

**His Majesty’s Revenue & Customs (HMRC)**

**Conditions of Participation**

**for the procurement of a**

**Customer Relationship Management System (CRM)**

**(Procurement Act 2023)**

**18th July 2025**

**V1.0**

**CONTENTS**

**1** **OVERVIEW AND RESPONSE INSTRUCTIONS** 3

**2** **ABOUT HMRC** 5

**3** **PROCUREMENT OVERVIEW** 6

**4** **PROCUREMENT TIMETABLE** 11

**5** **RESPONSE SUBMISSIONS, CONTACT DETAILS AND QUERIES** 12

**6** **CONFIDENTIALITY** 15

**7** **FOI ACT AND ENVIRONMENTAL INFORMATION REGULATIONS** 17

**8** **SUPPLIER CONDUCT AND CONFLICTS OF INTEREST** 18

**9** **WARNINGS AND DISCLAIMERS** 20

**10** **TUPE REQUIREMENTS** 21

**11** **SOCIAL VALUE** 22

**12** **KEY PERFORMANCE INDICATORS (“KPIs”)** 23

**13** **EVALUATION METHODOLOGY** 24

**SCHEDULE 1: PSQ GUIDANCE AND SELECTION CRITERIA** 26

**SCHEDULE 2: PSQ RESPONSE GUIDANCE** 66

**SCHEDULE 3: PSQ EVALUATION GUIDANCE AND CRITERIA** 68

**ANNEX 1: REQUIREMENTS OVERVIEW** 113

**ANNEX 2: REQUIREMENTS CATALOGUE** 127

**ANNEX 3: FINANCIAL CAPACITY METRIC DEFINITIONS** 128

**ANNEX 4: ACCESSIBILITY EVIDENCE QUESTIONNAIRE** 132

**ANNEX 5: CRM CLARIFICATIONS TEMPLATE** 133

1. **OVERVIEW AND RESPONSE INSTRUCTIONS**
   1. This Conditions of Participation (CoP) document has been issued following the publishing of the Preliminary Market Engagement Notice 2025/S 000-017466 for the procurement of an enterprise Customer Relationship Management (eCRM) system.
   2. HMRC is seeking a CRM software provider to enable significant transformational change for our customers and internal colleagues. For an overview of the scope and requirements for this contract, see Annex 1 (Requirements Overview).
   3. The duration of the contract to be awarded will be for an initial term of ten (10) years with two consecutive extension options of up to 36 months (3 years) and up to 24 months (2 years) respectively.
   4. The estimated contract value for the initial term (10 years) is £1,200,000,000 (excluding VAT). The estimated contract value for the total extension period (5 years) is £800,000,000 (excluding VAT). These figures are estimates only. HMRC provides no guarantee as to the quantity or value of work that will be placed with any successful supplier. Any contract values, details of current expenditure or indications of potential future uptake provided in this document or otherwise as part of this procurement exercise are indicative only.
   5. HMRC intends to award the contract to a single supplier.
   6. HMRC provides no guarantee it will enter into any contract resulting from this procurement exercise. HMRC reserves the right to cancel and/or amend the requirements of this procurement process at any point in line with the Procurement Act 2023 and will not be liable to any third party should any such cancellation/amendment occur.
   7. Suppliers are required to provide their responses to the Procurement Specific Questionnaire (PSQ) published as part of this CoP document by no later than 12:00 (midday) on the 13th August 2025.

* Schedule 1 of this document provides the questions that together make up the PSQ within this CoP document.
* Schedule 2 of this document provides further response instructions with respect to a Supplier’s response to the questions in Schedule 1.
* Schedule 3 of this document provides the evaluation guidance and criteria that relate to the questions within Schedule 1.
  1. The provision of a complete PSQ response will constitute a request to participate in the procurement process. For avoidance of doubt, a complete response to this PSQ will comprise the following:
* Responses to all questions included within the PSQ at Schedule 1, including:
* Preliminary Questions (Q1.1 – Q1.5) for all relevant organisations within your supply chain/consortium
* Part 1: Confirmation of Core Supplier Information (Q1.6) for all relevant organisations within your supply chain/consortium
* Part 2: Additional Exclusions information (Q2.1 – Q2.4) for all relevant organisations within your supply chain/consortium
* Part 3: Questions Relating to the Conditions of Participation (Q3.1 – Q3.33), to be answered in line with the specific question guidance provided.
* A completed Declaration at Q3.34
* Copies of all ancillary information requested within the above questions that together make up the PSQ, in line with the specific question guidance provided.
  1. Please ensure all attachments are provided in MS Word (docx) format. Where this is not possible, e.g. where information is extracted from an external data source and/or is in a non-editable format, please make this clear within your response and provide an explanation. The Ariba Portal restricts individual attachments to <100mb and Suppliers must ensure that all attachments do not exceed this maximum file size.
  2. HMRC reserves the right to exclude suppliers from this procurement process should they provide an incomplete/inaccurate response to this PSQ. In addition, HMRC will have the unilateral right to exclude a supplier on the basis of their responses to any element of this PSQ, where HMRC deems that such a PSQ response fails to meet its minimum requirements.
  3. The information within this document may be subject to change and does not constitute an offer to enter into a contract. HMRC may cease or amend this process at its own discretion.

1. **ABOUT HMRC**
   1. HM Revenue & Customs (“HMRC” or, in this document, “we”) is the UK’s tax, payments and customs authority. We have a vital purpose: to collect the money that pays for the UK’s public services and help families and individuals with targeted financial support.
   2. We do this by being impartial and increasingly effective and efficient in our administration. We help the honest majority to get their tax right and make it hard for the dishonest minority to cheat the system.
   3. Key responsibilities of HMRC include:

* safeguarding the flow of money to the Exchequer through our collection, compliance and enforcement activities;
* ensuring money is available to fund the UK’s public services;
* facilitating legitimate international trade, protecting the UK’s fiscal, economic, social and physical security before and at the border, and collecting UK trade statistics;
* administering Statutory Payments such as statutory sick pay and statutory maternity pay;
* helping families and individuals with targeted financial support through payment of tax credits;
* administering Child Benefit; and
* administering the [Government Banking Service](https://www.gov.uk/government/groups/government-banking-service-gbs).
  1. To aid with the delivery of HMRC services, we engage with suppliers to deliver contracts covering a wide range of requirements. This procurement exercise is for the provision of such a contract.
  2. Any contract resulting from this procurement process will be for the use of HMRC.
  3. HMRC is carrying out the procurement on behalf of itself and any third-party beneficiary referred to in the tender notice. Any such beneficiaries will not have a direct contractual relationship with the supplier in respect of the services. They will be permitted to access the contract through HMRC, but HMRC gives no guarantee that they will do so.

1. **PROCUREMENT OVERVIEW**
   1. HMRC is conducting this procurement process via the Competitive Flexible Procedure (CFP) in accordance with the requirements of the Procurement Act 2023 (The Act).
   2. HMRC have conducted preliminary market engagement in order to help both HMRC and the market prepare for the procurement. This engagement has been undertaken in line with the guidance provided within The Act and has included:

* Market briefing sessions on 6th May and 13th May 2025;
* A Pre-Procurement Briefing on the 2nd July 2025 and;
* The following document drops:
* Context Setting Session slides.
* Supplier Briefing slides.
* Indicative Market & Bidder Engagement timeline.
* eCRM EPICs.
* Questions for feedback on the high-level principles of the proposed Model Services Contract (MSC) to support the drafting approach.
* eCRM requirements sample & Social Value themes.
  1. This CFP will be conducted in four (4) stages. The four (4) stages are described in more detail below.
  2. **Stage 1: CoP & PSQ Stage**

1. The issuance of the Planned Procurement Notice ([HMRC Customer Relationship Management - Find a Tender](https://www.find-tender.service.gov.uk/Notice/036824-2025?origin=Dashboard)) to clarify that HMRC expect all potential Suppliers to have registered on the SAP Ariba eSourcing Portal (“Ariba”) in order to request access to the Tender document set (including the PSQ and CoP).
2. The issuance of a Tender Notice and the publication of this document.
3. This document includes a PSQ in Schedule 1 which all Suppliers are required to complete and return in accordance with the deadline in the Procurement Timetable in section 4 and other instructions within this document.
4. HMRC may seek to arrange clarification sessions during the CoP response period (see Procurement Timetable). Suppliers will be advised if any such sessions are to be conducted and the details of any session would be confirmed as part of any invite sent.
5. HMRC will use this stage to confirm that neither the Supplier, nor any related persons within its corporate group, associated persons relied on to meet the conditions of participation, or proposed sub-contractors are listed on the Cabinet Office debarment list. To the extent that any such entities are listed on the debarment list, HMRC will consider whether to exclude the Supplier from participating in the Procurement in accordance with its obligations under the Act.
6. In addition, HMRC will consider whether any Supplier or related persons within its corporate group, associated persons relied on to meet the conditions of participation, or proposed sub-contractors are excluded or excludable Suppliers, and before HMRC determines that a Supplier is an excluded or excludable Supplier, it will provide the Supplier reasonable opportunity to make representations and provide evidence as is proportionate in the circumstances.
7. If the Supplier is an excluded or excludable Supplier only by virtue of an associated person or proposed sub-contractor, HMRC will notify the Supplier of its intention to exclude the Supplier and provide the Supplier with reasonable opportunity to replace the associated person or sub-contractor. If as a consequence of this process HMRC excludes the Supplier from participating in the procurement or is aware of an associated person or sub-contract having been replaced, it will give notice of this fact within 30 days of its decision to the Procurement Review Unit (PRU).
8. HMRC will also undertake a review of the completed PSQ with reference to any information held on the Central Digital Platform.
9. Responses will be assessed in accordance with the selection process and the selection criteria as described within this document. Following assessment of these responses, HMRC intends to identify the Suppliers to be invited to participate in Stage 2, subject to the Shortlisting Procedure outlined in Part 4 of Schedule 3 of this document.
10. Stage 1 will complete with Suppliers being notified in writing of whether or not they have been successfully shortlisted to participate in Stage 2. Suppliers not invited to Stage 2 will be provided with a written explanation of the reasons why they have not been shortlisted to participate in Stage 2.
11. Suppliers should note that HMRC reserves the right to re-assess any PSQ responses at any point during the competition, in light of any new relevant information that comes to HMRC’s attention.
    1. **Stage 2: Invitation to Submit Initial Tender (ITSIT)**
12. Stage 2 will commence with the issuing of a written invitation to submit initial tenders to those Suppliers which have successfully been shortlisted at Stage 1 of the Procurement.
13. The letter will also provide details of any new information made available to Suppliers at this stage of the Procurement.
14. HMRC may host a supplier familiarisation session with all Suppliers invited to Stage 2 in order to supplement the detail provided within the invitation to submit initial tender documentation. This session may include the opportunity for invited Suppliers to ask clarification questions. HMRC will confirm whether this session will take place within the invitation to submit initial tender documentation.
15. HMRC may seek to arrange clarification sessions during the ITSIT response period (see Procurement Timetable). Suppliers will be advised if any such sessions are to be ran and the details of any session would be confirmed as part of any invite sent.
16. Initial tenders must be submitted in accordance with the Procurement Timetable and instructions set out in this document and any additional information provided.
17. As part of the initial tenders, Suppliers will be required to complete a security questionnaire. In the event that HMRC deems that the security questionnaire responses are insufficient for the purposes of delivering this contract, HMRC reserves the right to exclude Suppliers from this procurement process. The security questionnaire responses will be incorporated into the final contract.
18. Following the deadline for submission of initial tenders, HMRC will assess initial tenders in accordance with the assessment process and award criteria which shall be outlined within the ITSIT documentation. The assessment process will identify which Suppliers are to be selected to participate in the negotiation stage as set out in Stage 3.
19. HMRC may choose to utilise Supplier product demos as part of the evaluation at this stage. Further detail as to how product demos will be scored and evaluated will be communicated as part of the published ITSIT documentation.
20. Once the assessment of initial tenders has concluded, Suppliers will be notified in writing whether they have successfully been invited to Stage 3. HMRC intends to shortlist a selection of Suppliers to participate in the negotiation stage, based on the criteria outlined in the ITSIT documentation. Any Suppliers not invited to participate in Stage 3 will be provided with reasons in writing to explain why they have not been successful.
    1. **Stage 3: Negotiation**
21. Stage 3 will commence with the issuing of a letter inviting Suppliers that have been shortlisted to participate in negotiations.
22. HMRC will also issue the updated procurement documentation to all suppliers who have qualified for Stage 3, should any updates be made following Stage 2 of the procurement process. At this point in time, HMRC will also describe how the negotiations will be conducted, including the location and dates for the relevant meetings, as well as the attendee arrangements.
23. It is anticipated that HMRC will hold at least two rounds of negotiation with shortlisted Suppliers, where HMRC can set priority areas for negotiation, e.g. commercial terms, price, contractual flexibility, alignment of responsibilities and support Suppliers to improve the quality of their tender submissions.
24. Stage 3 will conclude with the issuing of letters to all participating Suppliers confirming the closure of the negotiations.
    1. **Stage 4: Invitation to Submit Final Tender (ITSFT)**
25. Following the conclusion of negotiations, Suppliers will be invited to submit final tenders. Final tenders must be submitted in accordance with the timetable and instructions as will be set out within the published ITSFT documentation and any additional information provided.
26. Suppliers may be invited to present product demos at the ITSFT stage; HMRC retain the right to assess these as part of the ITSFT evaluation. The inclusion or exclusion of product demos within the ITSFT stage will be communicated within the published ITSFT documentation.
27. HMRC may seek to arrange clarification sessions during the ITSFT response period (see Procurement Timetable). Suppliers will be advised if any such sessions are to be ran and the details of any session would be confirmed as part of any invite sent.
28. After the deadline for submission of final tenders, HMRC will consider, in respect of each Supplier that submitted a response, whether the Supplier or any related persons within its corporate group, associated persons relied on to meet the conditions of participation, or proposed sub-contractors, are excluded or excludable Suppliers and will consider whether to disregard the response submitted in accordance with its obligations under the Act.
29. If the Supplier is an excluded or excludable Supplier only by virtue of an associated person or proposed sub-contractor (as defined in the Act), HMRC will notify the Supplier of its intention to disregard its response and provide the Supplier with reasonable opportunity to replace the associated person or sub-contractor. If as a consequence of this process HMRC disregards a response from an excluded or excludable Supplier, or is aware of an associated person or sub-contractor having been replaced, it will give notice of this fact within 30 days of its decision to the Procurement Review Unit (PRU).
30. HMRC will conduct an assessment of all ITSFT responses in accordance with the assessment methodology and award criteria set out in the ITSFT documentation. In carrying out this assessment, HMRC may disregard a tender:
    * 1. from a Supplier that is not a United Kingdom Supplier or a treaty state Supplier or that intends to sub-contract the performance of all or part of the Contract to a Supplier that is not a United Kingdom Supplier or a treaty state Supplier; or
      2. if the tender breaches a procedural requirement set out in the Tender Notice or associated tender documents; or
      3. if the tender offers a price that HMRC considers to be abnormally low for the performance of the Contract. Where HMRC considers that a price offered by a Supplier in its tender is abnormally low, HMRC will notify the Supplier and give the Supplier reasonable opportunity to demonstrate that it will be able to perform the contract for the price offered. If the Supplier demonstrates to HMRC's that it will not be able to perform the Contract for the price offered, HMRC may disregard the tender. For the avoidance of doubt, the provisions of Section 19 of the Act shall apply.
31. Once the assessment has concluded, HMRC will provide an assessment summary to all Suppliers that submitted final tenders to:
32. inform them whether they have been successful in being awarded the Contract;
33. provide an explanation of the assessment of the Supplier’s response against the relevant award criteria, in accordance with the requirements of the Act; and
34. where different to the Supplier concerned, provide information in respect of the most advantageous response submitted, including details of the assessment of the tender against the relevant award criteria and the Supplier’s name.
35. Once the assessment summaries have been provided to the Suppliers that submitted final tenders, HMRC will also publish a Contract Award Notice on the Central Digital Platform to commence the mandatory standstill period.
36. Prior to contract award, HMRC may seek to verify the information provided by the preferred Supplier during the course of this procurement process. If the preferred Supplier fails to supply any evidence requested in accordance with any timescales specified by HMRC or any evidence reviewed by HMRC (whose decision shall be final) is deemed non-compliant, the preferred Supplier may be excluded from the procurement process.
37. HMRC may, at any point in the procurement process, also carry out searches of relevant third-party databases to corroborate any information provided by a Supplier and, by participating in this procurement process, you grant your consent to HMRC to carry out such searches.
38. Subject to completion of the mandatory standstill period, Stage 4 will end with HMRC entering into the Contract with the preferred Supplier and publication of a Contract Details Notice on the Central Digital Platform (within 30 days of the date on which the Contract is entered into). Where appropriate, a copy of the Contract may also be published on the Central Digital Platform.
39. **PROCUREMENT TIMETABLE**
    1. The anticipated timetable for this procurement is outlined in the table below (the ‘Procurement Timetable’). This is intended as a guide only and HMRC reserve the right to adjust this timetable, the structure and/or the content of the procurement process at HMRC’s discretion. HMRC will notify all suppliers of any changes to the timetable via the Ariba messaging function.
    2. Any reference to a time of day refers to the time in London, England.

