removal cost.</p> <p>If you intend to self-insure this risk, please provide confirmation of such.</p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.1 (e)	Where the insurance policies are arranged and maintained by a parent company, please confirm	Yes <input type="checkbox"/>



	that they cover the activities of the Applicant(s) responding to this SSQ and that the policies' territorial limits include the UK	No <input type="checkbox"/>
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3b) Economic and Financial Standing

Section 6	Financial Information – Applicant Details – Discretionary Pass/Fail	
Question number	Question	Response
6.1	<p>Please provide a document identifying if the Applicant is a single entity, Consortium or a Joint Venture.</p> <p>Where applicable, identify each Consortium/ JV Member and/or SSQ Sub-contractor, the proposed role of each Consortium/ JV Member and/or SSQ Sub-contractor and the proposed shareholding or equivalent of each Consortium/JV Member in the relevant special purpose vehicle (or equivalent arrangement).</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
6.2 (a)	For the purposes of question 7 Financial Accounts and Subsequent Information and question 8 Financial Standing, does the Applicant wish to be qualified based upon the financial standing of a Parent Company?	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
6.2 (b)	<p>If the Applicant has answered yes to question 6.2a, please provide details of the entity(s) that wish to be qualified based upon the financial standing of their Parent Company(s) and identify the Parent Company(s).</p> <p>Please confirm the intent of the Parent Company(s) to provide the necessary financial support to the related company throughout the procurement process and (if applicable) over the life of the concession. Please provide evidence that the Parent Company(s) has been authorised to provide such financial support to the related company in connection with the Project, such as a certified copy of the relevant board minutes. Please confirm that the Parent Company(s) acknowledges and agrees that it will be required to provide a parent company guarantee.</p> <p>Where the Applicant is qualified based upon the</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>



	<p>financial standing of a Parent Company(s), the Parent Company(s) will be required to provide a parent company guarantee in a form acceptable to TfL, as a pre-condition to entering the Concession Agreement, if they are selected as preferred bidder. TfL also reserves the right to require any Applicant to procure the provision of parent company guarantee prior to entering into the Concession Agreement in a form acceptable to TfL. Performance bonds, capitalisation of the special purpose vehicle (either fixed or contingent) and/or other forms of credit support may also be required as an alternative or in addition to a parent company guarantees.</p>	
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3b) Economic and Financial Standing

Section 7	Financial Accounts and Subsequent Information – Discretionary Pass/Fail	
Please provide the following information for the single entity Applicant or each Consortium/ JV Member and each SSQ Sub-Contractor, if any, identified in question 6.1. Where an organisation has elected to be qualified based on the financial standing of a Parent Company(s), please provide the following information for the Parent Company(s) providing that Parent Company Support as outlined in question 6.2b.		
Question number	Question	Response
7.1 Annual Accounts	Provide copies of the consolidated audited financial statements for the past three financial years, including auditor's opinions, and any interim financial statements for partial periods that have become available since the most recent annual audited financial statements were released. Where the last annual financial statements are unsigned, draft accounts for that year should be provided. If the respective entity falls below the audit threshold please state this, and provide the full unaudited financial statements for the past three financial years and any interim financial statements for partial periods issued since the latest annual financial statements were released.	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>
7.2a Post financial statement events	Since the date of approval of the last financial statements for each entity provided in question 7.1 above, has there been: (1) any material adverse change in financial or trading position of the relevant entity or (2) any other material post balance sheet event that would require adjustment or disclosure in accordance with the provisions of International Accounting Standards.	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.2b Post financial statement events	If the answer is “Yes” in question 7.2a, please provide details of the relevant changes and/or events and what mitigation measures have been put in place. Only one written statement may be submitted by the Applicant in relation to this question and must be limited to 3 sides of A4 per relevant entity (not including any documents attached to such statement as supporting evidence). Attach a file entitled "7.2b Post Financial	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>

