

## **PROFESSIONAL SERVICES FRAMEWORKS 2 – ENGINEERING CONSULTANCY FRAMEWORKS**

### **PSF2 – 94203**

#### **Standard Supplier Questionnaire (SSQ)**

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

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion<sup>1</sup>. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

#### **Supplier Selection Questions: Part 3**

**Please note that for Lots B, C, D and E we require the services/secondments to be provided from your in-house resources, any SSQs received for these Lots unable to confirm this requirement will be rejected.**

Please ensure you sign the declaration provided therein. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay we reserve the right to amend the contract award decision and award to the next compliant bidder.

#### **Consequences of misrepresentation**

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences.

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<sup>1</sup> For the list of exclusion please see [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/551130/List\\_of\\_Mandatory\\_and\\_Discretionary\\_Exclusions.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf)

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.

### **Notes for completion**

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.

2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.

4. The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.

5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.

6. For answers to Part 1 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

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

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

# TfL Professional Services Framework 2: Engineering Consultancy Framework

## ***Standard Selection Questionnaire 1***

### ***Incorporating Sections 1 to 7***

The questions in this questionnaire must be answered once only for single and multiple lot applications. All questions must be answered unless stated otherwise.

### **Submission Instructions**

Additional file attachments may only be provided where specifically allowed for. These must be named as specified and uploaded along within this document. You must adhere to the word/page limits specified within each question.

This completed file, and any additional attachments, must be returned in one of the following formats:

1. WORD (.doc) – please ensure that files are saved in Word 97-2003 Document (.doc) format
2. ADOBE (.pdf) – this is the preferred format, but must only be provided as searchable, unprotected files created by “File > Save As > .pdf” from recent Microsoft Word applications or from a PDF Writer. It is not permissible to provide scanned pdf images, as these are not searchable and may not be possible to read.

The file size of this document once completed should not exceed five Megabytes (5MB). Larger files may take significant time to open over the internet and cause delays in evaluation. To facilitate a 5MB limit, any permitted images should be compressed to a quality suitable for printing on A4 or A3 paper and viewing on a 1024x768 pixel screen.

Provide your response within the spaces provided below. Do not amend this file in any other way.

## Questionnaire

Question	Confirmation of Lot(s) applied for
Which Lots are you applying for?	<ul style="list-style-type: none"> <li>• A1: Multi Disciplinary Engineering Services</li> <li>• A2: Multi Disciplinary Rail Engineering Services</li> <li>• B1: Electrical and Mechanical Services Engineering</li> <li>• B2: Fire and Safety Engineering</li> <li>• B3: Utilities Services</li> <li>• B4: Pumps, Hydraulics &amp; Drainage and Sustainable Drainage (SuDS)</li> <li>• B5: Earthwork Structures</li> <li>• B6: Geotechnical Engineering &amp; Site Investigations</li> <li>• B7: Ground Investigations</li> <li>• B8: Topographical Surveys</li> <li>• B9: Engineering Business Consultancy Support</li> <li>• B10: Road Tunnels, M&amp;E and Systems</li> <li>• B11: Building Information Modelling (BIM)</li> <li>• B12: Building Surveying and Condition Monitoring</li> <li>• B13: Buildings Control</li> <li>• B14: Bridges and Structures</li> <li>• B15: Buildings and Structures</li> <li>• B16: Marine Engineering</li> <li>• B17: Obsolescence Management</li> <li>• B18: Tunnelling Engineering</li> <li>• C1: Transport Architecture</li> <li>• C2: Non Transport Architecture</li> <li>• C3: Commercial Architecture Support</li> <li>• C4: Urban Design</li> <li>• C5: Structural Engineering – Architectural Design</li> <li>• D1: Traffic Engineering Projects</li> <li>• D2: Engineering Skills &amp; Support</li> <li>• D3: Ad Hoc Survey Procurement/Data Collection and Analysis</li> <li>• D4: Highways Engineering</li> <li>• D5: Traffic Control Engineering</li> <li>• D6: Traffic Signal Controller Configuration and Testing:</li> <li>• D7: Intelligent Transport Systems</li> <li>• D8: Road Safety Audit &amp; Collision Investigation</li> <li>• D9: Provision of arboricultural technical expertise</li> <li>• D10: Provision of horticultural technical expertise</li> <li>• D11: Provision of 'built green infrastructure' technical expertise</li> <li>• D12: Bus Design Engineering</li> </ul>