**Procurement Timetable**

|  |  |
| --- | --- |
| **Procurement Stage** | **Date/Period** |
| CoP Published | 18th July 2025 |
| Supplier Clarification Deadline | 12:00 (Midday) 31st July 2025 |
| CoP Responses Due | 12:00 (Midday) 13th August 2025 |
| Shortlist Outcome Published | September 2025 |
| Invitation to Submit Initial Response Published (ITSIT) | September 2025 |
| ITSIT Supplier Familiarisation Session | October 2025 |
| Deadline for Supplier Clarification Questions | October 2025 |
| ITSIT Responses Due | October 2025 |
| ITSIT Shortlist Outcome Published | December 2025 |
| Negotiation Period | December 2025 |
| Invitation to Submit Final Tenders Published (ITSFT) | January 2026 |
| ITSFT Supplier Familiarisation Session | January 2026 |
| ITSFT Responses Due | February 2026 |
| ITSFT Outcome Published | April 2026 |
| Contract Award | May 2026 |

1. **RESPONSE SUBMISSIONS, CONTACT DETAILS AND QUERIES**

**SAP Ariba eSourcing/eTrading Portal**

* 1. All procurement documents will be made available through Ariba only. Please ensure you review all response documents in their entirety prior to completing your PSQ response.
  2. Once logged onto the system, technical guidance relating to the use of the eSourcing Portal can be found in the Help Centre that can be accessed via the help tab at the top of the screen. Any technical issues identified with the Ariba system should be raised via the instructions outlined in the Help Centre. HMRC accepts no liability for any technical issues experienced with the Ariba system.
  3. Successful suppliers are required to register on the SAP Ariba Network in order to transact with HMRC via the e-Trading system and to ensure that they will continue to be able to receive purchase orders from and issue invoices to HMRC.
  4. Registration for HMRC’s eTrading system is undertaken by the successful supplier following the notification of award. Instructions will be provided by HMRC. SAP Ariba will not charge suppliers to HMRC for registration on the SAP Ariba Network and suppliers will not incur any fees when transacting with HMRC across HMRC’s eTrading system. However, fees may apply when transacting with suppliers’ other customers over the SAP Ariba Network.
  5. Suppliers to HMRC are not required to invest in any additional products or services from SAP Ariba or from any other supplier in order to transact with HMRC using HMRC’s eTrading system.

**Communications and Clarifications**

* 1. HMRC will ordinarily send communications or notifications to suppliers in connection with this procurement exercise via the messaging facility in Ariba.
  2. Communications or notifications sent via the messaging system may relate to and represent material changes to information previously provided. Accordingly, until the procurement exercise has been fully concluded, suppliers are advised to log into the eSourcing event on Ariba at regular intervals to check for messages from HMRC.
  3. Vague, ambiguous or incomplete answers are likely to score poorly or render the response non-compliant. HMRC reserves the right (but is not obliged) to seek clarification of all or any part of a supplier’s response at any time during the procurement exercise. Suppliers must respond to such requests promptly and within any timescales set for responses.
  4. Suppliers must submit any queries or clarification questions via the messaging system in Ariba, using the template enclosed alongside this document and referenced in Annex 5, prior to the clarification deadline detailed in the Procurement Timetable. Unless there are exceptional circumstances determined by HMRC, HMRC will not accept or respond to any queries or clarification questions received via any other method and/or received after the clarification deadline. It is the supplier’s responsibility to ensure that they have all of the information they need to prepare their response.
  5. HMRC will publish all clarification questions received and HMRC’s response to them on Ariba, for visibility by all suppliers. If you wish HMRC to treat a clarification as confidential and not publish the clarification response, you must state this in the body of the clarification question, when submitting the clarification. If, in the opinion of HMRC, the clarification is not confidential, HMRC will inform the supplier, who will have an opportunity to withdraw it. If the clarification is not withdrawn, the clarification response will be issued to all Suppliers.
  6. If you consider that there is a fundamental error or omission in the CoP documentation which affects your ability to provide a PSQ response, you must bring this to HMRC’s attention as soon as possible and no later than the clarification deadline.

**Contract Terms**

* 1. The Model Services Contract (MSC) will be used as the basis for any and all contractual agreements that are to be formed following the conclusion of this procurement process. Those suppliers who are invited to submit an initial tender following the conclusion of the CoP stage will be provided a schedule or summary of proposed amendments to the core terms and schedules, to form the basis for subsequent negotiations.
  2. Performance management provisions will also be included in the contract terms shared at Stage 2. These will include details on key Service Level Agreements and Service Credits (likely to fall between 3-15% of the monthly service fee). HMRC will also consider other non-financial measures to incentivise performance. HMRC reserves the right to reject supplier qualifications with respect to contractual terms.
  3. Further information regarding the payment model for the contracts will be shared at Stage 2 and may be subject to negotiations between HMRC and the Suppliers.
  4. HMRC reserves the right to set the topics for negotiation and communicate these to Suppliers. Further detail will be provided within the published ITSIT documentation.

**Data Protection Compliance**

* 1. HMRC reserves the right to reject a supplier’s PSQ response submission that proposes the transfer of personal data outside of the UK should this be necessary for information security and/or UK GDPR compliance purposes, to be determined by HMRC at its discretion.
  2. HMRC also reserve the right to request additional information in order to complete the relevant data transfer risk assessments and associated International Data Transfer Agreement (IDTA).
  3. Suppliers intending to share any information contained within this document outside of the UK must first seek approval from HMRC. HMRC will either approve or deny any such request at its sole discretion.

1. **CONFIDENTIALITY**
   1. Suppliers must keep their invitation to bid, intention to submit, and the content of, any tender confidential from any third party (other than professional advisers who need to be consulted), in order to maintain the competitive element of this procurement process.
   2. All information supplied by HMRC to Suppliers, whether in writing or orally, is supplied on condition that it be kept confidential by the Supplier. Unless the information is already in the public domain, it must not be copied, reproduced, distributed or passed to any other person at any time (except to professional advisors, consortium members or sub-contractors, on a confidential basis, for the sole purpose of enabling the Supplier to submit or clarify a response or attain sureties or quotations relating to the response).
   3. Although it is unlikely that official secrets will be disclosed pursuant to this document, please also be aware of the terms of the Official Secrets Act 1989 (<https://www.legislation.gov.uk/ukpga/1989/6/contents>).
   4. All information provided by a Supplier as part of this procurement exercise will be treated as “OFFICIAL” by HMRC and (except where required by law, for example under the FOIA or EIR (see paragraph 7) or public sector transparency polices (see paragraph 6.8)) will not be disclosed to a third party outside of government, other than consultants/advisers approved by HMRC, without the written permission of the Supplier.
   5. Suppliers may be asked to sign confidentiality agreements and, where HMRC deems it necessary, ethical wall agreements, during the course of the procurement exercise. HMRC have enclosed the relevant terms and conditions alongside this document and the provisions of any such agreement shall take precedence over any of the terms of this paragraph 6. By participating in this procurement exercise, Suppliers agree to execute any confidentiality agreements and/or ethical wall agreements in the form provided, should this be requested by HMRC.
   6. When HMRC is seeking Non-Disclosure Agreements from suppliers, it is HMRC’s policy for these agreements to be unilateral. Suppliers should note that there exist significant and extensive legal obligations upon all employees and agents of HMRC under Section 18(1) of the Commissioners for Revenue and Customs Act 2005 (CRCA), which only allows for limited exceptions for the disclosure of any information that they have obtained while performing their official duties, with these obligations remaining with individuals even after they have left the employment of HMRC. There are exceptions in the CRCA that enable disclosure of information, but these apply in the limited following circumstances:

* For internal purposes if it is connected with an HMRC function. For example, this enables different parts of HMRC to collaborate on contracts.
* If circumstances arise that are contained within section 18(2) of the CRCA such as (among other things) the consent of the person about whom the information is concerned, pursuant to a court order, connected to an HMRC function, or for the purposes of civil or criminal proceedings. HMRC has a discretion to disclose in these circumstances unless ordered by a court.
* If disclosure is permitted under another statute known as an “information gateway”. The vast majority of these gateways are permissive and HMRC does not ‘have’ to disclose if the circumstances arise.
  1. Any disclosure must also be compliant with the UK General Data Protection Regulation (GDPR), the Data Protection Act 2018 (DPA) the Freedom of Information Act 2000 (FoIA) and be consistent with the Human Rights Act 1998 (HRA). These obligations apply to confidential data relating to HMRC contracts, personal data, data concerning our customers, anonymised data, HR records and any other data held by HMRC.
  2. HMRC is also subject to various public sector transparency policies and legal requirements, including, but not limited to:
* The publishing of KPI/contract performance data in line with Section 71 of the Act.
* The publishing of contract award notices and contract details notices on “Find a Tender” (<https://www.gov.uk/find-tender>) which identify the contract value and successful supplier, and the publishing of the awarded contract documents (subject to any redactions made by HMRC).
  1. By submitting a response, Suppliers are confirming their agreement to HMRC publishing any information required to meet HMRC’s public sector transparency obligations and legal requirements, including but not limited to, those outlined within the Act.
  2. Suppliers must read the [Government Security Classifications Policy](https://www.gov.uk/government/publications/government-security-classifications/government-security-classifications-policy-html) (GSCP) and follow the minimum baseline security requirements for OFFICIAL, OFFICIAL information marked OFFICIAL-SENSITIVE, SECRET or TOP SECRET outlined in the GSCP and within the security requirements set out by HMRC. Suppliers will handle and protect HMRC classified information entrusted to them, or produced by them under contract, in accordance with the GSCP. Unless HMRC stipulates more stringent requirements, the provisions of the GSCP are considered the baseline that all Suppliers must meet.

1. **FOI ACT AND ENVIRONMENTAL INFORMATION REGULATIONS**
   1. As a public body, HMRC must meet its responsibilities under the Freedom of Information Act 2000 (“FOIA”) and the Environmental Information Regulations 2004 (“EIR”) in respect of information that we hold (including third party information).
   2. Consequently, information submitted to HMRC in connection with this procurement may be disclosed to a third party in response to a request for information under the FOIA or EIR.
   3. By participating in this procurement exercise, Suppliers are deemed to understand and accept that the decision to disclose information, and the application of any exemptions under the FOIA or EIR, will be at HMRC’s sole discretion. HMRC will, however, act reasonably and proportionately in exercising this discretion.
   4. As a Supplier, if you consider any of the information you have submitted to be commercially sensitive or confidential, then an explanation (in broad terms) of what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity, should be included in the PSQ response to the relevant question in the questionnaire. HMRC will consider this as part of any disclosure decision but the final decision as to whether information should be disclosed will be HMRC’s.
   5. Further information about the FOIA and EIR is available on the Information Commissioner’s Office website ([www.ico.org.uk](http://www.ico.org.uk)).
2. **SUPPLIER CONDUCT AND CONFLICTS OF INTEREST**
   1. Any attempt by Suppliers or their advisors to inappropriately influence the contract award process in any way, or any other improper conduct by Suppliers or their advisors, may result in the Supplier being disqualified.
   2. Suppliers must not canvass any members of the Board of HMRC, any employee of HMRC or anyone acting on HMRC’s behalf with a view to obtaining more favourable consideration. Suppliers must also not attempt to obtain information from any of the employees, staff, advisers or agents of HMRC concerning another Supplier or tender.
   3. Offering an inducement in relation to a public contract may constitute a criminal offence. Any Supplier found offering an inducement, fee or reward of any kind in relation to obtaining a contract with HMRC or doing anything else in breach of the Bribery Act 2010, will be disqualified from the procurement process and any tender already submitted by the Supplier will be rejected.
   4. Suppliers must not directly or indirectly at any time:
      1. devise or amend the content of their tender in accordance with any agreement or arrangement with any other person, other than in good faith with a person who is a proposed partner, supplier, consortium member or provider of finance;
      2. enter into any agreement or arrangement with any other person that has the effect of prohibiting or excluding that person from submitting a tender;
      3. fix or adjust the amount of their tender by or in accordance with any agreement or arrangement with any other Supplier or consortium member of a Supplier (other than a member of its own consortium or supply chain);
      4. enter into any agreement or arrangement with any other person as to the form or content of any other tender or as to the amount of any tender to be submitted, or offer to pay any sum of money or valuable consideration to any person to effect changes to the form or content or amount of any other tender;
      5. cause or induce any person to enter such agreement as is mentioned in any of paragraph (a) to (d) above or to inform the Supplier of the amount or approximate amount of any rival tender; or
      6. communicate to any person other than HMRC the amount or approximate amount of its proposed tender (except where such disclosure is made in confidence in order to obtain quotations necessary for the preparation of a tender).
   5. Such conduct by a Supplier, sub-contractor or consortium member may also constitute a criminal offence and HMRC may have other civil remedies available, in addition to the right to disqualify under this paragraph 8.
   6. HMRC requires that all actual or potential conflicts of interest are resolved to HMRC’s satisfaction prior to the award of contract. Suppliers should inform HMRC of any actual or potential conflicts of interest (and how these will be dealt with) within the tender. In the event that any actual or potential conflict of interest comes to a Supplier’s attention following the submission of its tender, the Supplier must notify HMRC immediately.
   7. Suppliers must notify HMRC if they have or have had access to information which creates or may create a conflict of interest. HMRC may request Suppliers to complete an Ethical Wall Agreement (EWA) where necessary to help address potential conflicts of interest.
   8. Where an Ethical Wall Agreement is likely to be required, the Supplier must inform HMRC as part of their Conditions of Participation submission of its headline ethical wall position. This will comprise of:
      1. an indication of the Supplier’s intention to ensure a demarcation between bid teams and delivery personnel to HMRC, and
      2. evidence of the above via submitted documentation, which shall include named individuals and their allocation across the bid team and existing delivery personnel.
   9. Where a Supplier is deemed to be an incumbent1 supplier to HMRC, an Ethical Wall Agreement is required to be signed and sent to HMRC in order for that Supplier to access the Invitation to Submit Initial Tender (ITSIT) documentation. An Ethical Wall Agreement will only be required once Suppliers have received confirmation that they have been down-selected and will proceed to the Invitation to Submit Initial Tender (ITSIT) stage.
   10. 1A Supplier will be considered an incumbent supplier if they:
       1. currently provide or deliver Customer Relationship Management-related platforms or services for HMRC, or
       2. currently provide or deliver integrations that form part of HMRC's IT Customer Relationship Management estate or integrate with other areas within HMRC's IT estate.
   11. If HMRC identifies a conflict of interest that could place the Supplier at an unfair advantage or disadvantage, HMRC may require the Supplier to take reasonable steps to mitigate this. Should the Supplier fail to take the necessary mitigating steps, or if the unfair advantage cannot be avoided, HMRC reserves the right to exclude the Supplier from the process.
3. **WARNINGS AND DISCLAIMERS**
   1. HMRC provides no commitment or guarantee that it will award or enter into a contract as a result of this procurement exercise. HMRC reserves the right to cancel, suspend, and/or amend the requirements of this procurement process at any point. Nothing in this document or in any other communication made between HMRC and a Supplier constitutes a representation or agreement that a contract will be offered.
   2. HMRC will not be liable for any costs, expenditure, expenses, work or effort incurred by any Supplier in preparing for, proceeding with or participating in this procurement exercise, including if the procurement exercise is terminated, suspended or amended by HMRC. This applies regardless of whether the Supplier’s tender is successful and regardless of whether HMRC makes any modifications or amendments to the Services Description (to be released at the ITSIT stage of the procurement) or other requirements in the course of the procurement exercise.
   3. If a Supplier proposes to enter into a contract with HMRC, it must rely on its own enquiries and on the terms and conditions set out in the contract (as and when finally executed). HMRC has prepared the information in this document in good faith, however, HMRC and its advisors do not accept any liability for (and do not give any express or implied warranty as to) the accuracy, adequacy or completeness of that information or any subsequent communication and they shall not be liable for any loss or damage (other than in respect of fraudulent misrepresentation) arising as a result of reliance on such information or communication.
   4. Where Supplier(s) are proposing to participate in this procurement as part of a consortium, the relevant Supplier(s) must confirm the identity of the lead Supplier or provide an undertaking that they will form an integrated joint venture (JV) prior to contract award. HMRC will only contract with the lead vendor or JV, as applicable, and reserve the right to not award the contract to the relevant Supplier(s) should they fail to identify a lead supplier or appropriate JV.
4. **TUPE REQUIREMENTS**
   1. HMRC anticipates that the Transfer of Undertakings (Protection of Employment) Regulations 2006 (“TUPE”) will not apply to this contract. However, HMRC does not give any warranty in respect of TUPE and Suppliers should rely on their own assessment of the likelihood that TUPE might apply.
5. **SOCIAL VALUE** 
   1. HMRC is committed to supporting key social outcomes as part of its commercial activity. To help achieve this goal, procurement exercises conducted by HMRC incorporate the requirements outlined under the [Government’s Social Value Model](https://www.gov.uk/government/publications/social-value-act-information-and-resources/social-value-act-information-and-resources) (SVM), where in scope of Procurement Policy Note (PPN) 002.
   2. This competitive procurement exercise will incorporate the requirements of PPN 002.
6. **KEY PERFORMANCE INDICATORS (“KPIs”)**
   1. Section 52 of the Act requires a minimum of three KPIs to be set for contracts with an estimated value greater than £5 million. These KPIs and contract performance information must be published by HMRC in accordance with the obligations set out under Section 71 the Act. HMRC also reserves the right to set contractual KPIs and publish contract performance information for contracts that fall outside the requirements of Sections 52 and 71.
   2. The initial KPIs that will apply to this contract will be included within the draft Contract, to be published as part of the ITSIT stage of this procurement. HMRC reserves the right to agree additional/replacement KPIs with the successful supplier at any later stage of the procurement process or over the duration of the contract in accordance with the contract terms.
7. **EVALUATION METHODOLOGY**
   1. The responses to the PSQ will be evaluated using the scoring methodology outlined in Schedule 3 of this document.
   2. Unless stated otherwise within the individual questions, Suppliers must provide a response to every question included within the PSQ. HMRC reserve the right to reject the Supplier’s response if it contains any of the following:

* Unanswered questions and/or incomplete question responses; or
* Erroneous and/or inaccurate information.
  1. HMRC reserves the right to conduct further due diligence checks at any point in the procurement process to determine the accuracy of the information provided by Suppliers as part of their PSQ response. This may include, but is not limited to, checks of wider data sources (e.g. tax compliance checks) and requesting further evidence from Suppliers. HMRC reserves the right to fail a Suppliers’ response should they fail to provide further evidence in any timescales stipulated and/or further due diligence checks identify non-compliance with the requirements outlined within this CoP document.