	Statement Events".	
7.3a Contingent Liabilities or Loss	Has there been any contingent liability or loss not otherwise reported in question 7.1 or 7.2a which would require disclosure in accordance with the provisions of International Accounting Standards?	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.3b Contingent Liabilities or Loss	<p>If the answer is "Yes" in question 7.3a, please provide a written statement of such contingent liabilities or losses that were not otherwise reported in question 7.1 or 7.2a which would require disclosure in accordance with the provisions of International Accounting Standards, in order of magnitude. Provide a brief commentary in respect of whether such current contingent liabilities or losses are material to the overall financial performance of the respective entity and if yes, what mitigation measures have been put in place.</p> <p>Only one written statement may be submitted by the Applicant in relation to this question and must be limited to 3 sides of A4 per relevant entity (not including any documents attached to such statement as supporting evidence).</p> <p>Attach a file entitled "7.3b Contingent Liabilities".</p>	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>
7.4a Tax or Regulatory Investigations	Are there any past, pending or threatened tax or regulatory investigations not otherwise reported in question 7.1 or 7.2a, including but not limited to, any tax or regulatory investigations or any tax litigation or proceedings since the date of the last financial statements provided in question 7.1 which may have or have had in the past twelve months a significant effect on the financial or trading position?	Yes <input type="checkbox"/> No <input type="checkbox"/>
7.4b Tax or Regulatory Investigations	If the answer is "Yes" in question 7.4a, please provide a written statement of any past, pending or threatened tax or regulatory investigations where not otherwise reported in question 7.1 or 7.2a in order of magnitude, including but not limited to, any tax or regulatory investigations or any tax litigation or proceedings since the date of the last financial statements provided in question 2.1 which may have or have had in the past twelve months a significant effect on the financial or trading position. In such statement, provide a brief commentary in respect of whether such tax	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>

	<p>or regulatory investigations may have a material adverse impact on the overall financial performance of the respective entity and what mitigation measures have been put in place.</p> <p>Only one written statement may be submitted by the Applicant in relation to this question and must be limited to 3 sides of A4 per relevant entity (not including any documents attached to such statement as supporting evidence).</p> <p>Attach a file entitled “7.4b Tax or regulatory investigations”.</p>	
7.5a Litigations or other legal proceedings	<p>Are there any pending or threatened litigations or other legal proceedings not otherwise reported in question 7.1, 7.2a or 7.4b, including but not limited to, any litigations or legal proceedings since the date of the last financial statements provided in question 7.1 which may have or have had in the past twelve months a significant effect on the financial or trading position?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
7.5b Litigation or other legal proceedings	<p>If the answer is “Yes” in question 7.5a, please provide a written statement of any pending or threatened litigations or other legal proceedings where not otherwise reported in question 7.1, 7.2a or 7.4a in order of magnitude, including but not limited to, any litigations or legal proceedings since the date of the last financial statements provided in question 7.1 which may have or have had in the past twelve months a significant effect on the financial or trading position. In such statement, provide a brief commentary in respect of whether such litigations or other legal proceedings may have a material adverse impact on the overall financial performance of the respective entity and if yes, what mitigation measures have been put in place.</p> <p>Only one written statement may be submitted by the Applicant in relation to this question and must be limited to 3 sides of A4 per relevant entity (not including any documents attached to such statement as supporting evidence).</p> <p>Attach a file entitled “7.5a Litigations or other legal proceedings”.</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
7.6 Audit Opinion	<p>Based upon the information provided in question</p>	<p>Yes <input type="checkbox"/></p>



	7.1, does the Applicant have an adverse audit opinion, a qualified audit opinion or a disclaimer of audit opinion for any financial year covered by such statements?	No <input type="checkbox"/>
7.7 Credit Rating	<p>Please provide evidence of the latest credit rating(s) assigned by recognised credit rating agencies.</p> <p>If credit ratings are not available, please provide an appropriate confirmatory statement.</p> <p>Attach a file entitled "7.7 Credit Rating".</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

Section 8	Financial Standing – Discretionary Pass/Fail	
Please provide the following information for the single entity Applicant or each Consortium/ JV Member and each SSQ Sub-contractor, if any, identified in question 6.1. Where an Applicant has elected to be qualified based on the financial standing of a Parent Company(s) or SSQ Sub-contractor, please provide the following information for the Parent Company(s) providing that parent company support as outlined in question 6.2b.		
Question number	Question	Response
8.1a Statement of Turnover	<p>Please provide the annual turnover for each of the three most recent financial years, including all workings and details of where the relevant information is located in the provided accounts.</p> <p>Attach a file entitled "8.1a Statement of Turnover"</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.1b Statement of Turnover	Does at least one of the entities for which information has been provided in 8.1a have an annual turnover equal to or greater than £150m in each of the three previous years?	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.2a EBITDA	<p>Please provide the EBITDA for the three most recent financial years, including all workings and details of where the relevant information is located in the provided accounts. EBITDA is earnings before interest, taxation, depreciation and amortization and should be calculated as Accounting profit before taxation for the relevant 12 months adding back net interest and depreciation of tangible assets and amortisation of intangible assets charged in the 12 months and excluding the profit or loss relating to joint ventures, dividends received from joint ventures and associates and gains or losses in relation to disposal of fixed assets, investments and / or businesses in the relevant 12 months.</p> <p>Attach a file entitled 8.2a EBITDA"</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.2b EBITDA	In relation to each relevant entity is the EBITDA positive in each of the three previous financial years?	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