	<ul style="list-style-type: none"> <li>• D13: Bus Specialist Engineering Support</li> <li>• D14: Bus Specialist Investigation Support</li> <li>• E1: Rolling Stock Design Engineering</li> <li>• E2: Rolling Stock System Specialist Engineering Support</li> <li>• E3: Rolling Stock Specialist Investigation/testing Support</li> <li>• E4: Depot Engineering, Plant and Equipment</li> <li>• E5: Transport System and Railway Development</li> <li>• E6: Incident Investigation</li> <li>• E7: Transportation Information, Security and Surveillance Systems</li> <li>• E8: Transport Control System Engineering</li> <li>• E9: Cyber Security Engineering</li> <li>• E10: Communications Engineering</li> <li>• E11: Systems Engineering</li> <li>• E12: Information Securities Engineering</li> <li>• E13: High Integrity Software Based Engineering</li> <li>• E14: Simulation and Modelling</li> <li>• E15: System Safety Engineering</li> <li>• E16: SCADA</li> <li>• E17: R&amp;R TCS Electronics</li> <li>• E18: Electromagnetic Compatibility (EMC)</li> <li>• E19: Human Factors (HF)</li> <li>• E20: RAM</li> <li>• E21: Railborne and non railborne plant</li> <li>• E22: Track Configuration</li> <li>• E23: Signalling, Installation, Testing and Maintenance</li> <li>• E24 – Signal Design Engineering</li> <li>• E25 – Power Engineering</li> </ul> <p><b>Where you have selected disciplines under Lots B to E please confirm for each that the services/secondments will be solely provided from your in-house resources for the duration of the Framework</b></p> <p><i>(remove Lot(s) you are not applying for. Remove this text within your response)</i></p>
<p>Confirmation that your submission will include:</p> <ul style="list-style-type: none"> <li>• One electronic copy of this Questionnaire 1 – Information and Pass/Fail Criteria</li> <li>• One Separate Commercial and HSE</li> </ul>	<p>Confirm the files provided – these should be uploaded to the e-Tendering portal</p> <p><i>(Remove this text within your response)</i></p>

questionnaire 2 file (Scored Criteria) <ul style="list-style-type: none"> <li>• A separate Technical Capability questionnaire 3 file for each Lot applied for (Scored Criteria)</li> </ul>	
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## Part 1: Potential supplier Information

Please answer the following questions in full.

Section 1	Potential supplier information	
Question number	Question	Response
1.1(a)	Full name of the potential supplier submitting the information	
1.1(b) – (i)	Registered office address (if applicable)	
1.1(b) – (ii)	Registered website address (if applicable)	
1.1(c)	Trading status a) public limited company b) limited company c) limited liability partnership d) other partnership e) sole trader f) third sector g) other (please specify your trading status)	
1.1(d)	Date of registration in country of origin	
1.1(e)	Company registration number (if applicable)	
1.1(f)	Charity registration number (if applicable)	
1.1(g)	Head office DUNS number (if applicable)	
1.1(h)	Registered VAT number	
1.1(i) - (i)	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	<i>Please confirm Yes/No/NA</i>
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?	<i>Please confirm Yes/No/NA</i>
1.1(j) - (ii)	If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.	
1.1(k)	Trading name(s) that will be used if successful in this procurement	
1.1(l)	Relevant classifications (state whether you fall within one of these, and if so which one)  a) Voluntary Community Social Enterprise (VCSE) b) Sheltered Workshop c) Public service mutual	
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) <sup>2</sup> ?	<i>Please confirm Yes/No/NA</i>
1.1(n)	Details of Persons of Significant Control (PSC), where appropriate: <sup>3</sup>  - 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; - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. <sup>4</sup>  (Please enter N/A if not applicable)	
1.1(o)	Details of immediate parent company:	

<sup>2</sup> See EU definition of SME [https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition\\_en](https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)

<sup>3</sup> 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](#).