**Procurement Specific Questionnaire (“PSQ”)**

* 1. The Procurement Regulations 2024 require certain sections of the PSQ (Core Supplier Information) to be completed on the Government’s Central Digital Platform (CDP), with the remainder of the questions completed directly on Ariba.
  2. Core Supplier Information comprises basic information about the supplier (as listed in Regulation 9 of the Procurement Regulations 2024), economic and financial standing information about the supplier (as listed in Regulation 10), information about the supplier’s connected persons (as listed in Regulation 11) and exclusions information about the supplier and its connected persons (as listed in Regulation 12).
  3. Suppliers are required to register an account with the CDP ([https://www.gov.uk/find-response](https://www.gov.uk/find-tender)) and complete responses to the Core Supplier Information questions directly on the CDP.
  4. Once complete, suppliers must share their responses to the questions with HMRC as part of this procurement process by providing their share code allocated by the CDP. This will allow HMRC to obtain the suppliers Core Supplier Information from the CDP.
  5. Note that at the point of publication, the ‘share code’ functionality of the CDP may not be operational in such a way to allow HMRC to view the information directly. Therefore, when responding to questions within the PSQ that request information be completed on the CDP, suppliers must generate a document with the required information from the CDP and attach this within the appropriate section of the question set on Ariba.
  6. The PSQ contains questions assessing whether the supplier meets HMRC’s minimum requirements in order to be considered capable of delivering the contract. This will be evaluated on a pass/fail basis. In addition to these, there will be a set of qualitative questions that will be scored based on the scoring criteria in Schedule 3.
  7. HMRC will review the answers to the PSQ and if a supplier attains a fail on any question, the response will be rejected and the supplier will be excluded from further consideration in the procurement process.
  8. Suppliers will be shortlisted to the ITSIT stage in line with the Shortlisting Procedure outlined in Part 4 of Schedule 3 of this document.

**Award Criteria**

* 1. Unless they are excluded for any other reason, HMRC intends to invite all suppliers who participate in Stage 3 of the procurement process (Negotiation) to submit a final tender response (ITSFT) reflecting any agreed changes from the negotiation.
  2. Contract award will be determined through the evaluation of final tender responses, on the basis of the award criteria that will be provided within the invitation to submit a final tender (ITSFT) documentation.
  3. Suppliers may be required to meet a minimum scoring threshold in order to be considered for award of the contract; where applicable this will also be detailed within the ITSFT documents.
  4. Suppliers will also be asked to submit a cost model, in a format to be outlined by HMRC, and this will be utilised to determine a Suppliers’ pricing score.
  5. HMRC reserve the right to make the acceptance of published contractual terms a mandatory requirement at ITSFT, if following the negotiation phase an agreed set of contractual terms has been reached. The published ITSFT documentation will set out HMRC’s confirmed position with respect to contractual terms.
  6. HMRC is seeking to utilise the Price per Quality Point (PQP) methodology to evaluate final tenders at Stage 4 against the award criteria. This is a methodology that seeks to determine the price relative to the quality of the bid and allows for a representation of the pound value of each quality point scored. In these circumstances, the bid with lowest PQP will be ranked first, whilst the Supplier with the second lowest PQP will be ranked second and so on.

**SCHEDULE 1: PSQ GUIDANCE AND SELECTION CRITERIA**

1. **Procurement Specific Questionnaire (“PSQ”)**
   1. The table at the end of this Schedule sets out guidance and evaluation criteria for the PSQ. The rest of this Schedule sets out additional guidance.
   2. The PSQ has been designed to help HMRC ensure that Suppliers share the information necessary to allow HMRC to determine whether suppliers possess the legal, financial and technical capability to perform the contract and enable shortlisting for progression to the ITSIT stage. The PSQ consists of preliminary questions, followed by three main parts:
   3. **Part 1 - Core Supplier Information**: suppliers participating in procurements are required to register on the Government’s central digital platform (CDP). Suppliers can submit their core supplier information and, where a procurement opportunity arises, share this information with HMRC via the CDP. It is free to use and will mean suppliers should no longer have to re-enter this information for each public procurement but simply ensure it is up to date and subsequently shared. The CDP is available at <https://www.gov.uk/find-tender>. Part 1 provides confirmation that suppliers have taken these steps. Please note specific guidance notes within the PSQ that require a Supplier to upload an output from the CDP to be provided in response to certain questions.
   4. **Part 2 - Additional Exclusions Information**: procurement legislation provides for an ‘exclusion regime’ and a published ‘debarment’ list to safeguard procurement from suppliers who may pose a risk (for example, due to misconduct or poor performance). Suppliers must submit their own (and their connected persons\*) exclusions information via the CDP. This includes self-declarations as to whether any exclusion grounds apply to them and, if so, details about the event or conviction and what steps have been taken to prevent such circumstances from occurring again.

*\*Connected persons are persons who exercise (or have a right to exercise) significant influence or control over the supplier and those over which the supplier exercises (or has the right to exercise) significant influence or control. This includes majority shareholders, directors and shadow directors, parent and subsidiary companies and predecessor companies. The majority of the exclusion grounds state that they apply to the supplier or a connected person of the supplier.*

* 1. As part of the procurement, the Supplier will need to also share additional exclusions information for any Suppliers that they are relying on to meet the Conditions of Participation. These could either be consortium members or key sub-contractors (but excludes any guarantors). These suppliers are ‘associated persons’ and their exclusions information must be shared with HMRC by ensuring that the associated persons register, submit and share their information via the CDP.
  2. In addition to the sub-contractors who are being relied on to meet the Conditions of Participation (who are associated persons), Suppliers will need to share an exhaustive list of all their intended sub-contractors, which will be checked against the debarment list.
  3. If a sub-contractor is unknown at the start of the procurement (or onboarded during the process), this should be made clear by the Supplier and relevant details of the sub-contractor should be provided once their identity and role is confirmed. This information should be shared with HMRC as soon as possible and, at the very latest, by the point of ITSIT submission.
  4. **Part 3 - Conditions of Participation**: Conditions of Participation set by HMRC which a Supplier must satisfy in order to be considered for award of the contract and progression to the next stage of the procurement process. These conditions relate to the Supplier’s legal, financial and technical capacity and and/or ability.
  5. The questions contained within this Schedule 1, in tandem with the information provided in Schedules 2 and 3, make clear whether a question is:
* For information only;
* To be evaluated as a pass/fail; or
* Is to be evaluated by a scored evaluation.
  1. Suppliers should note that HMRC have legislative duties to publish certain information which relate to the Supplier in their contract award notices. This information includes, but is not limited to:
* details of the winning Supplier’s associated persons;
* details of the winning Supplier’s connected person information; and
* for certain procurements over £5 million, details of unsuccessful Suppliers.
  1. Where a Supplier is unsure or requires any clarification, they should check with HMRC during the clarification period outlined in the Procurement Timetable.
  2. Please ensure that all questions are completed in full, and in the format requested.
  3. The Core Supplier Information must be completed on the CDP, with the remaining PSQ questions submitted via Ariba. Outputs from the CDP must be provided where requested within the PSQ.
  4. If a Supplier, including their connected persons or associated persons, meet any of the grounds for exclusion, there is an opportunity for the Supplier to provide further explanation and any measures taken to rectify the situation (we call this self-cleaning). HMRC reserves the right to request any evidence HMRC deems appropriate to confirm the accuracy of the self-declarations made by Suppliers, at any point during the procurement process. HMRC may reject any submission where the Supplier fails to provide such evidence in accordance with any timescales stipulated by HMRC and/or the evidence shows, in the opinion of HMRC, that there is a ground for exclusion.
  5. HMRC will require that the Supplier replaces an entity (e.g. associated persons or sub-contractors) who do not meet a relevant Condition of Participation, or in respect of which there are compulsory grounds for exclusion, and may require that the Supplier substitutes an entity in respect of which there are discretionary grounds for exclusion.
  6. HMRC may decline to consider bids (or otherwise exclude from participating in the procurement) from Supplier who are constituted or organised under the law of Russia or Belarus, or whose ‘Persons of Significant Control’ information states Russia or Belarus as the place of residency, unless the Supplier (or any member of their supply chain they rely on to deliver the contract):
* is registered in the UK or in a country the UK has a relevant international agreement with reciprocal rights of access to public procurement; and/or
* has significant business operations in the UK or in a country the UK has a relevant international agreement with reciprocal rights of access to public procurement.
  1. If a Supplier seriously misrepresents any factual information when completing the PSQ, and so induce HMRC to enter into a contract, there may be significant consequences. The Supplier may be excluded from the procurement procedure, and from bidding for other contracts for a period of three years. If a contract has been entered into the Supplier may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, the Supplier or its responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and the Supplier will be excluded from further procurements for a period of five years.

1. **Procurement Specific Questionnaire**
   1. The tables within this section set out the PSQ questions that must be responded to by Suppliers in line with the guidance provided.
   2. Schedule 2 provides further guidance with respect to any page and/or word limits, and the required format of a Supplier’s response.
   3. Schedule 3 contains the detailed evaluation guidance for the PSQ, which should be read in conjunction with the below questions.
   4. Suppliers must ensure that every organisation on which they will rely to meet the selection criteria completes and submits their own answers and declaration for the preliminary questions, part 1 and 2.
   5. Note that at the point of publication, the ‘share code’ functionality of the CDP may not be operational in such a way to allow HMRC to view the information directly. Therefore, when responding to questions within the PSQ that request information be completed on the CDP, suppliers must generate a word document with the required information from the CDP and attach this within the appropriate section of the questionnaire on Ariba.

**Preliminary Questions**

|  |  |  |
| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **1.1** | What is your name? | [Insert Supplier name] |
| **1.2** | What is your central digital platform unique identifier? | [Insert unique identifier] |
| **1.3** | Please indicate if you are bidding as a single supplier (with or without sub-contractors) or as part of a group or consortium? | Single Supplier  Group  Consortium |
| **1.4** | If you are bidding as part of a group or consortium (including where you intend to establish a legal entity to deliver the contract, or you are a subcontractor), please provide:   1. The name of the group/consortium 2. The proposed structure of the group/consortium, including the legal structure where applicable 3. The name of the prime/lead member in the group/consortium 4. Your role in the group/consortium (e.g. prime/lead member, consortium member, subcontractor) 5. Confirmation (if you are the prime/lead member in the group/consortium) whether you are relying on other consortium members to meet the selection criteria (i.e. are you relying on other consortium members for economic and technical standing and/or technical and professional ability?). If so, please confirm to which criteria this applies. | [Insert details here] |
| **1.5** | Are you on the debarment list?  If ‘Yes’, please provide details | Yes  No |
| [Insert details here] |

**Part 1: Confirmation of Core Supplier Information**

|  |  |  |
| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **1.6** | Regulation 6 of the Procurement Regulations 2024 (PR 2024) requires that Suppliers must provide confirmation of the following:   1. You have registered on the CDP 2. You have submitted up-to-date core supplier information on the CDP, which includes your:    * basic information (Reg 9 of PR 2024)    * economic and financial standing (Reg 10 of PR 2024) information    * connected person information (Reg 11 of PR 2024)    * exclusion grounds information (this includes exclusion information about the supplier and its connected persons; Reg 12 of PR 2024); and 3. You have provided that information to HMRC via a link and MS Word attachment.   Please provide a link to your information on the CDP in response to this question and your unique identifier that has been accepted or allocated by the CDP.  Please also upload a word document generated via the CDP and attach this to your response, such that HMRC are still able to view this information should there be any issues with the CDP.  Please note that providing a ‘No’ response or failing to provide a relevant link and accompanying document may result in disqualification**.**  Where a supplier is disqualified, the remainder of its response will not be evaluated.  **Please note, if the CDP is not working properly during the tendering period, please indicate this within your response. This will not immediately disqualify your submission; however, HMRC will request confirmation during the evaluation period that the information requested within this question is compliant.** | Yes  No |
| [Link to your information on the CDP]  [Attachment] |

**Part 2: Additional Exclusions Information**

**Part 2A – Associated Persons**

Please answer the following questions in full. Note that every organisation that forms part of your bidding group/consortium, as well as every organisation that is being relied on (including subcontractors) to meet the selection criteria must complete and submit responses to Part 1 and Part 2.

Associated persons are sub-contractors or consortium members who are being relied on by the prime/lead supplier to satisfy the conditions of participation in the particular procurement. This does not include guarantors, even if they are relied on to meet conditions of participation.

|  |  |  |
| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **2.1** | Please confirm whether you will rely on any associated persons in the procurement to satisfy the conditions of participation.  If you have answered “No” to this question, you are confirming you will not be relying on any other entity to satisfy the conditions of participation. If this is the case, questions 2.2 – 2.4 are not applicable and do not require a response.  Otherwise, you must comply with the requirements of 2.2 – 2.4 in respect of all associated persons. | Yes  No |
| **2.2** | For each associated person, please confirm which condition(s) of participation you are relying on them to satisfy | [Insert name of associated person(s) and brief description for each relevant condition of participation] |
| **2.3** | Please confirm the following in respect of all associated persons:   1. They have registered on the CDP 2. They have submitted up-to-date core supplier information on the CDP, which includes their:    * basic information    * economic and financial standing information    * connected person information    * exclusion grounds information (this includes exclusion information about the supplier and its connected persons); and 3. You have provided that information to HMRC via a link and MS Word attachment.   Please provide a link to your information on the CDP in response to this question and your unique identifier that has been accepted or allocated by the CDP.  Please also upload a MS Word document generated via the CDP and attach this to your response, such that HMRC are still able to view this information should there be any issues with the CDP.  Please note that providing a ‘No’ response or failing to provide a relevant link and MS Word document may result in disqualification**.**  **Please note, if the CDP is not working properly during the tendering period, please indicate this within your response. This will not immediately disqualify your submission; however, HMRC will request confirmation during the evaluation period that the information requested within this question is compliant.** | Yes  No  N/A |
| [Links for all associated persons information on the CDP]  [MS Word Attachment of information] |
| [List of each associated persons’ CDP unique identifier] |
| **2.4** | Please confirm if any of your associated persons are on the debarment list?  If ‘Yes’, please provide details | Yes  No |
| [Insert details if applicable] |

**Part 2B – List of all intended sub-contractors**

Under The Procurement Act 2023, HMRC must ask for details of all sub-contractors in the supply chain that a supplier intends to use to deliver the contract. This is not restricted to sub-contractors that the supplier is relying on to meet conditions of participation (who will also be associated persons) but ***applies to all sub-contractors*** to whom the supplier intends to sub-contract the performance of all or part of the contract.

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| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **2.5** | Please provide:   1. a list of all suppliers who you intend to sub-contract the performance of all or part of the contract to (either directly or in your wider supply chain); 2. their unique identifier (if they are registered on the CDP), or otherwise, a Companies House number, charity number, VAT registration number, or equivalent; 3. a brief description of their intended role in the performance of the contract, including any known deliverables; 4. The approximate % of contractual obligations assigned to each subcontractor, if known; and 5. Their SME status (Yes/No).   If a sub-contractor is unknown at the start of the procurement (or brought in during it), this should be made clear by the supplier and relevant details of the sub-contractor should be provided once their identity and role is confirmed. This information should be shared with HMRC as soon as possible and at least by the point of ITSIT submission.  Please note that if you are not intending to sub-contract the performance of all or part of the contract, then this question and 2.6 are not applicable. | N/A  Or  [provide the information as requested in the question] |
| **2.6** | Please confirm if any intended sub-contractor is on the debarment list?  If ‘Yes’, please provide details | Yes  No  N/A |
| [Insert details if applicable] |

**Part 3: Questions Relating to the Conditions of Participation**

**Part 3A – Standard Questions**

**Financial Capacity**

|  |  |  |
| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **3.1** | Suppliers must provide the following:   * A copy of your, and if applicable, organisations in your supply chain and / or consortium’s detailed audited statutory accounts for the most recent year of trading. These should include: Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading.   HMRC will use this information to calculate the financial metrics outlined in Annex 3 and assess whether the financial capacity of the supplier and, where applicable, any organisations in their supply chain or consortium is suitable for this procurement.  Note: At any point during the procurement process, HMRC may request that the Supplier and if applicable, organisations in their supply chain and / or consortium, provides further information to verify their financial capacity. | [Attach information requested] |
| **3.2** | Are you relying on another supplier to act as a guarantor?  If so, please provide their name and one of the following:   * A copy of their detailed accounts (audited if required by law) for the last two years (or most recent financial year if trading for less than 2 years); or * A statement of their annual turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading and a bank letter outlining the current cash and credit facility position; or * Alternative information to evidence economic and financial standing (e.g. forecast financial statements and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | Yes  No |
| [Attach information requested if ‘Yes’] |
| **3.3** | Please confirm whether you already have, or can commit to obtain, prior to the commencement of the contract, the minimum levels of insurance cover indicated below:  Employer’s (Compulsory) Liability Insurance - £10 million  Professional Indemnity Insurance - £10 million  Cyber Liability Insurance - £20 million  Note that the above insurance levels are subject to confirmation and the full insurance requirements will be confirmed within the ITSIT and/or ITSFT documentation.  Where you answer ‘No’ to this question, please provide an explanation as to why this is the case. | Yes  No |