8.3a Current Ratio	<p>Please provide the current ratio for each of the three most recent financial years, including all workings and details of where the relevant information is located in the provided accounts. The current ratio is the ratio of current assets to current liabilities. Current assets include items such as cash and cash equivalents, inventory, amounts receivable (or debtors) and other items classified as current assets in the relevant entity's audited financial statements. Current liabilities include items such as short term debt, amounts payable (creditors), other short term liabilities and any other items classified as current liabilities in the relevant entity's audited financial statements.</p> <p>Attach a file entitled "3.3a Current Ratio"</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.3b Current Ratio	<p>In relation to each relevant entity is the current ratio equal to or greater than 1.2 in each of the three previous financial years?</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.4a Capital Gearing Ratio	<p>Please provide the capital gearing ratio for each of the three most recent financial years, including all workings and details of where the relevant information is located in the provided accounts. The capital gearing ratio is the ratio of long term borrowings to total equity. Long term borrowings include debentures, preference shares, finance leases, loans from parent companies, group companies, shareholders and other long term loans. total equity includes equity share capital, all reserves and retained earnings.</p> <p>Attach a file entitled "3.4a Capital Gearing Ratio".</p>	
8.4b Capital Gearing Ratio	<p>In relation to each relevant entity is the capital gearing ratio equal to or less than 1.0 in each of the three previous financial years?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>



8.5a Debt to Earnings Ratio	<p>Please provide the debt to earnings ratio for of the three most recent financial years, including all workings and details of where the relevant information is located in the provided accounts. The debt to earnings ratio is the ratio of total borrowings to EBITDA (earnings before interest, taxation, depreciation and amortization). Total borrowings include debentures, preference shares, finance leases, loans from group companies, other long term loans, as well as short term borrowings such as overdrafts.</p> <p>Attach a file entitled "3.5a Debt to Earnings Ratio".</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.5b Debt to Earnings Ratio	<p>In relation to each relevant entity is the debt to earnings ratio equal to or less than 3.0 in each of the three previous financial years?</p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
8.6 Written Statement	<p>Where the answer to questions 8.1(b), 8.2(b), 8.3(b), 8.4(b), 8.5(b) is "No" please provide a written statement, along with relevant supporting information and specific examples where appropriate, explaining whether:</p> <ul style="list-style-type: none"> - there are reasonable mitigating circumstances and/or appropriate rectification action has been taken; - the underlying reason for not meeting the threshold(s) might affect the relevant entity's financial or trading position and its ability to undertake and manage a project of similar nature and scale; and - how the Applicant plans to reduce the financial and delivery risk to TfL (including the provision of any credit support arrangements on which the Applicant proposes to rely) , or if applicable, the capability of other Consortium/ JV Members or SSQ Sub-contractors to provide financial and/or delivery support in respect of the proposed role of any relevant entity's not meeting the threshold(s). <p>As part of such written statement where the answer to question 8.1(b) is "No", the Applicant should provide specific examples as to how a contract of this nature and scale</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>