<sup>4</sup> 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"> <li>- Full name of the immediate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>	
1.1(p)	<p>Details of ultimate parent company:</p> <ul style="list-style-type: none"> <li>- Full name of the ultimate parent company</li> <li>- Registered office address (if applicable)</li> <li>- Registration number (if applicable)</li> <li>- Head office DUNS number (if applicable)</li> <li>- Head office VAT number (if applicable)</li> </ul> <p>(Please enter N/A if not applicable)</p>	

**Note: Section 1: Bidding Model should only be completed if you are submitting a joint bid, joint venture or other alliance.**

**Definition of Joint Bid** - A group of independent organisations that join forces to achieve a particular goal, for example, to bid for a project or to conduct cooperative purchasing. A joint bid goes on to complete the project if its bid is successful and is often dissolved on completion. This form of temporary alliance allows diverse skills, capabilities, and knowledge to be brought together.

**Definition of Joint Venture** - Joint ventures are business agreements where the parties involved agree to develop a new entity with new assets and often, but not necessarily, contribute equity to it. The parties involved maintain joint control over the new enterprise and subsequently share in any profits, as well as supporting the business initially by paying expenses and funding assets. The purpose behind a joint venture is to bring together complementary capabilities, to share risk between contracting parties, or to ensure a degree of local ownership. Joint ventures are part of a continuum of potential relationships between organisations and, while they are one form of strategic alliance, they are unique in the sense that a third legal entity is created. It is a more formal arrangement than a partnership or an alliance where two or more parties agree to cooperate, generally, but not necessarily, without creating a new legal entity.

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

Section 1	Bidding model	
Question number	Question	Response
1.2(a) - (i)	Are you bidding as the lead contact for a group of economic operators?	<p><i>Please confirm Yes/No/NA</i></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 bidder please provide the name of your group</p>



		at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3.				
1.2(a) - (ii)	Name of group of economic operators (if applicable)					
1.2(a) - (iii)	Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure.					
1.2(b) - (i)	Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	<i>Please confirm Yes/No/NA</i>				
1.2(b) - (ii)	If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.					
	Name					
	Registered address					
	Trading status					
	Company registration number					
	Head Office DUNS number (if applicable)					
	Registered VAT number					
	Type of organisation					
	S ME (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.

Contact details and declaration	
Question	Response
Contact name	
Name of organisation	
Role in organisation	
Phone number	
E-mail address	
Postal address	
Signature (electronic is acceptable)	
Date	

## Part 2: Exclusion Grounds

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

Section 2	Grounds for mandatory exclusion	
Question number	Question	Response
2.1(a)	<p><b>Regulations 57(1) and (2)</b>            The detailed grounds for mandatory exclusion of an organisation are set out on this <a href="#">webpage</a>, 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 <a href="#">webpage</a>.</p>	
	Participation in a criminal organisation.	<i>Please confirm Yes/No</i>  If Yes please provide details at 4.1(b)
	Corruption.	<i>Please confirm Yes/No</i>  If Yes please provide details at 4.1(b)
	Fraud.	<i>Please confirm Yes/No</i>  If Yes please provide details at 4.1(b)
	Terrorist offences or offences linked to terrorist activities	<i>Please confirm Yes/No</i>  If Yes please provide details at 4.1(b)
	Money laundering or terrorist financing	<i>Please confirm Yes/No</i>  If Yes please provide details at 4.1(b)
	Child labour and other forms of trafficking in human beings	<i>Please confirm Yes/No</i>  If Yes please provide details at 4.1(b)
2.1(b)	<p>If you have answered yes to question 4.1(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)	<i>Please confirm Yes/No</i>

2.3(a)	<b>Regulation 57(3)</b> 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?	Please confirm Yes/No
2.3(b)	If you have answered yes to question 4.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	