**Legal Capacity**

|  |  |  |
| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **3.4** | Please confirm that you have in place, or that you will have in place by the award of the contract, the human and technical resources to perform the contract to ensure compliance with the UK General Data Protection Regulation and to ensure the protection of the rights of data subjects.  Please provide details of the technical facilities and measures (including systems and processes) you have in place, or will have in place by contract award, to ensure compliance with UK data protection law and to ensure the protection of the rights of data subjects. Your response should include, but should not be limited to facilities and measures:   * to ensure ongoing confidentiality, integrity, availability and resilience of processing systems and services * to comply with the rights of data subjects in respect of receiving privacy information, and access, rectification, deletion and portability of personal data * to ensure that any consent-based processing meets standards of active, informed consent, and that such consents are recorded and auditable * to ensure legal safeguards are in place to legitimise transfers of personal data outside the UK (if such transfers will take place) * to maintain records of personal data processing activities * to regularly test, assess and evaluate the effectiveness of the above measures | Yes  No |
| [Provide further details] – Response to not exceed 5 A4 pages. |

**Technical Ability**

|  |  |  |
| --- | --- | --- |
| *All organisations in the consortium and/or supply chain (if applicable) must demonstrate that they comply with the following technical standards* | | |
| **Question Number** | **Question** | **Response** |
| **3.5** | **Security and Compliance [1/2]**  Please confirm that your organisation currently holds the ISO27001 Information Security Management Systems (ISMS) certification.  Where you have responded ‘no’, please confirm provide an explanation as to why this is the case and the relevant measures you have put in place, in the absence of IS027001 certification. | Yes  No |
| [If you have entered a ‘no’ response, include further details here] |
| **3.6** | **Security and Compliance [2/2]**  HMRC requires a CRM solution that complies with all of the following standards.   * NCSC Cyber Assurance Framework; * NCSC Cloud Security Principles; * Cyber Essentials Plus Standards; and * Government Digital Service (GDS) Secure by Design Principles.   Please confirm that your CRM solution will comply with the above standards at the time of contract signature.  Where you have responded ‘no’, please confirm which of the above standards you do not comply with and an explanation of the arrangements you have in place to ensure IT security and resilience, in the absence of compliance. | Yes  No |
| [If you have entered a ‘no’ response, include further details here] |
| [Further information if applicable] |

|  |  |  |
| --- | --- | --- |
| Where you are bidding as part of a consortium, the lead consortium member is required to respond to questions 3.7a and 3.7b below | | |
| **3.7a** | **First Party Capabilities**  HMRC requires a CRM solution that is able to deliver all of the capabilities\* listed below using the core functionality of your platform:   * Marketing & Campaign Management * Customer Management * Case Management * Interaction, Channel and Messaging Management * AI * Insights * Reporting & Intelligence * Customer Experience (Customer Portal and App)   Please confirm that your CRM solution is able to meet all of the above capabilities with your core platform and the relevant First Party\* products/modules which possess this capability.  **\*First Party refers to software owned by the Supplier or another group company. The definition of a group company is the body corporate, any other body corporate which is its holding company or subsidiary, and any other body corporate which is a subsidiary of that holding company, as per section 1261 of the Companies Act 2006.**  See paragraph 5.2 of Annex 1 (Requirements Overview) for a high level description of each of the above capabilities. | Yes  No |
| [Please confirm relevant first-party products/modules for each capability] |
| **3.7b** | **First or Third Party Capabilities**  HMRC also requires the capabilities listed below which may be either delivered by core functionality of your platform, or by the integration of Third Party\* SaaS solutions:   * Identity, Verification & Authentication * Secure Digital Exchange Communications (SDEC) * Fraud * Data & Integration Management * Operational Management * Knowledge Management * Non-Compliance Management   Please confirm that all these can be delivered by your core platform and, if so, the relevant First Party products/modules. If all capabilities cannot be delivered via First Party products, please state the relevant Third Party\* products which are able to provide to deliver the required capabilities.  See paragraph 5.2 of Annex 1 for a description of each of the above capabilities.  \***Third Party products refer to software owned by a company other than the Supplier or a group company of the Supplier, as defined in question 3.7a. The relevant Third Party company must be a part of the Supplier’s consortium or supply chain.** | Yes  No |
| [Please confirm relevant products/modules for each capability] |
| **3.8** | **Performance and Scalability**  HMRC requires a CRM solution with proven scalability and reliability. The proposed solution must be built on a Software as a Service (SaaS) platform that is capable of scaling to meet the peak demands expected by HMRC.  Please confirm that your CRM solution:   1. Can handle at least 100 million active customer accounts (combinations of both individuals and corporate entities) without degradation in system performance; 2. Can support 6 million open concurrent cases that must be accessible, searchable, updatable and able to be processed in the background without significant service interruption or performance degradation; 3. Can support a minimum of 45,000 internal concurrent users performing routine operations (case lookup, update, workflow trigger) without significant service interruption or performance degradation; 4. Can support bulk operations (e.g. case imports, status updates, bulk communications) on large datasets e.g. sending a campaign to 9 million users during Self-Assessment; supporting 500M outbound campaign emails annually; 5. The Platform has the ability to scale up to handle peaks of up to 7500 HTTP requests per second and sustain this rate for a minimum of 1 hour; 6. Can support up to 30 APIs in parallel per user-initiated transaction, without significant service interruption or performance degradation (APIs may include either internal APIs from other HMRC systems, or external APIs, for example data received from Companies House); 7. Can support third parties acting on behalf of a customer to manage their account; and 8. Can provide a service availability of at least 99.9% over a 365-day, 24x7 period.   Where you have responded ‘no’, please confirm which of the above metrics you cannot meet along with an explanation detailing why this is the case. | Yes  No |
| [Further information if applicable] |
| **3.9** | **Data Hosting**  Please confirm that all products/modules within your CRM solution are capable of being hosted within the UK, with all data resident in the UK.  Please share a relevant example (max 500 words) for your organisation’s CRM solution, which demonstrates where the above hosting requirements have been previously met.  **Note:** By participating in this procurement exercise, you acknowledge that staff supporting your CRM solution will need to meet one of three classifications below according to their role and the information to which they have access:   1. It may be acceptable for some roles to be offshored, subject to approval through HMRC's offshoring governance processes. This will depend on the functionality, environment and data to which the role has access. Individuals in these roles must be BPSS-checked or the equivalent, as a minimum. 2. For some roles, the staff member must be in the UK and BPSS-checked; 3. For some roles, the staff member must be in the UK and SC-cleared.   The criteria for determining the classification for each programme role will be agreed during finalisation of the contract. | Yes  No |
| [Insert example] |
| **3.10** | **Accessibility Questionnaire**  Please find HMRC's accessibility evidence questionnaire document attached at Annex 4.  Please respond to each question in the document and attach your completed copy, along with any supporting documents requested, as part of your CoP response.  HMRC are required to ensure all digital services/products purchased and/or operated by HMRC meet public sector accessibility regulations.  The accessibility questionnaire should therefore be answered in relation to any product(s) or service(s) you intend to provide through a web browser, desktop application or mobile application, that will be used as part of any contract resulting from this procurement exercise.  Please respond “Yes” to confirm you have attached a completed version of the accessibility questionnaire. | Yes  No |
| **3.11** | **Relevant Experience & Capability**  In no more than 1 side of A4 per case study, provide three different case studies which evidence where you have successfully delivered an enterprise-wide CRM solution with similar requirements to those outlined by HMRC within this document (including Annexes).  Where you are bidding as part of a consortium/with subcontractors, the lead Supplier must be included in all of the case studies. Other Suppliers within the consortium/supply chain may also be mentioned within the case studies for reference.  Your 3 case studies must include at least 2 case studies where your solution has supported at least 5,000 concurrent internal users, and 1 case study where your solution has supported at least 10,000 concurrent internal users.  Each case study must include the below information:   1. Name of customer; 2. Contract term; 3. Estimated total contract value; 4. Contract start and end dates; 5. Number of end users; 6. A brief description of the customer scenario and how your CRM solution addressed this scenario; and 7. A named customer contact.   HMRC reserves the right to conduct due diligence on this response by contacting the named customer contact to verify the information provided. | 500 words per case study (1,500 words in total) |
| **3.12** | **Fitness for Purpose**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How did the software meet and/or exceed the functional needs and expectations of users across the organisation? 2. How did you measure whether the functional needs and expectations of users were met and/or exceeded? 3. How was the business / customer able to configure the software to meet their requirements and what, if any, custom development was required? 4. How did the software solution need to rely on bolt-on capabilities within their ecosystems or through additional partnerships to meet all the functional needs? 5. How many instances (or your platform’s equivalent) were used in order to deliver the customer’s requirements? Include metrics to support your response e.g. number of use cases / personas / entities/costs and efficiency savings. 6. Did any critical gaps or unexpected capability needs arise during the contract, and if so how were these managed in line with the expectations of the customer? | Word Limit: 1,500 words  Weighting: 25% |
| **3.13** | **Scalability**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How did the software scale to support the intended number of users and customers and what associated tooling was utilised? 2. How did your solution handle peaks in usage without causing service degradation? | Word Limit: 1,000 words  Weighting: 20% |
| **3.14** | **Data & Integration Management**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How did the software’s hosting model meet and/or exceed the customer’s data residency, sovereignty, and compliance requirements? 2. How did the software integrate with existing systems and infrastructure, including both on-premise and cloud hosted examples? 3. How did integrations minimise complexity and manage technical debt? 4. How did you manage data flows across multiple systems incl. any potential downsides? 5. How was real-time data integration used within your solution and how were any challenges resolved? 6. How did your solution ensure data accuracy and support open standards? | Word Limit: 750 words  Weighting: 15% |
| **3.15** | **Security, Robustness and Performance**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How well did the software perform in terms of reliability, speed and security? 2. What measures were put in place to ensure that any significant incidents, e.g. system outages or data breaches, were managed to a satisfactory conclusion? How did this meet and/or exceed the customer’s expectations? | Word Limit: 500 words  Weighting: 10% |
| **3.16** | **User Interface and User Experience**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How did users across different roles rate the usability and design of the software interface and how was their feedback captured? 2. What feedback was received on the ease of use and visual clarity? 3. How did the use of Artificial Intelligence (AI) capabilities affect user experience and efficiency of the solution? | Word Limit: 500 words  Weighting: 10% |
| **3.17** | **Future Proofing and Roadmap Access**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How well has the software kept pace with organisational needs and external developments? 2. Was the customer able to access and benefit from product updates and innovations in a timely, transparent and cost-efficient way? 3. What was your approach to training / supporting training of customer teams to use your solution throughout the contract? 4. Did you co-develop your product roadmap with the customer? Where there was co-development of the roadmap, how was this managed? | Word Limit: 500 words  Weighting: 7.5% |
| **3.18** | **Third Party Contact Centre as a Service (CCaaS) Integrations**  Please provide two case studies which describe your experience integrating your CRM solution with a range of contact centre solutions in large-scale environments (tens of thousands of internal users). Your case studies should cover the following:   * The development of the system architecture, * Interoperability across the systems landscape * The integration lifecycle management (ILM) approach * Measurable outcomes demonstrating successful operation across multiple communication channels (e.g. online, mobile).   Note that your response to this question may include some or all of the case studies provided in your response to Question 3.11, however you may also use alternative case studies in your response to this question.  Where you are bidding as part of a consortium/with subcontractors, the lead Supplier must be included in all of the case studies. Other Suppliers within the consortium/supply chain may also be mentioned within the case studies for reference. | Word Limit: 500 words per case study (1000 words in total)  Weighting: 7.5% |
| **3.19** | **Developer Ecosystem and SI Compatibility**  Using one or more of the case studies provided in your response to 3.11, please answer the following questions:   1. How was the developer ecosystem provided by yourself, as the CRM vendor, used and valued during the implementation and operational phases of the project? 2. Describe the experience of internal teams and third-party developers in engaging with the ecosystem and how their feedback was captured.   Note: By "developer ecosystem", we mean the full set of tools, resources, documentation, support, and community provided alongside your CRM platform to help internal and third-party developers configure, customise and deploy the system. | Word Limit: 500 words  Weighting: 5% |

**Part 3B – Requirements for Central Government Departments, their Executive Agencies and Non-Departmental Public Bodies**

**Payments in Contracts**

Please see [PPN015: Taking account of a supplier’s approach to payment in the procurement of major contracts - GOV.UK](https://www.gov.uk/government/publications/ppn-015-how-to-take-account-of-a-suppliers-approach-to-payment-in-the-procurement-of-major-contracts/ppn-015-taking-account-of-a-suppliers-approach-to-payment-in-the-procurement-of-major-contracts-html) for further information.

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| **Question Number** | **Question** | **Response** |
| **3.20** | Please confirm if you intend to use a supply chain\* for this contract. If you answer “No” you do not need to complete the rest of this section (questions 3.21 – 3.23)  *\*References to supply chain means suppliers or sub-contractors of any tier that execute any works, supply any products or provide any services that are used wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of the contract.* | Yes  No |
| **3.21** | Please confirm that you have systems in place to pay those in your supply chain promptly and effectively, i.e. within your agreed contractual terms. | Yes  No |
| **3.21a** | Please confirm you have procedures for resolving disputed invoices with those in your supply chain promptly and effectively. | Yes  No |
| **3.22** | Please confirm that for public sector contracts awarded under the Procurement Act 2023 you have systems in place to include (as a minimum) 30-day payment terms in all of your supply chain contracts and require that such terms are passed down through your supply chain. | Yes  No |
| **For Information Only - Evidence for self-declarations (questions 3.21, 3.22 and 3.23):** Prior to contract award, the following evidence will be required from the successful Supplier (where the Supplier has answered ‘Yes’ to question 3.20 above) to verify the Supplier's responses:   * 3.22a - A copy of your standard payment terms for all of your supply chain contracts. * 3.22b - A copy of your procedures for resolving disputed invoices promptly and effectively. * 3.22c - Details of any payments of interest for late payments you have paid in the past 12 months or which became due during the past 12 months and remain payable (contractually or under late payment legislation) and, if any such payment has been made (or arose), an explanation as to why this occurred and an outline of what remedial steps have been taken to ensure this does not occur again. * 3.22d - A copy of your standard payment terms used with sub-contractors on public sector contracts subject to the Procurement Act 2023 * 3.22e - A link to your data published online under the Reporting on Payment Practices and Performance Regulations 2017 if you are required to publish under these regulations. |
| **3.23** | A) Please provide the percentage of invoices paid by you to those in your immediate supply chain\* on all contracts for each of the two previous six-month reporting periods.\*\* This should include the percentage of invoices paid within each of the following categories:   1. within 30 days 2. in 31 to 60 days 3. in 61 days or more 4. due but not paid by the last date for payment under agreed contractual terms   B) Please provide the average number of days\*\*\* taken by you to pay an invoice to those in your immediate supply chain on all contracts for each of the two previous six-month reporting periods. It is acceptable to cross refer to information that has previously been submitted to government or other bodies or is publicly available (provided it covers the required reporting periods), including data published in accordance with the Reporting on Payment Practices and Performance Regulations 2017. If you do wish to cross-refer, please provide details and/or insert link(s).  C) If you are unable to demonstrate that all invoices have been paid within the agreed contractual terms, please explain why. Note: if you are required to submit an action plan under question 3.23(D) of this question, this action plan must also set out steps to address your payment within agreed terms, to achieve a pass for question 3.23(D).  (D) If you are unable to demonstrate that at least 95% of invoices payable to your supply chain on all contracts have been paid within 60 days of the receipt of the invoice in at least one of the last two six-month reporting periods, please provide an action plan for improvement which includes (as a minimum) the following:   1. Identification of the primary causes of failure to pay:    1. 95% of all supply chain invoices within 60 days; and    2. if relevant under question 3.23(C), all invoices within agreed terms 2. Actions to address each of these causes. 3. A mechanism for and commitment to regular reporting on progress to the supplier's audit committee (or equivalent). 4. Plan signed off by director. 5. Plan published on its website (this can be a shorter summary plan).   If you have an existing action plan prepared for a different purpose, it is acceptable to attach this but it should contain the above features.  *\*References to supply chain means suppliers or sub-contractors of any tier that execute any works, supply any products or provide any services that are used wholly or substantially for the purpose of performing (or contributing to the performance of) the whole or any part of the contract.*  *\*\*The definition of reporting period can be found by referring to the DBT Guidance:*[*www.gov.uk/government/publications/business-payment-practices-and-performance-reporting-requirements*](http://www.gov.uk/government/publications/business-payment-practices-and-performance-reporting-requirements)  *\*\*\*The calculation is the average (mean) number of days within which payments are made under qualifying contracts during the reporting period. To find the mean, add together the number of days it took to make all payments to be reported and divide it by the number of payments made.* | A1 (Within 30 days) – [Insert %]  A2 (In 31 to 60 days) – [Insert %]  A3 (in 61 days or more) – [Insert %]  A4 – (due but not paid by the last date for payment under agreed contractual terms – [Insert %] |
| B – [Insert average number of days] |
| C – [Insert response]  N/A |
| D – [Insert response]  N/A |

**Carbon Reduction Plan**

Please see [PPN 006: Taking account of Carbon Reduction Plans (HTML) - GOV.UK](https://www.gov.uk/government/publications/ppn-006-taking-account-of-carbon-reduction-plans-in-the-procurement-of-major-government-contracts/ppn-006-taking-account-of-carbon-reduction-plans-html) for further information.