	<p>has been managed by the Applicant in the past.</p> <p>As part of such written statement where the answer to question 8.4(b) is "No", if the recalculation of the capital gearing ratio excluding loans from parent companies, group companies and shareholders would result in a value of less than or equal to 1.0 for each of the three previous financial years, please include details of such calculation, a breakdown of the loans from parent companies, group companies and shareholders and a summary of the terms on which the loans are provided.</p> <p>As part of such written statement where the answer to question 8.5b is "No", if the recalculation of the debt to earnings ratio excluding loans from parent companies, group companies and shareholders would result in a value of less than or equal to 3.0 for each of the three previous financial years, please include details of such calculation, a breakdown of the loans from parent companies, group companies and shareholders and a summary of the terms on which the loans are provided.</p> <p>Where an Applicant and/or Consortium/ JV Member elects to be qualified based on the financial standing of a Parent Company(s) or SSQ Sub-contractor and the relevant Parent Company or SSQ Sub-contractor is a Financial Investor (an investor in the form of an investment fund (or similar entity) that manages one or more portfolios of debt and/or equity investments on behalf of shareholders or owners of the fund (or similar entity) and does not undertake any other significant business activity), the Applicant should provide a certification from a duly authorised representative of the investment fund providing the following details of the fund (in addition to the requirements in 6.2(b)):</p> <ul style="list-style-type: none"> - details of the fund's investment criteria and confirmation that its proposed investment in TCP satisfies those criteria; and - details of the fund's investment capacity 	
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	<p>and confirmation, including appropriate evidence, that sufficient sources of financing are available to fund the Consortium/ JV Member's / SSQ Sub-contractor proposed investment.</p> <p>Only one written statement may be submitted by the Applicant in relation to this question and must be limited to 8 sides of A4 per relevant entity identified in question 6.1 (not including any documents attached to such statement as supporting evidence).</p> <p>Attach a file entitled "8.6 Written Statement".</p>	
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Section 9	Tax – Discretionary Pass/Fail	
Question number	Question	Response
9.1 Tax	<p>Please confirm whether the Applicant as a single entity or each Consortium / JV Member/ SSQ Sub-contractor (where applicable) has:</p> <ul style="list-style-type: none"> - Duly and punctually paid all tax and other liabilities in the nature of tax ("Tax") for which it is liable to the extent that they ought to have been paid. - Not been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations - Not in the last three years paid, and is not liable to pay, any fine, penalty, charge, surcharge or interest in relation to Tax and that there are no circumstances which are likely to cause it to become liable to pay any fine, penalty, charge, surcharge or interest. - Not, within the last seven years, entered into or been a party to any scheme, arrangement or transaction designed wholly or mainly for the purpose of avoiding or deferring Tax. 	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>
9.2 Tax	<p>"If the answer is "No" in question 9.1, please provide a written statement. In such statement, provide a brief commentary in respect of the situation, whether the Applicant has entered into a binding arrangement to pay the outstanding tax or social security contributions, discussions with the relevant tax authority, the amount of taxes or social security contributions which remains outstanding, and any remedial action taken.</p> <p>Only one written statement may be submitted by the Applicant in relation to this question and must be limited to 3 sides of A4 per relevant entity (not including any documents attached to such statement as supporting evidence).</p>	<p>Enclosed?</p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>

	Attach a file entitled "9.2 Tax"	
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3c) Raising Finance

Section 10	Raising Capital Expenditure Finance – Discretionary Pass/Fail	
Question number	Question	Response
10.1a Affiliate Company	For the purposes of question 10.2, does the Applicant wish to be qualified based upon evidence of project undertaken by Affiliate Companies of the Applicant or a Consortium/ JV Member	Yes <input type="checkbox"/> No <input type="checkbox"/>
10.1b Affiliate Company Details	<p>If the Applicant has answered "Yes" to question 10.1a, identify the Affiliate Company(s) and which entity it relates to (that is, the Applicant and/ or the Consortium/ JV Member(s), as applicable). Provide details of how the relevant skills, experience and resources of the Affiliate Company(s) will be available to the Applicant.</p> <p>Attach a file entitled "10.1b Affiliate Company details"</p>	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>
10.2 Raising Capital Expenditure Finance	<p>Provide details of 3 projects where the Applicant, Consortium / JV Member or Affiliate Company or SSQ Sub-contractor can demonstrate experience in raising capital expenditure financing for relevant projects or investment programme(s) in the telecommunications sector through corporate (on-balance) finance and/or project finance (e.g. off-balance, for example via special purpose vehicle) structures using external limited recourse equity and/or debt.</p> <p>Nb. the 3 projects need not be submitted by the same Consortium / JV Member, Affiliate Company or SSQ Sub-contractor: different entities within the consortium/JV/contracting group may provide experience – although, as per paragraph 6.7, TfL requires that the entity substantially providing this requirement is amongst those contributing relevant experience.</p> <p>Each referenced project(s) or investment</p>	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>