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

Section 3		
Grounds for discretionary exclusion		
Question number	Question	Response
3.1	<p><b>Regulation 57 (8)</b>  The detailed grounds for discretionary exclusion of an organisation are set out on this <a href="#">webpage</a>, 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?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
3.1(b)	Breach of social obligations?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
3.1(c)	Breach of labour law obligations?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
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?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
3.1(e)	Guilty of grave professional misconduct?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
3.1(g)	Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
3.1(h)	Been involved in the preparation of the procurement procedure?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
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?	<p><i>Please confirm Yes/No</i></p> <p>If yes please provide details at 5.2</p>
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.	<i>Please confirm Yes/No</i> If yes please provide details at 5.2
3.1(j) - (ii)	The organisation has withheld such information.	<i>Please confirm Yes/No</i> If yes please provide details at 5.2
3.1(j) –(iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	<i>Please confirm Yes/No</i> If yes please provide details at 5.2
3.1(j)-(iv)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.	<i>Please confirm Yes/No</i> If yes please provide details at 5.2
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: Selection Questions

Section 4	Financial Capability and Capacity	
Question number	Question	Response
4.1.1	<p>Potential Suppliers financial capability will be assessed with a report obtained from Creditsafe. This will be in relation to the company detailed in Section 1.</p> <p><b>PASS/FAIL</b></p>	<p>According to the latest available comprehensive report from Creditsafe, the Supplier's Creditsafe rating is greater than or equal to 30.</p> <p><b>Pass:</b> the Supplier's Creditsafe rating is greater than or equal to 30; or the Supplier's Creditsafe rating is less than 30 or a Creditsafe rating is not assigned (or the Supplier is not yet incorporated or has not been trading for the required length of time) but the Supplier has demonstrated in a written statement (including in relation to any credit support arrangements) with specific examples where appropriate, that liabilities can be serviced as they fall due, that there are mitigating circumstances, that the risk of failure of the Supplier will not affect the Supplier's ability to undertake a contract of this nature and scale and that the risk of failure has not and is not expected to have a significant effect on the financial or trading position of the Supplier.</p> <p><b>Fail:</b> the Supplier's Creditsafe rating is less than 30 or a Creditsafe rating is not assigned (or the Supplier is not yet incorporated or has not been trading for the required length of time) and the Supplier has not demonstrated (including in relation to any credit support arrangements) that liabilities can be serviced as they fall due and/or that there are any mitigating circumstances and/or that the risk of failure of the Supplier will not affect the Supplier's ability to undertake a contract of this nature and scale and/or that the risk of failure has not and is not expected to have a significant effect on the financial or trading position of the Supplier.</p>
4.1.2	<ul style="list-style-type: none"> <li>Discretionary Pass = number of direct employees &gt;10</li> <li>Discretionary Fail = number of direct employees &lt;10</li> </ul>	

	<p><b>and/or</b></p> <ul style="list-style-type: none"> <li>Discretionary Pass = annual turnover &gt; £1m</li> <li>Discretionary Fail = annual turnover &lt; £1m</li> </ul> <p><b>Discretionary Pass/Fail based on the following (4.1.3 - 4.1.7)</b></p>	
4.1.3	Confirm the average annual number of directly employed full time staff over the last 3 years.	
4.1.4	For the three financial years, confirm the organisation's average annual turnover.	
4.1.5	Are you able to provide parent company accounts if requested to at a later stage?	
4.1.6	If yes, would the parent company be willing to provide a guarantee if necessary?	
4.1.7	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	
4.1.8	Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out.	

<b>Section 5</b>	<b>Professional Ability</b>	
	<b>Modern Slavery</b>	
<b>5.1</b>	<p>Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("The Act")?</p> <p>Pass/Fail</p> <p>Fail = No response provided.</p>	
<b>5.2</b>	<p>If you have answered yes to question 5.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?</p> <p>Discretionary Pass/Fail</p>	



	<p>Discretionary Pass = Supplier answers "No", but provides an acceptable explanation. Supplier answers "Yes", but does not provide the relevant URL to view the statement.</p> <p>Fail = No response provided, or answered "Yes" to 5.1 above, but answers "No" or "N/A" to 5.2, without providing an acceptable explanation.</p>	
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<b>Section 6</b>	<b>If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:</b>	
Name of organisation		
Relationship to the Supplier completing these questions		

<b>6.1</b>	Are you able to provide parent company accounts if requested to at a later stage?	Yes/No
<b>6.2</b>	If yes, would the parent company be willing to provide a guarantee if necessary?	Yes/No
<b>6.3</b>	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Yes/No
<b>6.4</b>	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).</p> <p>Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).</p>	
<b>6.5</b>	If you cannot provide at least one example for questions 6.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.	