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| **Question Number** | **Question** | **Response** |
| **3.24** | Please confirm that you have detailed your environmental management measures by completing and publishing a Carbon Reduction Plan which meets the required reporting standard.  Provide a link to your most recently published Carbon Reduction Plan. | Yes  No |
| [Insert Link] |
| **3.25** | Please confirm that your organisation is taking steps to reduce your GHG emissions over time and is publicly committed to achieving net zero by 2050. | Yes  No |
| **3.26** | Please confirm your Net Zero Target Date (e.g. 2050) | [Insert Date] |
| **3.27** | Please complete the following Supplier Emissions Declaration:  Baseline Year: **[Insert Year]**  Scope 1: **[Insert emissions (tCO2e)]**  Scope 2: **[Insert emissions (tCO2e)]**  Scope 3: **[Insert emissions (tCO2e)]**  Current/Most Recent Reporting Year: **[Insert Year]**  Scope 1: **[Insert emissions (tCO2e)]**  Scope 2: **[Insert emissions (tCO2e)]**  Scope 3: **[Insert emissions (tCO2e)]** |  |

**Tackling Modern Slavery in Supply Chains**

Please see [PPN 009: Tackling Modern Slavery in Supply Chains (HTML) - GOV.UK](https://www.gov.uk/government/publications/ppn-009-tackling-modern-slavery-in-government-supply-chains/ppn-009-tackling-modern-slavery-in-government-supply-chains-html) for further information.

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| **Question Number** | **Question** | **Response** |
| **3.28** | Please confirm that your organisation is ‘a relevant commercial organisation’\* for the purposes of the Modern Slavery Act 2015.  *\*‘Relevant commercial organisations’ are defined as commercial organisations that carry on a business or part of business in the UK, supply goods or services and have an annual turnover of £36 million or more.* | Yes  No |
| **3.29** | If you have answered ‘Yes’ to question 3.28, please confirm that your organisation is compliant with the requirements contained within section 54 of the Modern Slavery Act 2015 and associated guidance, and your Modern Slavery Statement includes information relating to:   1. the organisation’s structure, its business and its supply chains 2. its policies in relation to slavery and human trafficking; 3. its due diligence processes in relation to slavery and human trafficking in its business and supply chains; 4. the parts of its business and supply chains where there is a risk of slavery and human trafficking taking place, and the steps it has taken to assess and manage that risk; 5. its effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such performance indicators as it considers appropriate; and 6. the training and capacity building about slavery and human trafficking available to its staff.   If you have answered “No” to this question, please provide an explanation as to why this is the case and assurance that you will be able to demonstrate compliance in advance of contract award.  If you have answered ‘No’ to question 3.28, please respond ‘N/A’ to this question. | Yes  No  N/A |
| [Insert link to Modern Slavery Statement or Explanation for Lack of Compliance] |
| **3.30** | If you have responded ‘No’ to question 3.28, please confirm whether your organisation has a turnover of more than £36 million and is able to provide a link to an equivalent statement or document which demonstrates information relating to paragraphs a) to f) as specified in question 3.29 above.  If you have answered ‘No’ to this question. please provide an explanation as to why this is the case and assurance that you will be able to demonstrate compliance in advance of contract award.  If you have answered “Yes” to question 3.28, please respond “N/A” to this question 3.30.  If your organisation’s turnover is less than £36m, please respond ‘N/A’. | Yes  No  N/A |
| [Insert link to relevant statement or document or provide explanation for lack of compliance] |

**Conflict of Interest**

|  |  |  |
| --- | --- | --- |
| **Question Number** | **Question** | **Response** |
| **3.31** | Please confirm whether you have identified any conflict(s) of interest in submitting your CoP response to this procurement.  Where a conflict of interest (COI) has been identified, please respond ‘Yes’ and provide further details, including the nature of the conflict, the duration of the conflict, the parties involved and your proposed mitigations.  Where a Supplier identifies a potential COI, HMRC will look to remedy any COI without excluding the Supplier from the procurement process wherever possible. HMRC does however reserve the right to exclude the Supplier from this procurement process where such a COI cannot be remedied by other means, to the satisfaction of HMRC.  Withholding knowledge of a COI may result in disqualification from the procurement exercise. Once a contract is awarded, the Supplier still has a continuing obligation to make HMRC aware of any new conflicts and to maintain where necessary any mitigating actions. | Yes  No |
| [If a conflict of interest has been identified, provide further detail here] |
| **3.32** | Where a Supplier is deemed to be an incumbent1 Supplier to HMRC, an Ethical Wall Agreement is required to be in place in order for that Supplier to access the Invitation to Submit Initial Tender (ITSIT) documentation. An Ethical Wall Agreement will only be required to be countersigned once Suppliers have received confirmation that they have been down-selected and will proceed to the Invitation to Submit Initial Tender (ITSIT) stage.  1A Supplier will be considered an incumbent Supplier if they:   * currently provide or deliver Customer Relationship Management-related platforms or services for HMRC, or * currently provide or deliver integrations that form part of HMRC's IT Customer Relationship Management estate or integrate with other areas within HMRC's IT estate.   Where an Ethical Wall Agreement is likely to be required, the Supplier must complete Appendix 1 of the Ethical Wall Agreement as part of their Conditions of Participation submission and confirm it’s headline ethical wall position. This will comprise of:  (a) an indication of the Supplier’s intention to ensure a demarcation between bid teams and delivery personnel to HMRC, and  (b) evidence of the above, which shall include named individuals and their allocation across the bid team and existing delivery personnel.  Suppliers should complete the attached Ethical Wall Agreement template if they believe themselves to be considered an incumbent supplier as per the definition above.  If Suppliers are unsure if they need to complete the Ethical Wall Agreement template, they should contact HMRC through the SAP Ariba messaging portal. | Do you consider yourself to be an incumbent Supplier to HMRC, and as such in need of completing an Ethical Wall Agreement:  Yes  No |
| [If yes, please upload a completed Ethical Wall Agreement to this question]  Note: This document does not require execution by the Supplier as part of it’s CoP response |
| **3.33** | Suppliers that are successful at the Conditions of Participation stage and are down-selected for the Invitation to Submit Initial Tender (ITSIT) stage will need to have a new Non-Disclosure Agreement (NDA) in place with HMRC to cover the procurement process from the ITSIT through to contract award.  Please confirm that you agree to sign the NDA template provided.  Please fill out this NDA template and provide a completed copy attached to this question. Suppliers will only be required to countersign this copy if they are shortlisted to the ITSIT stage of the procurement. | Yes  No |
| [Please upload a completed version of the NDA provided to this question]  Note: This document does not require execution by the Supplier as part of it’s CoP response |

**Declaration and Contact Details**

|  |  |
| --- | --- |
| **3.34 Declaration** | |
| I declare that:   * to the best of my knowledge the answers submitted and information contained in this document are complete, accurate and not misleading * upon request and without delay I will provide the certificates and/or documentary evidence referred to in this document except where this documentation can be accessed by the contracting Authority via a national database free of charge or the contracting Authority already possesses the documentation * I understand that the response to this questionnaire will be used to assess whether our organisation is entitled to participate in, or continue to participate in, this procurement * I understand that our organisation may be excluded from the procurement if requested information has not been provided, if any of this response or any follow up responses are incomplete, inaccurate or misleading, if confidential information has been accessed or if we have unduly influenced your decision-making in this procurement * I am aware of the consequences of serious misrepresentation | |
| Signature (electronic is acceptable) |  |
| Date |  |
| Name |  |
| Role |  |
| Phone Number |  |
| Email |  |
| Postal Address |  |

**SCHEDULE 2: PSQ RESPONSE GUIDANCE**

* 1. Suppliers must provide a written response for each question referenced in the table below.
  2. The page and/or word limits for each qualitative question are as per the below table.

|  |  |
| --- | --- |
| **Question** | **Page and/or Word Limit** |
| 3.11 | 500 words per case study (1500 words in total) |
| 3.12 | 1,500 words |
| 3.13 | 1,000 words |
| 3.14 | 750 words |
| 3.15 | 500 words |
| 3.16 | 500 words |
| 3.17 | 500 words |
| 3.18 | 500 words per case study (1000 words in total) |
| 3.19 | 500 words |

* 1. In cases where a Supplier exceeds the word count and/or page limit for any of the questions, any content over and above the word count/page limit will be disregarded by HMRC for the purposes of evaluation. HMRC reserves the right to request that the Supplier re-submits their CoP response in the event that it believes any information has been provided erroneously.
  2. Your response must be in font size 12, font style Arial, with margins no smaller than 1.27cm (across top, bottom, left and right) in Microsoft Word.
  3. You may include up to 2 diagrams to support your response for each question. A maximum of 100 words for each diagram (in addition to the word limit set out in the above table) will be accepted.

**SCHEDULE 3: PSQ EVALUATION GUIDANCE AND CRITERIA**

* 1. The tables below provide evaluation guidance for each of the questions in the PSQ.
  2. The evaluation guidance contains, for each question:
     1. The assessment method (e.g. pass/fail);
     2. Where applicable, what constitutes a pass;
     3. Where applicable, what constitutes a fail; and
     4. Any further evaluation guidance.
  3. If any part of your response is left incomplete, the section may be marked as a fail. If the question is not applicable, please mark your response as ‘N/A’.
  4. Suppliers should ensure they read this Schedule 3 in conjunction with the PSQ questions.

**Preliminary Questions**

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| --- | --- | --- |
| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| **1.1 – 1.4** | Pass/Fail | **Pass**  All information provided.  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC |
| **1.5** | Pass/Fail | **Pass**  A response of ‘No’  **OR**  A response of ‘Yes’ and the Supplier confirms that it is on the debarment list in relation to a discretionary exclusion ground, the Supplier has provided a summary of the circumstances and any remedial action that has taken place subsequently, for the debarment ground in question AND The Supplier has demonstrated that it has taken such remedial action to the satisfaction of HMRC in each case.  **Fail**  A response of ‘Yes’ and the Supplier confirms that it is on the debarment list in relation to a mandatory exclusion ground (as detailed under Schedule 6 of the Act)  **OR**  A response of ‘Yes’ and the Supplier confirms that it is on the debarment list in relation to a discretionary exclusion ground (as detailed under Schedule 7 of the Act) but has not provided a summary of the circumstances and any remedial action that has taken place subsequently  **OR**  A response of ‘Yes’ and the Supplier has confirmed that it is on the debarment list in relation to a discretionary exclusion ground (as detailed under Schedule 7 of the Act) and the Suppliers’ summary of the circumstances and any remedial action that has taken place subsequently is deemed unsatisfactory by HMRC  **OR**  The response is incomplete and any missing information is not provided in the timeframes requested by HMRC  Note: Where a Supplier is disqualified, the remainder of its response will not be evaluated. |

**Part 1: Confirmation of Core Supplier Information**

|  |  |  |
| --- | --- | --- |
| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| **1.6** | Pass/Fail | **Pass**  A response of ‘Yes’ and the Supplier provides all information requested, and there are no grounds for exclusion.  **OR**  A response of ‘Yes’ and the Supplier provides all information requested, and confirms that grounds for discretionary exclusion apply, but the Supplier has provided a summary of the circumstances and any remedial action that has taken place subsequently, for the exclusion ground(s) in question. The Supplier has to demonstrate it has taken such remedial action to the satisfaction of HMRC in each case.  **Fail**  The Supplier answers ‘No’, without an explanation that is deemed satisfactory by HMRC  **OR**  The response is incomplete and any missing information is not provided in the timeframes requested by HMRC  **OR**  The Supplier confirms that a mandatory exclusion ground applies  **OR**  The Supplier confirms that a discretionary exclusion ground applies, but the Supplier has not included details and/or provided an explanation which is to the satisfaction of HMRC  HMRC reserves the right to fail Suppliers that:   * Are not part registered on the CDP * Have not provided up-to-date core supplier information as requested * Have not provided one or more of the pieces of information requested |

**Part 2: Additional Exclusions Information**

**Part 2A – Associated Persons**

|  |  |  |
| --- | --- | --- |
| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| **2.1** | Pass/Fail | **Pass**  A response of ‘Yes’ or ‘No’  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC. |
| **2.2** | Pass/Fail/N/A | **N/A – if Supplier will not** **be relying on any associated persons to satisfy the conditions of participation**  **If Supplier IS relying on associated persons to satisfy the conditions of participation:**  **Pass**  The name of each associated person is provided alongside a description of each condition of participation they are being relied on to satisfy  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC. |
| **2.3** | Pass/Fail/N/A | **N/A – if Supplier will not** **be relying on any associated persons to satisfy the conditions of participation**  **If Supplier IS relying on associated persons to satisfy the conditions of participation:**  **Pass**  A response of ‘Yes’ and the Supplier provides all information provided, and there are no grounds for exclusion for any of the associated persons  **OR**  A response of ‘Yes’ and the Supplier provides all information requested and confirms that grounds  for discretionary exclusion apply to one or more associated persons, but the Supplier has provided a summary of the circumstances and any remedial action that has taken place subsequently, for the exclusion ground(s) in question. The Supplier has to demonstrate it has taken such remedial action to the satisfaction of HMRC in each case.  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC.  **OR**  A response of ‘Yes’ and the Supplier confirms that a mandatory exclusion ground applies to one or more of the associated persons  **OR**  A response of ‘Yes’ and the Supplier confirms that a discretionary exclusion ground applies to one or more of the associated persons, but the Supplier has not included details and/or provided an explanation which is to the satisfaction of HMRC.  **OR**  The Supplier answers ‘No’, without an explanation that is deemed satisfactory by HMRC  HMRC reserves the right to fail Suppliers whose associated persons:   1. Are not part registered on the CDP 2. Have not provided up-to-date core supplier information as requested 3. Have not provided one or more of the pieces of information requested   Where a Supplier is disqualified, the remainder of its response will not be evaluated. |
| **2.4** | Pass/Fail/N/A | **N/A – if Supplier will not** **be relying on any associated persons to satisfy the conditions of participation**  **If Supplier IS relying on associated persons to satisfy the conditions of participation:**  **Pass**  A response of ‘No’  **OR**  A response of ‘Yes’ and the Supplier confirms that one or more of the associated persons are on the debarment list for a discretionary exclusion ground. The Supplier has provided a summary of the circumstances and any remedial action that has taken place subsequently, for each of the relevant discretionary exclusion grounds. The Supplier has demonstrated that it’s associated person(s) have undertaken such remedial action to the satisfaction of HMRC in each case.  **Fail**  A response of ‘Yes’ and the Supplier confirms that one or more of the associated persons are on the debarment list in relation to a mandatory exclusion ground (as detailed under Schedule 6 of the Act).  **OR**  A response of ‘Yes’ and the Supplier confirms that one or more of its associated person(s) are on the debarment list in relation to a discretionary exclusion ground (as detailed under Schedule 7 of the Act) but has not provided a summary of the circumstances and any remedial action that has taken place subsequently.  **OR**  A response of ‘Yes’ and the Supplier confirms that one or more of its associated person(s) are on the debarment list in relation to a discretionary exclusion ground (as detailed under Schedule 7 of the Act) and the Suppliers’ summary of the circumstances and any remedial action that has taken place subsequently is deemed unsatisfactory by HMRC.  **OR**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC.  Note that HMRC will verify the Supplier’s response against the debarment list. Providing erroneous information or failing to provide a relevant link may result in disqualification.  Where a Supplier is disqualified, the remainder of its response will not be evaluated. |

**Part 2B – List of all intended sub-contractors**

|  |  |  |
| --- | --- | --- |
| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| **2.5** | Pass/Fail/N/A | **N/A – if Supplier will not** **be using any sub-contractors**  **If Supplier IS using sub-contractors:**  **Pass**  All information is provided.  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC. |
| **2.6** | Pass/Fail/N/A | **N/A – if Supplier will not** **be using any sub-contractors**  **If Supplier IS using sub-contractors:**  **Pass**  A response of ‘No’  **OR**  A response of ‘Yes’ and the Supplier confirms that one or more of it’s subcontractors are on the debarment list for a discretionary exclusion ground. The Supplier has provided a summary of the circumstances and any remedial action that has taken place subsequently, for each of the relevant discretionary exclusion grounds. The Supplier has demonstrated that it’s subcontractor(s) have undertaken such remedial action to the satisfaction of HMRC in each case.  **Fail**  A response of ‘Yes’ and the Supplier confirms that one or more of its subcontractors are on the debarment list in relation to a mandatory exclusion ground (as detailed under Schedule 6 of the Act).  **OR**  A response of ‘Yes’ and the Supplier confirms that one or more of its subcontractors are on the debarment list in relation to a discretionary exclusion ground (as detailed under Schedule 7 of the Act) but has not provided a summary of the circumstances and any remedial action that has taken place subsequently.  **OR**  A response of ‘Yes’ and the Supplier confirms that one or more of its subcontractors are on the debarment list in relation to a discretionary exclusion ground (as detailed under Schedule 7 of the Act) and the Suppliers’ summary of the circumstances and any remedial action that has taken place subsequently is deemed unsatisfactory by HMRC.  **OR**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC.  Note that HMRC will verify the Supplier’s response against the debarment list. Providing erroneous information or failing to provide a relevant link may result in disqualification.  Where a Supplier is disqualified, the remainder of its response will not be evaluated.  HMRC reserve the right to reject the Supplier’s tender submission where this information is not provided. Where a sub-contractor is on the debarment list (HMRC will check the debarment list to verify whether any sub-contractor is listed), at the request of HMRC the Supplier must replace the sub-contractor with another supplier who is not on the debarment list. Refusal to replace such a sub-contractor may result in the rejection of the Supplier’s CoP submission. |