	<p>programme(s) must meet the following requirements:</p> <ul style="list-style-type: none"> - the Applicant, Consortium/ JV Member / SSQ Sub-contractor or Affiliate Company had a minimum of 20% participation, interest or shareholding in the entity that delivered the referenced project or investment programme that demonstrates the required experience; - the referenced project or investment programme has been substantially delivered in the last 7 years; and - the amount of finance raised for the referenced project or investment programme exceeds £50m (and at least one exceeds £100m). <p>Responses should outline (to the extent relevant for the referenced project or investment programme):</p> <ul style="list-style-type: none"> - a brief summary of the referenced project or investment programme, nature of the telecommunication assets delivered, size of capital investment required and timing of roll out; - the role of the Applicant/ Consortium/ JV Member(s)/ SSQ Sub-contractor/ Affiliate Company in providing or arranging financing for delivering the referenced project or investment project; - the amount of financing raised and the extent to which securing that amount presented a challenge and how that challenge was overcome; - where the referenced project or investment programme involved external finance, what sources of external financing were used, the approach to engagement with financiers, how competitive tension was maximised in order to achieve competitive on-market terms, and details of any experience in managing 	
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	<p>lender / investor due diligence processes in a timely manner</p> <p>Please upload a document containing all examples (either one word document or a zip file containing the individual documents). Each individual example should not exceed 3 sides of A4.</p> <p>Attach a file entitled "Raising Capital Expenditure Finance".</p>	
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Part 4 – Technical Competency

The Applicant must provide two **case studies** in this section together with providing direct responses to the questions in this section in order to enable the scoring and evaluation process. For the avoidance of doubt a case study can relate to experience of the Applicant or a Consortium /JV Member or Affiliate Company or SSQ Sub-contractor engaged to deliver the relevant activity on this project. Please clearly identify the role of each participant in the case studies.

Each case study must be no longer than 10 A4 pages and 4500 words.

Applicants should provide details of their relevant experience in deploying:

- a. DAS solutions in similar environments to London Underground. This could include similar metro networks and other implementations such as large stadiums or airports.
- b. Optical fibre cable networks within a large urban area.
- c. Small cell solutions on streetscape assets.
- d. A public Wi-Fi deployment.

At least one case study must relate to a DAS solution and one case study to a fibre optic network deployment (this may be the same case study).

Failure to meet these criteria will result in the Applicant being eliminated from the SSQ process. Case study evidence provided for small cell solutions on streetscape assets and/or a public WiFi deployment may be used to support the demonstration of the core competencies in questions 11.2, 11.3 and 11.4.

Additionally, for each of the technical questions in this section, please respond with the best examples from your case studies, specifically relating to the question. The examples may be taken from either of the case studies submitted and more than one case study may be used to demonstrate the core competencies in each question. The responses should consider and explain your capabilities across your previous experience relating to these specific areas of interest to TfL.

The responses to the additional questions to assess technical and commercial capabilities will be evaluated using the 7 point scale detailed in Appendix B.

TfL reserve the right to seek references/clarifications to confirm content of SSQ submission.



11.1	Case Studies (Pass/Fail)	
	<p>To demonstrate these capabilities, TfL request that the Applicant provides two case studies in support of this SSQ. Each case study must be a maximum of 10 A4 pages and 4500 words.</p> <p>Have two case studies been provided?</p> <p>At least one case study must relate to a DAS solution and one case study to a fibre optic network deployment (these may be evidenced in the same case study).</p> <p>DAS Solution and fibre optic network experience evidenced?</p> <p>Failure to respond “Yes” to any of these questions will result in the Applicant being eliminated from the SSQ process.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Yes</p>



Case Study 1

Please detail if this example relates to:

A DAS Solution ☐

A Fibre optic solution ☐

Small cell solutions on streetscape assets ☐

A Public WiFi deployment ☐

(tick all that apply)

ANSWER:

(Your response should not exceed 10 A4 pages or 4,500 words)



Case Study 2

Please detail if this example relates to:

A DAS Solution ☐

A Fibre optic solution ☐

Small cell solutions on streetscape assets ☐

A Public WiFi deployment ☐

(tick all that apply)

ANSWER:

(Your response should not exceed 10 A4 pages or 4,500 words)



11.2	Design and Build – Scored	35%
	<p>With reference to the case studies submitted please further demonstrate how you have delivered large and complex telecommunications infrastructure projects with reference to:</p> <ul style="list-style-type: none"> i) Structure of the project team ii) Project management methodology used iii) Compliance with CDM Regulations 2015 or equivalent iv) Project delivery against base plan timeline v) Project delivery against original budget vi) Design approach vii) Testing and Go-Live process viii) Management of sub-contractors and establishment of a good working relationship ix) Risk management and control <p>The response will be evaluated in its entirety and evidence may be drawn from either or both case studies (but not from other sources of experience). It should be made clear in the answer which case study each specific example is drawn from.</p> <p>You may replicate the text from the main case study if necessary.</p> <p>The response to this question must be a maximum of 10 A4 pages and 4500 words.</p>	