## 7. Additional Questions

Suppliers who self-certify that they meet the requirements to these additional questions will be required to provide evidence of this if they are successful at contract award stage.

Section 7	Additional Questions	
7.	Insurance	
		<p>Pass = Confirmation that the levels of insurance cover you hold match or exceed the following or, if not, that you have the ability to obtain such levels if required by us to do so:</p> <p>Fail = Unable to confirm</p>
7.1	<p>Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:</p> <p>Employer's (Compulsory) Liability Insurance = £5m per incident  Public Liability Insurance = £5m per incident  Professional Indemnity Insurance = £1m per incident and in the aggregate per annum for the duration of the Framework Agreement and 12 years after the expiry or termination of any call-off contract  Product Liability Insurance = £5m per incident</p> <p>Please note it is a legal requirement that all companies hold Employer's (Compulsory) Liability Insurance of £5million as a minimum.</p> <p>Please note this requirement is not applicable to Sole Traders.</p>	
7.2	Supplier Diversity	
	<b>Note: This section is asked for information only</b>	
7.2.1	<p>Does your organisation have a written equal opportunities policy, to avoid discrimination?</p> <p>If the answer is Yes, provide a copy</p>	
7.2.2	Your enterprise turnover p/a in thousands	
7.2.3	Is your enterprise majority BAME owned/led ?	
7.2.4	Is your enterprise majority owned/led by women?	

7.2.5	Is your enterprise majority owned/led by disabled people?	
7.2.6	Is your enterprise majority LGBT owned/led?	
7.3	<b>Equality</b>	
	<b>Note: This section is asked for information only</b>	
7.3.1	Does your organisation have a written equal opportunities policy, to avoid discrimination?  If the answer is Yes, provide a copy	
7.3.2	Is it your policy as an employer to comply with the Equality Act 2010, and is it your practice not to treat one group of people less favourably than others in relation to decisions to recruit, train or promote employees?	
7.3.3	Is your policy on race relations and employment equality set out?	
7.3.4	(i) In instructions to those employees concerned with recruitment, training and promotion?	
7.3.5	(ii) In documents available to employees, recognised trade unions or other representative groups of employees?	
7.3.6	(iii) In recruitment advertisements or other literature?	
7.3.7	(iv) If we asked, could you provide relevant examples of the instructions, documents, recruitment advertisements or other literature?	
7.4	<b>Miscellaneous</b>	
7.4.1	Please confirm you have had experience of working with contracts subject to UK law  Yes/No  If No then explain how you would manage this obligation	
7.4.2	Have you any material pending or threatened claims, litigation, arbitration, or adjudication, or other legal proceedings where the claim value is in excess of £10m?  Yes/No  If you answer Yes provide details	
7.4.3	Provide a summary of your business continuity plan detailing arrangements you have in place for continuation of service delivery during of a major incident  <i>For Information Only</i>	
7.4.4	Confirm if there have been any changes of ownership	

	<p>over the last five years, and any pending changes in financial structure or ownership, prospective take-over bids, buy-outs and closures, etc which are currently in the public domain. If there have been, please provide details.</p> <p><b>For information only</b></p>	
<b>7.4.5</b>	<p>Identify any conflict of interest (Col) or potential conflict of interest which might arise if you were to become a supplier to TfL, including details of any shareholdings (&gt;5%), joint ventures, or contracts with, or investments in, any other entity supplying TfL, and how you would mitigate these concerns.</p> <p><b>Discretionary Pass/Fail Criterion</b></p> <ul style="list-style-type: none"> <li>Discretionary Pass = No Col, or if Col, evidence judged to mitigate concerns</li> </ul> <p>Discretionary Fail = Col identified, evidence lacking or judged not to mitigate concerns</p>	

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