**Part 3: Questions Relating to the Conditions of Participation**

**Part 3A – Standard Questions**

**Financial Capacity**

|  |  |  |
| --- | --- | --- |
| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| **3.1** | Pass/Fail | **Pass**  All required information has been provided and none of the financial metrics, as described in Annex 3, are deemed to be high risk. Therefore, HMRC is satisfied that the Supplier, and if applicable, organisations in the Supplier’s supply chain and / or consortium demonstrate adequate financial capacity to deliver the contract. Where relevant, any supporting information requested by HMRC is provided in the timeframes requested.  **OR**  All required information has been provided but one or more of the financial metrics, as described in Annex 3, are deemed to be high risk. Within the timeframes requested by HMRC, the Supplier is able to provide the appropriate assurances that the Supplier and/or organisations in their supply chain and/or consortium demonstrate adequate financial capacity to deliver the contract.  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC.  **OR**  Following HMRC's review of the information provided by the Supplier, one or more of the financial metrics, as described in Annex 3, is deemed to be high risk and the Supplier is unable to provide HMRC with the appropriate assurances that the Supplier and/or organisations in their supply chain and/or consortium demonstrate adequate financial capacity to deliver the contract.  Note: In the event that HMRC deems it necessary to seek additional assurances from the Supplier with regards to its financial capacity (including any supply chain and/consortium members), these assurances may include a request to provide some form of financial guarantee/bond.  HMRC reserves the right to conduct further financial due diligence checks on Suppliers and organisations in their supply chain and/or consortium at any point during the procurement process. This due diligence may include analysis of the documents provided in response to this question, analysis of any other financial information deemed relevant by HMRC and/or credit checks. Suppliers and organisations in their supply chain and/or consortium must provide any documentation requested in order to assist with the due diligence process. It will be at HMRC’s discretion to determine whether the Supplier demonstrates suitable financial standing to deliver the contract based on the due diligence checks undertaken. |
| **3.2** | Pass/Fail | **Pass**  A response of ‘No’.  OR  A response of ‘Yes’ and all information with respect to the Supplier’s guarantor is provided and HMRC is satisfied that the guarantor demonstrates suitable financial standing to undertake the role of guarantor.  **Fail**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC.  **OR**  A response of ‘Yes’ and:   1. Following review of the information provided and any further due diligence undertaken, HMRC deems the due diligence checks fail to demonstrate a suitable level of financial standing to deliver the contract; and/or 2. the Supplier fails to provide any of the information requested to undertake such checks, without a reasonable explanation as to why the information is unavailable.   HMRC reserves the right to conduct further financial due diligence checks on Suppliers and their guarantor at any point during the procurement process, in order to assess the financial standing of a Supplier / guarantor. This due diligence may include analysis of the documents provided in response to this question, analysis of any other financial information deemed relevant by HMRC and/or credit checks. Suppliers must provide any documentation requested in order to assist with the due diligence process. It will be at HMRC’s discretion to determine whether the Supplier and/or guarantor demonstrates suitable financial standing to deliver the contract based on the due diligence checks undertaken. |
| **3.3** | Pass/Fail | **Pass**  A response of ‘Yes’.  **OR**  A response of ‘No’ and the Supplier provides an explanation that HMRC deems to be acceptable.  **Fail**  A response of ‘No’ and the Supplier fails to provide an explanation that is deemed acceptable to HMRC.  Note: Whether an explanation is considered acceptable or otherwise shall be at the sole discretion of HMRC. |

**Legal Capacity**

|  |  |  |
| --- | --- | --- |
| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| **3.4** | Pass/Fail | **Pass**  A response of ‘Yes’ and HMRC is satisfied that the supporting information provided supports the Supplier’s response.  **Fail**  A response of ‘No’.  **OR**  A response of ‘Yes’ but following further due diligence on the supporting information provided in the Supplier’s response, HMRC deems that this information does not support the response of ‘Yes’.  **OR**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC. |

**Technical Ability**

| **Question / Questions** | **Assessment** | **Evaluation Guidance** |
| --- | --- | --- |
| **3.5** | Pass/Fail | **Pass**  A response of ‘Yes’, without any qualifications that are deemed unacceptable by HMRC.  **OR**  A response of ‘No’, with a clear explanation as to why this is the case and an explanation of the relevant measures the Supplier has put in place, in the absence of IS027001 certification. Whether this explanation is considered acceptable or otherwise shall be at the sole discretion of HMRC.  **Fail**  A response of ‘No’, without a clear explanation as to why this is the case.  **OR**  A response of ‘No’, without an explanation of the relevant measures the Supplier has put in place, in the absence of IS027001 certification.  **OR**  A response of ‘No’, where the relevant measures the Supplier has put in place, in the absence of IS027001 certification, are deemed unacceptable by HMRC. |
| **3.6** | Pass/Fail | **Pass**  A response of ‘Yes’, without any qualifications that are deemed unacceptable by HMRC.  **OR**  A response of ‘No’, with explicit reference as to which of the standards the Supplier does not comply with and a suitable explanation is provided of the Supplier’s IT security and resilience arrangements. Whether this explanation is considered acceptable or otherwise shall be at the sole discretion of HMRC.  **Fail**  A response of ‘No’, without explicit reference as to which of the standards the Supplier does not comply with.  **OR**  A response of ‘No’, where, in the absence of full compliance, the Supplier fails to provide of its IT security and resilience arrangements  **OR**  A response of ‘No’, where the explanation provided is considered unacceptable by HMRC |
| **3.7a** | Pass/Fail | **Pass**  A response of ‘Yes’, with a full list of first-party software products/modules provided, covering all of the required capabilities.  **Fail**  A response of ‘No’.  **OR**  A response of ‘Yes’, but the list of first-party software products does not cover all of the listed capabilities.  **OR**  A response of ‘Yes, but the list of first-party software products is incomplete.  **OR**  A response of ‘Yes’ but some of the products listed are not verifiable by HMRC as first-party products. |
| **3.7b** | Pass/Fail | **Pass**  A response of ‘Yes’, with a full list of first-party software products/modules provided, covering all of the required capabilities.  **OR**  A response of ‘No’, with a full list of software products/modules provided, covering all of the required capabilities and clear identification of the relevant third-party products.  **Fail**  A response of ‘No’, but the list of software products is incomplete.  **OR**  A response of ‘No’, but the third-party products are not clearly identified.  **OR**  A response of ‘No’, but the list of software products does not cover all of the required capabilities.  **OR**  A response of ‘Yes’, but the list of first-party software products does not cover all of the listed capabilities.  **OR**  A response of ‘Yes, but the list of software products is incomplete.  **OR**  A response of ‘Yes’ but some of the products listed are not verifiable by HMRC as first-party products. |
| **3.8** | Pass/Fail | **Pass**  A response of ‘Yes’, without any qualifications that are deemed unacceptable by HMRC.  OR  A response of ‘No’, confirming which of the metrics cannot be met and an explanation of why this is the case. Whether an explanation is considered acceptable or otherwise shall be at the sole discretion of HMRC.  **Fail**  A response of ‘No’, without confirmation of the metrics which cannot be met.  **OR**  A response of ‘No’, where confirmation of the metrics which cannot be met is provided but an explanation of the why this is the case has not been provided.  **OR**  A response of ‘No’, where confirmation of the metrics which cannot be met is provided alongside an explanation of why this is the case, but HMRC deems this explanation to be unacceptable. |
| **3.9** | Pass/Fail | **Pass**  A response of ‘Yes’ and HMRC is satisfied that the supporting example provided is relevant and fully demonstrates where UK hosting and data residency requirements have been met previously.  **Fail**  A response of ‘No’.  **OR**  A response of ‘Yes’ but HMRC is not satisfied that the supporting example provided is relevant and fully demonstrates where UK hosting and data residency requirements have been met previously. |
| **3.10** |  | **Pass**  A response of ‘Yes’, with a full response provided for each of the questions in the accessibility questionnaire and the Supplier confirming that their relevant products (first-party and third-party) have been tested with assistive technology (see question 4 within the questionnaire) and fully meet the accessibility requirements outlined under the following legislation/standards for the full duration of the contract: Compliance with version 2.2 AA of the Web Content Accessibility Guidelines (WCAG).The Equality Act 2010.Public Sector Bodies Accessibility Regulations 2018 (if the product/service is a website or mobile application).European standard for digital accessibility EN301549 (if the product/service is a desktop application). **OR**  A response of ‘Yes’, with a full response provided response for each of the questions in the accessibility questionnaire and confirmation from the supplier that their relevant products (first-party and third-party) have been tested with assistive technology (see question 4 within the questionnaire) but they are unable to confirm that their products meet one or more of the abovementioned legislation/standards and the following information is provided and deemed wholly acceptable by HMRC:   * A full description of the areas where accessibility requirements are currently partially or not met is provided. * A roadmap of how the product or service will be fully compliant by a specified date.   **Fail**  A response of ‘Yes’, but a full response is not provided for each of the questions in the accessibility questionnaire  **OR**  A response of ‘Yes’, where the Supplier is unable to confirm that their relevant products (first-party and third-party) meet one or more of the abovementioned legislation/standards and one or more of the following items of information are incomplete or deemed unacceptable by HMRC:   * A full description of the areas where accessibility requirements are currently partially or not met is provided. * A roadmap of how the product or service will be fully compliant by a specified date.   **OR**   * The Supplier has not confirmed in question 4 that the relevant products have been tested with assistive technology   **OR**  A response of ‘No’ |
| **3.11** | Pass/Fail | **Pass**  Three case studies are provided for three different customers.  **AND**  Two of the three case studies provide an example of where the Supplier’s solution has supported 5,000 concurrent internal users across an enterprise.  **AND**  At least one of the case studies provides an example of where the Supplier’s solution has supported at least 10,000 concurrent internal users across an enterprise.  **Fail**  Less than three case studies are provided.  **OR**  More than three case studies are provided.  **OR**  Less than 2 of the case studies provided provides an example of where the Supplier’s solution has supported 5,000 concurrent internal users across an enterprise.  **OR**  A case study with an example of where the Supplier’s solution has supported at least 10,000 concurrent internal users across an enterprise is not provided.  **OR**  The Supplier’s response is incomplete.  **OR**  Following the conduct of due diligence, HMRC determines that the one or more of the Supplier’s case studies is inaccurate and/or misleading.  **OR**  Two or more of the case studies refer to the same named customer |
| **3.12** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.13** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.14** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.15** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.16** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.17** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.18** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.19** | Scored | See Scoring Matrix at para 1.12 of this Schedule 3. |
| **3.20** | Pass/Fail | **Pass**  A response of ‘Yes’ or ‘No’ is provided  **Fail**  A response is not provided |
| **3.21** | Pass/Fail/N/A | **N/A – if Supplier will not** **be using a supply chain**  **If Supplier IS using a supply chain:**  **Pass**  A response of ‘Yes’  **Fail**  A response of ‘No’  **OR**  A response of ‘Yes’, with qualifications or conditions that are deemed unacceptable by HMRC |
| **3.21a** | Pass/Fail/NA | **N/A – if Supplier will not** **be using a supply chain**  **If Supplier IS using a supply chain:**  **Pass**  A response of ‘Yes’  **Fail**  A response of ‘No’  **OR**  A response of ‘Yes’, with qualifications or conditions that are deemed unacceptable by HMRC |
| **3.22** | Pass/Fail/N/A | **N/A – if Supplier will not** **be using a supply chain**  **If Supplier IS using a supply chain:**  **Pass**  A response of ‘Yes’  **Fail**  A response of ‘No’  **OR**  A response of ‘Yes’, with qualifications or conditions that are deemed unacceptable by HMRC |
| **3.23** | Pass/Fail/N/A | **N/A – if Supplier will not** **be using a supply chain**  **If Supplier IS using a supply chain:**  **Pass**  Supplier pays ≥95% of all supply chain invoices in 60 days and the Supplier’s average payment days are also ≤55. Both metrics are hit concurrently in at least one of the previous two six month reporting periods (Both metrics may be calculated either with or without intercompany payments removed) AND the Supplier is able to demonstrate that all invoices have been paid within the agreed contractual terms  **OR**  Supplier pays ≥90% < 95% of all supply chain invoices in 60 days and the Supplier’s average payment days are also ≤55. Both metrics are hit concurrently in at least one of the previous two six month reporting periods after removing intercompany payments (if relevant) AND the Supplier provides an action plan that includes (as a minimum) the following:   * **1.** Identification of the primary causes of failure to pay: * (a) 95% of all supply chain invoices within 60 days; and * (b) (if relevant) all supply chain invoices within agreed terms. * **2.** Actions to address each of these causes. * **3.** Regular reporting on progress to the Supplier’s audit committee (or equivalent). * **4.** Plan signed off by a director. * **5.** Plan published on its website. (This can be a shorter, summary plan)   **Fail**  Supplier pays ≥90% < 95% of all supply chain invoices in 60 days and the Supplier's average payment days are also ≥55. Both metrics are hit concurrently in at least one of the previous two six month reporting periods after removing intercompany payments (if relevant) AND cannot demonstrate that all invoices have been paid within the agreed contractual terms, but does not provide an action plan  **OR**  Supplier pays ≥90% < 95% of all supply chain invoices in 60 days and the Supplier's average payment days are also ≥55. Both metrics are hit concurrently in at least one of the previous two six month reporting periods after removing intercompany payments (if relevant) AND cannot demonstrate that all invoices have been paid within the agreed contractual terms, but the action provided does not cover all of the below features in full:  **1.** Identification of the primary causes of failure to pay:  (a) 95% of all supply chain invoices within 60 days; and  (b) (if relevant) all supply chain invoices within agreed terms.  **2.** Actions to address each of these causes.  **3.** Regular reporting on progress to the Supplier’s audit committee (or equivalent).  **4.** Plan signed off by a director.  **5.** Plan published on its website. (This can be a shorter, summary plan)  **OR**  Supplier pays < 90% of all supply chain invoices in 60 days in at least one of the two previous six-month reporting periods after removing intercompany payments (if relevant).  **OR**  Supplier’s average payment days are >55 in both of the previous six-month reporting periods after removing intercompany payments (if relevant).  **OR**  Response is incomplete and any missing information is not provided in the timeframes requested by HMRC |
| **3.24** | Pass/Fail | **Pass**  A response of ‘Yes’.  **AND**   1. A link is provided to a complete Carbon Reduction Plan (CRP) that is published on the Supplier’s company website (or equivalent)   **AND**   1. The CRP has been completed using the template titled “Carbon Reduction Plan Template”, available from the following webpage: <https://www.gov.uk/government/publications/ppn-006-taking-account-of-carbon-reduction-plans-in-the-procurement-of-major-government-contracts>   **AND**   1. The CRP meets the assessment criteria outlined Table 1 of: [2025-02-05 PPN 006 Guidance on taing account of carbon redcution plans - adopting and applying conditions of participation.docx](https://assets.publishing.service.gov.uk/media/67b716f078dd6cacb71c6a87/2025-02-05_PPN_006_Guidance_on_taking_account_of_carbon_reduction_plans_-_adopting_and_applying_conditions_of_participation.docx.pdf)   **Fail**  A response of ‘No’.  **OR**   1. A link has not been provided to a complete CRP that is published on the Supplier’s company website (or equivalent).   OR   1. The CRP has not been completed using the template titled “Carbon Reduction Plan Template”, available from the following webpage: <https://www.gov.uk/government/publications/ppn-006-taking-account-of-carbon-reduction-plans-in-the-procurement-of-major-government-contracts>   **OR**  A response is not provided.  **Notes**   1. HMRC reserve the right to reject the Supplier’s entire tender submission should the CRP be incomplete. 2. Suppliers will not be disadvantaged where they are a new entrant to the market (trading for less than 12 months). In order to pass, Suppliers in these circumstances should complete all of the following in their published CRP:    1. confirm their commitment to achieving Net Zero by 2050    2. complete as much of the CRP as possible with the data available and provide an acceptable explanation as to why missing information isn’t available    3. confirm within their partly completed CRP that they commit to publish a full CRP as soon as possible 3. Where the response is being completed on behalf of a consortium of suppliers, a CRP should be completed by each consortium member |
| **3.25** | Pass/Fail | **Pass**  A response of ‘Yes’.  **Fail**  A response of ‘No’.  **OR**  A response of ‘Yes’, with qualifications or conditions that are deemed unacceptable by HMRC |
| **3.26** | Pass/Fail | **Pass**  The Supplier confirms that it’s Net Zero Target Date is 2050 or earlier  **Fail**  The Suppliers confirm that it’s Net Zero Target Date is later than 2050  **OR**  The Supplier does not provide a response |
| **3.27** | Not assessed | Response provided for information only. |
| **3.28** | Pass/Fail | **Pass**  A response of ‘Yes or ‘No’  **Fail**  A response is not provided |
| **3.29** | Pass/Fail/N/A | **N.A – If the Supplier has answered ‘No’ to question 3.28**  **Pass**  A response of ‘Yes’ and a link is provided to a relevant Modern Slavery Statement that contains information which meets the criteria outlined in paragraphs a) to f)  **OR**  A response of ‘No’ and the Supplier is able to provide an explanation that is deemed acceptable to HMRC, including future assurances of compliance with the Modern Slavery Act prior to contract award  **Fail**  A response of ‘Yes’, but the link provided does not provide access to a relevant Modern Slavery Statement meets the criteria outlined in paragraphs a) to f)  **OR**  A response of ‘Yes’, but the Supplier does not provide a link to their Modern Slavery Statement  **OR**  A response of ‘No’, but the Supplier does not provide an explanation that is deemed acceptable by HMRC  **OR**  A response of ‘No’, but the Supplier does not provide a supporting explanation  **N/A**  N/A is an acceptable response where the Supplier has answered ‘No’ to question 3.28. If a response of N/A is used where the Supplier has responded ‘Yes’ to question 3.28, this will constitute a fail for this question. |
| **3.30** | Pass/Fail | **N.A – If the Supplier has answered ‘Yes’ to question 3.28**  **Pass**  A response of ‘Yes and a link is provided to a relevant statement or document that contains information which meets the criteria outlined in paragraphs a) to f) of question 3.29  **OR**  A response of ‘No’ and the Supplier is able to provide an explanation that is deemed acceptable to HMRC, including future assurances of compliance with the Modern Slavery Act prior to contract award  **Fail**  A response of ‘Yes’, but the link provided does not provide access to a relevant statement or document which meets the criteria outlined in paragraphs a) to f) of question 3.29  **OR**  A response of ‘Yes’, but the Supplier does not provide a link to their Modern Slavery Statement  **OR**  A response of ‘No’, but the Supplier does not provide an explanation that is deemed acceptable by HMRC  **OR**  A response of ‘No’, but the Supplier does not provide a supporting explanation  **N/A**  N/A is an acceptable response where the Supplier has answered ‘Yes’ to question 3.28. If a response of N/A is used where the Supplier has responded ‘No’ to question 3.28, this will constitute a fail for this question. |
| **3.31** | Pass/Fail | **Pass**  A response of ‘No’.  **OR**  A response of ‘Yes’, where the following information is provided in full for each conflict and HMRC is satisfied that all conflicts can be suitably mitigated:   * The nature of the conflict * The duration of the conflict * The parties involved and * The Supplier’s proposed mitigations   **Fail**  A response of ‘Yes’, where the following information is not provided in full for each conflict:   * The nature of the conflict * The duration of the conflict * The parties involved and * The Supplier’s proposed mitigations   **OR**  A response of ‘Yes’, where, having reviewed the information provided, HMRC cannot be satisfied that the COI can be suitably mitigated. |
| **3.32** | Pass/Fail | **Pass**  A response of ‘No’.  **OR**  A response of ‘Yes’ and the Supplier has completed all of the highlighted sections within the Ethical Walls Agreement template and provided this document within their CoP response  **Fail**  A response of ‘Yes’ but the Supplier has not completed all of the highlighted sections within the Ethical Wall Agreement and provided this document within their CoP response  Note: Where HMRC and the Supplier are unable to agree upon the terms of the Ethical Wall Agreement, HMRC reserves the right to exclude the Supplier from the procurement process |
| **3.33** | Pass/Fail | **Pass**  A response of ‘Yes’ and the Supplier has completed all of the highlighted sections within the NDA and provided this document within their CoP response  **Fail**  A response of ‘Yes’, but the Supplier has not completed all of the highlighted sections within the NDA and provided this document within their CoP response  **OR**  A response of ‘No’ |
| **3.34** | Pass/Fail | **Pass**  The Supplier has signed declaration and provided all details requested.  **Fail**  Supplier has not signed declaration.  **OR**  Supplier has not provided all detailed requested. |