11.3	Service Management – Scored	30%
	<p>Using evidence provided in the case studies, please give an overview of your service management and delivery expertise including how you capture and act upon customer satisfaction responses and how that feeds into your continual service improvement plans with reference to:</p> <ul style="list-style-type: none"> i) How do you monitor performance and generate alerts in the event of an incident. ii) How you deliver service management iii) How has service management been effective in improving services iv) Describe the SLAs and KPIs defined, their reporting and performance against these benchmarks v) Describe your change and release management processes <p>Please provide any other evidence from the case studies submitted that you believe demonstrate your commitment and ability to drive operational efficiency and deliver a superior customer experience.</p> <p>The response will be evaluated in its entirety and evidence may be drawn from either or both case studies (but not from other sources of experience). It should be made clear in the answer which case study each specific example is drawn from.</p> <p>You may replicate the text from the main case study if necessary.</p> <p>The response to this question must be a maximum of 10 A4 pages and 4500 words.</p>	



11.4	Commercialisation – Scored	35%
	<p>Commercialisation refers to the Applicant's ability, having successfully built the infrastructure, to successfully develop a revenue stream through effective productisation, marketing and customer relationship management.</p> <p>Using evidence provided in the case studies, please give an overview of your experience:</p> <ul style="list-style-type: none"> i) Product development ii) Go to market strategy and process iii) Key customers and the development of their relationship iv) Achievement against revenue targets v) Use of innovation to gain competitive advantage <p>Please include any other details that support the Applicant's ability to develop and maintain a revenue stream and the underlying customer relationships would be of interest.</p> <p>The response will be evaluated in its entirety and evidence may be drawn from either or both case studies (but not from other sources of experience). It should be made clear in the answer which case study each specific example is drawn from.</p> <p>You may replicate the text from the main case study if necessary.</p> <p>The response to this question must be a maximum of 10 A4 pages and 4500 words.</p>	



Part 5 – Health & Safety

12	Health & Safety – Discretionary Pass/Fail	
12.1	Provide your company Health & Safety policies signed by a senior member of the management team and reviewed within the last 12 months.	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>
12.2	<p>Include an organisation chart identifying Health & Safety personnel, their responsibilities for Health & Safety management.</p> <p>If you do not have in-house Health & Safety advice, describe your arrangements for access to competent Health & Safety advice/assistance.</p>	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>
12.3	<p>Please provide details of your system(s) for the management of health & safety. Please specify:</p> <ul style="list-style-type: none"> a) the contents of the system, b) explain how the system(s) is set up, c) works in practice d) how relevant Health & Safety information is disseminated to staff and sub-contractors. <p>Please note this question refers to how your organisation manages Health & Safety when undertaking a contract.</p>	Enclosed? Yes <input type="checkbox"/> No <input type="checkbox"/>

Appendix A: Evaluation rationale for Financial and Economic Questions.

Section 7: Financial Accounts and subsequent information	Pass Rationale	Fail Rationale
7.1 Annual Accounts	Information provided = Pass	Information not provided = Fail
7.2a Post financial statement events	If the answer is No = Pass	If the answer is Yes, please respond to question 7.2b
7.2b Post financial statement events	TfL considers that the changes and/or events disclosed do not affect or are not likely to affect the Applicant's ability to deliver a contract of this nature and scale and/or there are mitigating circumstances and/or they do not or are not likely to have a significant effect on the financial and trading position of the Applicant.	Not satisfying pass criteria.
7.3a Contingent Liabilities or Loss	If the answer is No = Pass	If the answer is Yes, please respond to question 7.3b
7.3b Contingent Liabilities or Loss	Contingent liabilities or losses are disclosed but TfL considers that they do not affect or are not likely to affect the Applicant's ability to deliver a contract of this nature and scale and/or there are mitigating circumstances and/or they do not or are not likely to have a significant effect on the financial and trading position of the Applicant.	Not satisfying pass criteria.
7.4a Tax or Regulatory Investigations	If the answer is No =	If the answer is Yes, please respond to

	Pass	question 7.4b
7.4b Tax or Regulatory Investigations	Material issues are disclosed but TfL considers they do not affect or are not likely to affect the Applicant's ability to deliver a contract of this nature and scale and/or there are mitigating circumstances and/or they do not or are not likely to have a significant effect on the financial and trading position of the Applicant and/or do not raise significant reputational concerns.	Not satisfying pass criteria.
7.5a Litigations or other legal proceedings	If the answer is No = Pass	If the answer is Yes, please respond to question 7.5b
7.5b Litigation or other legal proceedings	Pending and or threatened litigation or other legal proceedings are disclosed but TfL considers that they are not likely to affect the ability of the Applicant to deliver a contract of this nature and scale and/or they do not or are not likely to have a significant effect on the financial and trading position of the Applicant and/or they do not raise significant reputational concerns.	Not satisfying pass criteria.
7.6 Audit Opinion	If the answer is No = Pass	If the answer is Yes = Fail
7.7 Credit Rating	Information provided = Pass	Information and/or appropriate confirmatory statement not provided = Fail

Section 8: Financial Standing	Discretionary Pass Rationale	Discretionary Fail Rationale
8.1b Statement of Turnover	If the answer is Yes = Pass	If the answer is No, please respond to question 8.6
8.2b EBITDA	If the answer is Yes = Pass	If the answer is No, please respond to question 8.6
8.3b Current Ratio	If the answer is Yes = Pass	If the answer is No, please respond to question 8.6
8.4b Capital Gearing Ratio	If the answer is Yes = Pass	If the answer is No, please respond to question 8.6
8.5b Debt to Earnings Ratio	If the answer is Yes = Pass	If the answer is No, please respond to question 8.6
8.6 Written Statement	The Applicant has not met one or more of the financial standing thresholds set out in question 8.1b, 8.2b, 8.3b, 8.4b, 8.5b and 8.6 but having considered the Applicant's explanatory note together with all aspects of the financial information on the relevant entities provided and, where available, the Creditsafe rating and any credit rating(s) assigned by recognised credit rating agencies as per the response to question 7.7, TfL is satisfied using its professional judgement that there are no unacceptable financial standing risks in relation to the Applicant's	Not satisfying pass criteria.



	potential involvement in the Project.	
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Section 9: Tax	Pass Rationale	Fail Rationale
9.1 Tax	If the Applicant confirms that it has met the requirements = Pass	If the Applicant has not met the requirements, please respond to question 9.2
9.2 Tax	TfL is satisfied that the Applicant has entered into a binding arrangement to pay the full amount of taxes or social security contributions due (including any relevant interest and/or fines), or that such exclusion would be disproportionate, in particular, if only minor tax or social security contributions are unpaid or if the Applicant has not yet had time to fulfil their obligations since learning of the exact amount due or the Applicant sufficiently demonstrates to TfL's satisfaction that the Applicant has taken appropriate remedial action to the relevant situation.	Not satisfying pass criteria.

Part 3b) Raising Finance

Section 10: Raising Capital Expenditure Finance	Pass Rationale	Fail Rationale
10.1a Affiliate Company	If the answer is No = Pass	If the answer is Yes, please respond to question 10.1b



10.1b Affiliate Company Details	Information provided = Pass	Information not provided = Fail
10.2 Raising Capital Expenditure Finance	<p>In relation to each of the three referenced project(s) or investment programme(s), the following criteria are satisfied:</p> <ul style="list-style-type: none"> - The Applicant, Consortium/ JV Member(s) or Affiliate Company(s) or SSQ Sub-contractor(s) have have raised capital expenditure for investment across the referenced projects or investment programmes of at least £50m in each project <u>with at least one instance of at least £100m</u>; - the evidence provided gives good levels of confidence that the Applicant, Consortium/ JV Member/ SSQ Sub-contractor has relevant experience in raising sufficient capital expenditure financing; - the evidence provided gives good levels of confidence that the Applicant, Consortium/ JV Member or Affiliate Company or SSQ Sub-contractor played a significant role in the finance raising; and - where the referenced project or investment programme involves external finance the evidence provided gives good levels of 	Not satisfying pass criteria = Fail.



	confidence that the Applicant, Consortium/ JV Member or Affiliate Company or SSQ Sub-contractor has relevant experience of securing competitive on-market terms.	
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Appendix B: Evaluation rationale for Part 4 Technical Competency