**Part 4: Evaluation and Shortlisting**

* 1. Each response to a scored question will be given a score out of one-hundred 100 using the scoring matrix at paragraph 1.12 of this Part 4.
  2. Each score will be multiplied by the weighting detailed in the below table, per question.

|  |  |
| --- | --- |
| **Question** | **Weighting** |
| **3.12** | 25% |
| **3.13** | 20% |
| **3.14** | 15% |
| **3.15** | 10% |
| **3.16** | 10% |
| **3.17** | 7.5% |
| **3.18** | 7.5% |
| **3.19** | 5% |

* 1. Each individual weighted score will be summed together to reach a ‘Total Weighted PSQ Score’ for each Supplier.
  2. Worked Example:

|  |  |  |  |
| --- | --- | --- | --- |
| **Question** | **Weighting** | **Supplier Score** | **Supplier Weighted Score (Weighting x Supplier Score)** |
| **3.12** | 25% | 60 | 15.00 |
| **3.13** | 20% | 100 | 20.00 |
| **3.14** | 15% | 60 | 9.00 |
| **3.15** | 10% | 60 | 6.00 |
| **3.16** | 10% | 30 | 3.00 |
| **3.17** | 7.5% | 0 | 0.00 |
| **3.18** | 7.5% | 30 | 2.25 |
| **3.19** | 5% | 60 | 3 |
| **Total Weighted PSQ Score** | | | **58.25** |

**Shortlisting Procedure**

* 1. HMRC intends to shortlist all Suppliers who submit compliant responses to the PSQ and meet the minimum score requirements as shown below:

|  |  |  |
| --- | --- | --- |
| **Question** | **Minimum Score Requirement – Not Weighted** | **Minimum Score Requirement – Weighted** |
| 3,12 | 60 out of 100 (Fully Meets) | 15 |
| 3.13 | 60 out of 100 (Fully Meets) | 12 |
| 3.14 | 60 out of 100 (Fully Meets) | 9 |
| 3.15 | 60 out of 100 (Fully Meets) | 6 |
| 3.16 | 30 out of 100 (Partially Meets) | 3 |
| 3.17 | 30 out of 100 (Partially Meets) | 2.25 |
| 3.18 | 30 out of 100 (Partially Meets) | 2.25 |
| 3.19 | 30 out of 100 (Partially Meets) | 1.5 |

* 1. Any Supplier who does not meet the minimum score requirement for any question will be excluded from this procurement exercise.
  2. Worked Example:

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Question Scores** | | | | | | | | **Weighted Score** | **Outcome** |
|  | 3.12 | 3.13 | 3.14 | 3.15 | 3.16 | 3.17 | 3.18 | 3.19 |
| Supplier 1 | 60 | 60 | 60 | 60 | 30 | 30 | 30 | 30 | 51 | Shortlisted |
| Supplier 2 | 100 | 100 | 100 | 100 | 100 | 100 | 100 | 100 | 100 | Shortlisted |
| Supplier 3 | 60 | 100 | 100 | 60 | 100 | 100 | 60 | 100 | 83 | Shortlisted |
| Supplier 4 | 60 | 60 | 30 | 100 | 100 | 30 | 30 | 30 | 57.5 | Not Shortlisted |
| Supplier 5 | 60 | 100 | 60 | 60 | 100 | 60 | 60 | 100 | 74 | Shortlisted |

**Scoring Matrix**

* 1. Each evaluator will use the below scoring matrix in order to determine a score for each scored question. Note that each scored question has its own scoring criteria.

| **Question** | **Exceeds Expectations**  **(100 out of 100)** | **Fully Meets**  **(60 out of 100)** | **Partially Meets**  **(30 out of 100)** | **Does not Meet**  **(0 out of 100)** |
| --- | --- | --- | --- | --- |
| **3.12**  **Fitness for Purpose** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to vi.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:   1. The response fully articulates the functional needs of users across the relevant organisation, with clear metrics which demonstrate that these requirements were particularly complex and relevant to HMRC. 2. The response provides a set of comprehensive metrics which evidence that the functional needs and expectations of users were exceeded. 3. The method and extent of configuration undertaken by the business/customer is fully explained and the response demonstrates that the customer was able to fully configure the software to meet their requirements, without any need for custom development. 4. The response provides full confidence that the solution was delivered with minimal reliance on bolt-on capabilities, and/or additional partnerships. 5. The number of instances (or equivalent) is clearly explained, and the response provides comprehensive evidence to provide full confidence that the approach to instance management was wholly proportionate, with clear metrics as to the cost and efficiency savings that were provided for the customer. 6. The response demonstrates a comprehensive, pragmatic and flexible process for the identification and management of critical gaps and/or unexpected capability needs, exceeding the expectations of the customer. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to vi.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:   1. The response fully articulates the functional needs of users across the relevant organisation, with clear metrics. 2. The response provides a set of comprehensive metrics which evidence that the functional needs and expectations of users were met. 3. The method and extent of configuration undertaken by the business/customer is fully explained and the response demonstrates that the customer was able to fully configure the software to meet their requirements, with minimal custom development required. 4. The response provides full confidence that the solution was delivered without significant reliance on bolt-on capabilities, and/or additional partnerships. 5. The number of instances (or equivalent) is clearly explained, and the response provides comprehensive evidence to provide full confidence that the approach to instance management was wholly proportionate. 6. The response demonstrates a comprehensive and pragmatic process for the identification and management of critical gaps and/or unexpected capability needs, to the full satisfaction of the customer. | The response is relevant, provides a response to all elements of the question (paragraphs i. to vi.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:   1. The functional needs and expectations of users across the relevant organisation(s) are partially explained. 2. The response provides some quantifiable metrics to evidence that the functional needs and expectations of users were met. 3. The method and extent of configuration was unclear and/or there is insufficient evidence that the customer was able to configure the software without heavy reliance on custom development. 4. The response only provides partial evidence that the solution was delivered without significant reliance on bolt-on capabilities, and/or additional partnerships. 5. The number of instances (or equivalent) is clearly explained, and the response provides some evidence to give an indication that the approach to instance management was proportionate. 6. The case studies partially explains the process that was used to identify and manage any critical gaps or unexpected capability needs. | The response does not answer all elements of the question (paragraphs i. to vi.) and/or none of the information provided is relevant to the question asked.  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11. |
| **3.13**  **Scalability** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to ii.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  The response provides a full explanation of the way in which the software scaled e.g. adding new computing resources and/or increasing the capabilities of existing infrastructure, to support the intended number of users and customers. This is supported through clear performance metrics, information on any tooling utilised and how this exceeded customer expectations.  The response provides full confidence that the software is able to scale up and down in line with customer requirements, both now and in the future.  The response provides a comprehensive explanation of the methods through which the software handled peaks in usage without any service degradation and this is fully supported by clear metrics and quantifiable benefits, which evidence that customer expectations were exceeded. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to ii.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  The response provides a full explanation of the way in which the software scaled e.g. adding new computing resources and/or increasing the capabilities of existing infrastructure, to support the intended number of users and customers. This is supported through clear performance metrics, information on any tooling utilised and the benefits that this provided to the customer.  The response provides full confidence that the software is able to scale up and down in line with customer requirements.  The response provides a comprehensive explanation of the methods through which the software handled peaks in usage without any service degradation and this is fully supported by comprehensive metrics. | The response is relevant, provides a response to all elements of the question (paragraphs i. to ii.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  The response provides a partial explanation of the way in which the software scaled e.g. adding new computing resources and/or increasing the capabilities of existing infrastructure, to support the intended number of users and customers. This is supported through some quantifiable metrics.  The response provides confidence that the software is able to scale up and down in line with customer requirements.  The response provides an explanation of the methods through which the software handled peaks in usage without any service degradation, supported by metrics. | The response does not answer all elements of the question (paragraphs i. to ii.), and/or none of the information provided is relevant to the question asked.  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11. |
| **3.14**  **Data & Integration Management** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to vi.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  The response fully explains the customer’s requirements and how the software’s hosting model met the customer’s data residency, sovereignty, and compliance requirements, with a comprehensive explanation of the measures used and how this exceeded customer requirements.  The response fully details the methods through which integrations were implemented (IPaaS, APIs etc), across both on-premise and cloud hosted examples. The response demonstrates that these integrations were designed to minimise complexity and technical debt; and utilises clear metrics to define the quantifiable benefits.  The response clearly explains how data flows were managed across multiple systems and how any downsides, e.g. duplication, were managed to the satisfaction of the customer. This is supported by evidence as to the positive benefits this brought to the customer.  The response explains the methods used to deliver real-time integration and the benefits this provided for the client, whilst also explaining how any challenges were resolved, e.g. data latency. The example used is highly relevant to HMRC’s requirements.  The response provides a comprehensive methodology for the provision of data accuracy and the software solution supported a range of open standards, which are clearly identified in the response. The response provides metrics which explain the level of data accuracy supported by the solution. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to vi.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  The response fully explains the customer’s requirements and how the software’s hosting model met the customer’s data residency, sovereignty, and compliance requirements, with a comprehensive explanation of the measures used.  The response fully details the methods through which integrations were implemented (IPaaS, APIs etc), across both on-premise and cloud hosted examples. The response demonstrates that these integrations were designed to minimise complexity and technical debt.  The response clearly explains how data flows were managed across multiple systems and how any downsides, e.g. duplication, were managed to the satisfaction of the customer.  The response explains the methods used to deliver real-time integration and the benefits this provided for the client, whilst also explaining how any challenges were resolved, e.g. data latency.  The response provides a comprehensive methodology for the provision of data accuracy and the software solution supported a range of open standards, which are clearly identified in the response. | The response is relevant, provides a response to all elements of the question (paragraphs i. to vi.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  The response explains how the software’s hosting model met the customer’s data residency, sovereignty, and compliance requirements, with some explanation of the measures used.  The response provides an explanation of the methods through which integrations were implemented (IPaaS, APIs etc), across both on-premise and cloud hosted examples.  The response clearly explains how data flows were managed across multiple systems.  The response explains the methods used to deliver real-time integration and the benefits this provided for the client.  The response explains how the solution ensured data accuracy and mentions some open standards which were supported. | The response does not answer all elements of the question (paragraphs i. to vi.), and/or none of the information provided is relevant to the question asked.  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11.  . |
| **3.15**  **Security, Robustness and Performance** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to ii.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  The response fully explains the customer’s reliability, speed and security requirements and explains the measures which were used to ensure that the software performed in a manner which exceeded customer expectations; this is accompanied by quantifiable metrics and a clear articulation of the applicable frameworks, certifications and standards; which are highly relevant to HMRC.  The response outlines a comprehensive, timely and resilient approach to managing significant incidents and explains how this exceeded customer requirements and aligned with best practice. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to ii.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  The response fully explains the customer’s reliability, speed and security requirements and explains the measures which were used to ensure that the software performed in accordance with customer expectations; this is accompanied by quantifiable metrics and a clear articulation of the applicable industry-standard frameworks, certifications and standards.  The response outlines a comprehensive, timely and resilient approach to managing significant incidents and explains how this fully met customer requirements. | The response is relevant, provides a response to all elements of the question (paragraphs i. to ii.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  The response provides a description of the measures which were used to ensure that the software performed in accordance with customer expectations.  The response outlines an approach that was used to manage significant incidents. | The response does not answer all elements of the question (paragraphs i. to ii.), and/or none of the information provided is relevant to the question asked.  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11. |
| **3.16**  **User Interface and User Experience** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to iii.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  The response provides a full overview of the way in which users across a variety of different roles rated the usability and design of the software interface, with quantifiable metrics used to illustrate the feedback received and an explanation of the methods used to capture user feedback. Over 90% of feedback received was positive  The response explains the level and depth of feedback received on ease of use and visual clarity; supported by industry standard approaches e.g. Heuristics. Feedback was over 90% positive and supported by quantifiable metrics.  The purpose and form (e.g. generative, predictive, deep learning, chatbot, LLM) of the AI capabilities utilised are fully explained and metrics are used to illustrate the transformative impact on user experience and efficiency. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to iii.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  The response provides a full overview of the way in which users across a variety of different roles rated the usability and design of the software interface, with quantifiable metrics used to illustrate the feedback received. Over 60% of feedback was positive.  The response explains the level and depth of feedback received on ease of use and visual clarity; this feedback was over 60% positive and is supported by quantifiable metrics.  The purpose of the AI capabilities utilised are fully explained and metrics are used to illustrate the positive impact on user experience and efficiency.  . | The response is relevant, provides a response to all elements of the question (paragraphs i. to iii.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  The response provides an overview of the way in which users across a variety of different roles rated the usability and design of the software interface. User feedback was < 60% positive.  The response explains the feedback received on ease of use and visual clarity, The feedback received was < 60% positive.  The use of AI capabilities is mentioned, with some indication of the effect they had on user experience and efficiency of the solution. | The response does not answer all elements of the question (paragraphs i. to iii.), and/or none of the information provided is relevant to the question.  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11. |
| **3.17**  **Future Proofing and Roadmap Access** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to iv.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  The response demonstrates how the software has kept up-to-date with organisational needs and external developments; with two clear examples (in one or more case studies) of how this has worked in practice and how this has benefitted the customer.  The response demonstrates that the customer had a clear route to access and benefit from product updates and innovation in a timely and transparent way; without incurring additional or excessive costs.  The response outlines a comprehensive approach to training/supporting the training of customer teams to use the solution throughout the contract; in accordance with best practice methods used to drive adoption. This is supported by clear metrics that demonstrative the effectiveness of this training.  The response demonstrates that the customer was able to shape the development of the product roadmap and the Supplier worked alongside the customer to co-develop the roadmap for the solution. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to iv.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  The response demonstrates how the software has kept up-to-date with organisational needs and external developments; with one or more examples of how this has worked in practice.  The response demonstrates that the customer had a clear route to access and benefit from product updates and innovation in a timely and transparent way.  The response outlines a comprehensive approach to training/supporting the training of customer teams to use the solution throughout the contract; in accordance with best practice methods used to drive adoption.  Where there was co-development of the roadmap, the response demonstrates that the customer was able to actively influence the development of the product roadmap and the Supplier instituted measures to regularly capture customer feedback to support co-development. | The response is relevant, provides a response to all elements of the question (paragraphs i. to iv.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  The response demonstrates how the software has kept up-to-date with organisational needs and external developments.  The response demonstrates that the customer had a mechanism to access and benefit from product updates and innovation in a timely and transparent way.  The response outlines an approach to training/supporting the training of customer teams to use the solution throughout the contract.  The response demonstrates that the customer was able to provide feedback to the Supplier to inform the development of the product roadmap. | The response does not answer all elements of the question (paragraphs i. to iv.), and/or none of the information provided is relevant to the question  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11. |
| **3.18**  **Third Party Contact Centre as a Service (CCaaS) Integrations** | A comprehensive and highly relevant response is provided for all elements of the question, and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  Both case studies relate to examples that are of a large scale (tens of thousand or more internal users).  The response comprehensively outlines the approach to development of system architecture, including components, structures and validation, with a clear explanation of the associated rationale and the associated benefits.  The response illustrates the measures used to ensure interoperability across a complex systems landscape; with supporting evidence to demonstrate that minimal custom integrations were required.  The integration lifecycle management approach utilised to manage integrations with a range of contact centre solutions is fully explained, aligned with best practice and the associated benefits are clearly articulated.  The successful integration of the CRM and contact centre solution(s) is evidenced through at least three measurable outcomes that demonstrate successful operation across multiple communication channels (e.g. online, mobile). | A comprehensive and relevant response is provided for all elements of the question, and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  Both case studies relate to examples that are of a large scale (tens of thousands of internal users).  The response comprehensively outlines the approach to the development of system architecture, including components, structures and validation, with a clear explanation of the associated rationale.  The response illustrates the measures used to ensure interoperability across a complex systems landscape; with supporting evidence to demonstrate this in practice.  The integration lifecycle management approach utilised to manage integrations with a range of contact centre solutions is fully explained alongside the associated benefits.  The successful integration of the CRM and contact centre solution(s) is evidenced through at least two measurable outcomes that demonstrate successful operation across multiple communication channels (e.g. online, mobile). | The response is relevant, provides a response to all elements of the question, but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  Both case studies relate to examples that are of a large scale (tens of thousands of internal users).  The response outlines the approach to the development of system architecture, including components, structures and validation.  The response illustrates the measures used to ensure interoperability across a complex systems landscape.  The integration lifecycle management approach utilised to manage integrations with a range of contact centre solutions is explained.  The successful integration of the CRM and contact centre solution(s) is evidenced through at least one measurable outcome that demonstrate successful operation across multiple communication channels (e.g. online, mobile). | The response does not answer all elements of the question and/or none of the information provided is relevant to the question.  AND/OR  The response does not provide two case studies |
| **3.19**  **Developer Ecosystem and SI Compatibility** | A comprehensive and highly relevant response is provided for all elements of the question (paragraphs i. to ii.), and this is supported with comprehensive evidence that customer expectations were exceeded.  AND  The response meets all of the following criteria:  The response demonstrates that the Supplier’s developer ecosystem was comprehensive, consistently relied upon and used during the implementation and operational phases. Clear metrics are used to evidence the transformative value this brought to the project.  The response provides an overview of the methods used to capture feedback and clear metrics which demonstrate that the experience of internal teams and third-party developers engaging with the ecosystem was largely positive; with examples of where the ecosystem supported them to execute their roles effectively. | A comprehensive and relevant response is provided for all elements of the question (paragraphs i. to ii.), and this is supported with strong evidence in all areas.  AND  The response meets all of the following criteria:  The response demonstrates that the Supplier’s developer ecosystem was comprehensive and regularly used during the implementation and operational phases. Clear metrics are used to evidence the associated value this brought to the project.  The response provides clear metrics which demonstrate that the experience of internal teams and third-party developers engaging with the ecosystem was largely positive. | The response is relevant, provides a response to all elements of the question (paragraphs i. to ii.), but there is insufficient evidence in some areas.  AND  The response meets one or more of the following criteria:  The response demonstrates that the Supplier’s developer ecosystem was used and valued during the implementation and operational phases, with some supporting evidence.  The response provides a description of the experience of internal teams and third-party developers engaging with the ecosystem. | The response does not answer all elements of the question (paragraphs i. to ii.), and/or the information provided is not relevant to the question  AND/OR  The response does not utilise at least one of the case studies provided in the Supplier’s response to question 3.11. |