Score	Explanation
6	<p>Exceptional response with significant value added.</p> <p>Applicant's response meets the requirements tested in the question in an exceptional manner with a robust submission, demonstrating the relevant ability, understanding, skills and resource and/or quality measures, and provides evidence of how, in delivering the requirements tested by the question, additional significant value was realised by the customer.</p>
5	<p>Very good response with material value added.</p> <p>Applicant's response meets the requirements tested in the question in a very good manner with a robust submission, demonstrating the relevant ability, understanding, skills and resource and/or quality measures, and provides evidence how, in delivering the requirements tested by the question, at least additional material value (not reaching the threshold of significant) was realised by the customer.</p>
4	<p>Good response with some value added.</p> <p>Applicant's response meets the requirements tested in the question in an good manner with a submission demonstrating the relevant ability, understanding, skills and resource and/or quality measures, and provides evidence of how, in delivering the requirements tested by the question, at least some additional value (not reaching the threshold of material) was realised by the customer.</p>
3	<p>Acceptable response - satisfies the requirement.</p> <p>Applicant's response meets the requirements tested in the question with an acceptable submission that overall demonstrates the Applicants ability to deliver the relevant commitment, understanding, resource and/or quality measures, notwithstanding that there are minor issues which do not have a material impact on the overall suitability of the Applicant, but offers no evidence of how, in delivering the requirements tested by the question, additional value was realised by the customer.</p>



<p>2</p>	<p>Minor reservations.</p> <p>Applicant's response meets the requirements tested in the question with a submission that overall includes the relevant commitment, understanding, resource and/or quality measures but which may give rise to some minor reservations in one or more areas which may have an impact on the overall suitability of the Applicant.</p>
<p>1 (Fail)</p>	<p>Major reservations.</p> <p>Applicant's response overall fails to meet the requirements tested in the question and/or gives rise to one or more serious concerns about the relevant commitment, understanding, resources and/or quality measures, regardless of any added value.</p>
<p>0 (Fail)</p>	<p>Unacceptable.</p> <p>Applicant's response overall fails to meet the requirements tested in the question and/or contains insufficient information to evidence overall meeting the requirement, including the relevant commitment, understanding, resources and/or quality measures, regardless of any added value.</p>

Appendix C: Evaluation rationale for Part 5 Health and Safety

Section 12: Health and Safety	Pass Rationale	Fail Rationale
12.1 Health and Safety policies	<p>In relation to the company Health & Safety policies provided:</p> <p>Acceptable response - satisfies the requirement.</p> <p>Applicant's response meets the requirement with an acceptable set of policies that demonstrates the appropriate policies are in place to meet their HSE obligations, notwithstanding that there are minor issues which are easily resolvable and in any event which do not have a material impact.</p>	<p>In relation to the company Health & Safety policies provided:</p> <p>Not satisfying pass criteria.</p>
12.2 Health and Safety personnel and responsibilities.	<p>In relation to the information provided on the Health and Safety personnel and responsibility</p> <p>Acceptable response - satisfies the requirement.</p> <p>Applicant's response meets the requirement with evidence of an acceptable organisation in place with appropriate responsibilities to meet the HSE obligations, notwithstanding that there are minor issues which are easily resolvable and in any event which do not have a material impact.</p>	<p>In relation to the information provided on the Health and Safety personnel and responsibility</p> <p>Not satisfying pass criteria.</p>
12.3 Health and Safety management systems	<p>Acceptable response - satisfies the</p>	<p>Not satisfying pass criteria.</p>



	<p>requirement.</p> <p>Applicant's response meets the requirement with evidence of an acceptable set of systems that overall demonstrates the appropriate systems are in place to meet their HSE obligations, notwithstanding that there are minor issues which are easily resolvable and in any event which do not have a material impact.</p>	
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Attachment 1: Reserved Information

Instructions

All Applicants, Consortium Members, and Joint Venture members must notify TfL within this appendix (on the Reserved Information sheet below) of any information that they intend to submit during the procurement process, which they consider to be eligible for exemption from disclosure under the Freedom of Information Act (FOIA).

Information which the bidder wishes to put forward as reserved information must clearly describe, with supporting detail:

- a) The information itself, or class(es) of information; and
- b) Why the bidder considers the information to be exempt from disclosure. Grounds for exemption may be one or more of the following:
 - i) The information is a trade secret;
 - ii) The disclosure of the information would prejudice the commercial interests of any person or organisation;
 - iii) The information will be disclosed by you to TfL, and the nature of the information together with the circumstances of its disclosure, or other circumstances, justify the acceptance by TfL of an obligation of confidence in relation to that information;
 - iv) The information is personal data or otherwise relates to the private life of an individual and is therefore appropriate for protection; and/or
 - v) Any other specific exemption under the FOIA.

TfL may disclose your reasons for exemption and any additional or supporting information as reserved information.



Attachment 1: Reserved Information

Information Class/Title	Reasons for Exemption	Additional and Supporting Information