**ANNEX 1: REQUIREMENTS OVERVIEW**

1. Purpose of this Document
   1. The purpose of this annex is to provide Suppliers with a high-level overview of the requirements that are expected to be delivered by the successful Supplier awarded a contract through this procurement activity.
   2. Note that the information within this Annex may be subject to change. Any alterations to these requirements shall be outlined within the detailed requirements which shall be provided to those Suppliers who are invited to submit an initial tender for this procurement at Stage 2 (ITSIT).
2. Introduction & Background
   1. HMRC has one of the largest customer service functions in the UK, servicing over 34 million citizens and 5 million businesses. The eCRM programme has been commissioned to create a shift in the way that HMRC supports our customers, making it easy for them to pay the right tax and duties and to receive the right benefits. We will do this by developing a true picture of who our customers are, their entities & behaviour, and use this to create data-driven enterprise-wide engagements that drive trust, satisfaction, compliance & efficiencies across all channels & moments.

* Provide accurate, clear and consistent information.
* Providing services that are accessible, easy and quick to use.
* Making sure answers can be resolved first time and quickly.
* Making sure everyone pays the right amount of tax and gets their benefits.
* Being mindful of wider personal situations and providing necessary support.
* Respecting wishes for someone dealing with HRMC on their behalf.
* Protecting customer information, treating it as private and confidential.
  1. By 2030 our ambition is to:
* Reduce demand to non-digital channels by 60% through increased use of automated digital self-service and broadcast channels.
* Improve HMRC customer satisfaction levels across automated self-serve, digital advisor led and non-digital advisor led channels as an average to 85% by 2030.
* Support the majority of customers to remain in and complete transactions through digital self-service channels.
* Supporting Businesses and Individuals to get their tax right.

1. High Level Programme Objectives
   1. The objective of the programme is to be a trusted, modern tax and customs department that fits with the way our customers run their businesses and their lives, reducing the tax gap, enhancing the customer experience, keeping costs down, and operating in a way that is recognised as fair. This includes:

* Enablement of a single view of the customer, their entity relationships (e.g. individuals interacting with HMRC and another organisation/ government department), tax and transaction history.
* Developing external customer and internal colleague journeys to help improve the efficiency of dealing with customer queries & requests, with clearer progress updates and case management capabilities.
* Creating cohesion between the customer and colleague journeys & experiences.
* Ensuring our services remain secure, we are able to identify risks and access permissions are tightly managed.
* Effectively measuring all that we do, understanding what works (and what doesn’t), underpinned by a test and learn approach.
* Making it easy for customers to be accurate by removing barriers and developing proactive engagement strategies to support their needs – directly impacting the £16.1bn tax gap.
* Reducing risk by using improved engagement strategies and analytics to gain earlier sight of negative behaviour.
* Understanding where, when and why to focus through rich insight and analysis of customer behaviour. Using customer information to drive real time nudges and prompts, supporting better outcomes.
* Improvement of efficiency and increase speed of resolution through driving the right compliance behaviour upstream, enabling us to quickly respond to breakages in the process.
* Empowering our people & intermediaries by providing the right information, enabling them to more effectively help our customers.
* Digitising the simple needs to allow focus on more complex cases, driven by the right data and low code to enable effective resolution.
* Talking to people in a way they understand, targeting communications in a manner that removes complexity and creates better engagement and greater behaviour change.

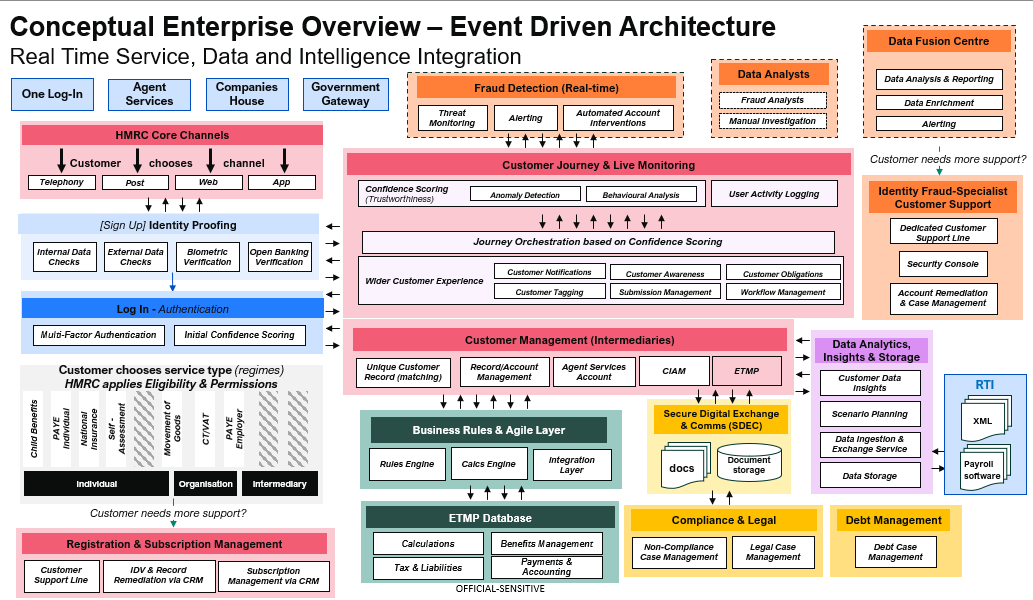
1. Overarching Scope of Procurement
   1. Transitioning to one enterprise-wide Core SaaS CRM platform will be a long-term objective with a 3-4 year phased migration of customers and regimes before consolidation of technical capability onto one enterprise-wide Core SaaS CRM platform. The scope of this procurement sets out to meet the scope outlined in ‘Process Scope’ which encapsulates our CRM capability and Registration and Records Management (R&RM) capabilities. R&RM as part of CRM outlines the need for a simple & secure registration process integrated into life and business events, ensuring customers & intermediaries are correctly validated, authenticated, authorised & managed across entities, relationships & regimes, while enabling HMRC to efficiently store and utilise data to drive further benefits to customers and across-government.
2. **Process Scope**
   1. The high level scope of this procurement is as follows. Note that Suppliers invited to submit an initial tender at Stage 2 (ITSIT) will be provided with a detailed statement of requirements. More detailed requirements aligned to these capabilities are provided in Annex 2 of this document for information only.
   2. Scope aligned to First Party Capabilities outlined in Question 3.7a of the PSQ.

* **Marketing & Campaign Management –** The planning, scheduling and execution of campaigns via numerous channels (debt collection, avoiding non-compliance, etc) by using configurable customer segments, and using automation to support.
* **Customer Management –** The creation, matching and management of HMRC’s customers (incl. agents & intermediaries) so that there is an accurate single source of truth which captures a customer’s relationship and subscription(s) with HMRC. Includes Registration (the ability to create an enterprise -wide record for a new Customer for the first time. This is a one-off event and enables subsequent subscription to HMRC services, subservices and all relevant Regimes) and Customer Record Management (the ability to collect, manage, communicate and report on information corresponding to a customer).
* **Case Management –** The management of cases and work items efficiently by tracking progress, notifying relevant parties, managing & communicating hand-off's, integrating tools, and clearly documenting outcomes for customers and HMRC.
* **Interaction, Channel and Messaging Management –** Providing a variety of channels (e.g. email, app, portal) for customer interaction with HMRC (such as through a self-serve customer-facing application) with the ability to personalise the customer journey for different customer segments and capture engagement across a variety of channels.
* **AI –** The use of predictive and generative artificial and agentic intelligence to enhance HMRC’s internal processes and service offered to customers by providing support in areas such as routing suggestions, real-time assistance, case prioritisation, knowledge base article recommendations, next best action suggestions, customer needs analysis and reporting and analytics.
* **Insights –** The ability to provide a holistic view of customer journeys to identify engagement, prevent fraud, and improve services by recognizing drop-off points and bad interactions.
* **Reporting & Intelligence –** The ability to undertake real-time evaluation of all aspects of HMRC's performance related to Customer Relationship Management, reporting for internal and external purposes to provide insights on the voice of the customer and to improve overall performance of HMRC

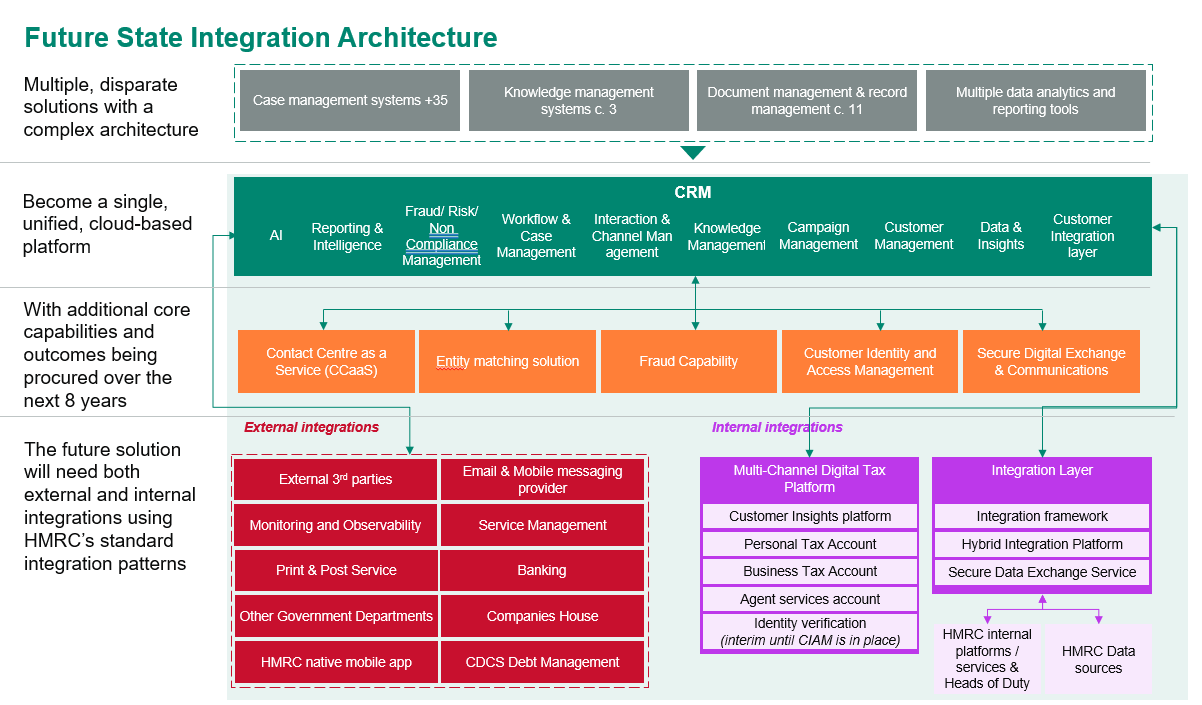
5.2b Scope aligned to First or Third-Party capabilities outlined in Question 3.7b of the PSQ.

* **Identity, Verification & Authentication\* –** The identification, verification, and authentication of a party (customer or intermediary, third party) including ability to risk assess and calculate confidence score, detect and prevent fraud, alter customer journeys in real-time and store and manage threat intelligence.
* **Secure Digital Exchange Communications (SDEC)\* –** Enabling integration with various systems for secure communications, file management, harmful content actions, and automated summaries, supporting multiway interactions and compliance with HMRC regulations.
* **Fraud\* –** The ability to develop and implement effective fraud prevention strategies, controls, and procedures to prevent, detect, and respond to fraudulent activities.​
* **Data & Integration Management –** The ability to integrate (consume) and analyse data from multiple sources, manage access, authenticate users, and enable third-party integration for HMRC, ensuring secure, accurate, and actionable insights
* **Operational Management –** The real-time reporting of all aspects of HMRC’s performance related to Customer Relationship Management. This capability also includes the management of internal and external knowledge to meet HMRC’s strategic needs.
* **Knowledge Management –** The ability to maximise the benefit of internal and external knowledge for HMRC to meet its strategic objectives and deliver value for money as a public sector organisation.
* **Non-Compliance Management -** The ability to apply a range of measures to limit the opportunity for non-compliance including processes, systems and customer services to make it harder for customers who choose to be deliberately non-compliant. The ability to respond to a compliance risk that has been identified including assessment and recovery of the correct liability payable to HMRC, application of penalties, sanctions and other measures determined under relevant regulations as appropriate

1. High Level Business Outcomes
   1. The Enterprise Customer Relationship Management programme is seeking to achieve the following high level business outcomes:
2. **Enhanced customer experience:** Deliver significantly improved customer interactions through a 360-degree single view of customers and intermediaries (journey, contact and case), ensuring a secure, accurate, compliant and responsive service, using advanced analytics, business rules automation and Artificial Intelligence to eradicate manual tasks, capture customer insight and minimise risk.
3. **Digitise services leading to full digital transformation**: Accelerate HMRC’s digital-first ambition by integrating advanced CRM capabilities across HMRC’s range of regimes and services to support the enhanced, digitised customer experience that is seamless and automated across multiple digital channels and tracked in a secure way with seamless integrations that update in real time.
4. **Modernised technology infrastructure**: Streamline and consolidate legacy systems into a unified solution that integrates with existing HMRC infrastructure and interoperability for future technology capabilities. This will not only enhance the customer experience but will allow HMRC to maintain comprehensive and complete customer records whilst improving the employee experience by increasing ease of use across systems and increasing resilience and stability
5. **Strengthened security:** Strengthening security through a material uplift in HMRC's enterprise-wide identity, access management and fraud controls.
6. **Scaling through flexibility**: Provide an adaptable and scalable platform, facilitating rapid response to changing business requirements and policy developments, predominantly through low-code/no-code solutions.
7. **Lasting innovation**: Foster ongoing innovation by enabling continuous improvement and adaptability to emerging technological trends and regulatory requirements, aligning closely with wider HMRC strategies including IDV&A and fraud prevention.
8. **Single Customer Record & Data Integrity**: A standardised and consolidated customer record that ensures a single source of truth across all business entities. This includes the governance, structure, and storage of customer records to enable seamless access, reduce duplication, and enhance data accuracy. This foundation supports improved customer insights, management and regulatory compliance
9. **Unified Employee & Advisor Experience**: Streamlined and integrated digital experience for employees and advisors, enabling them to access relevant customer data, tools, and insights through a single, cohesive interface. By removing silos and friction points, and developing AI & automation capabilities this enhances efficiency, improves decision-making, and ultimately drives a more consistent experience
10. Solution Design & Software Selection
    1. HMRC are fundamentally replacing all customer engagement platforms at the same time as developing a new enterprise registration, identification, verification & subscription service for over 40+ million individual, organisations & intermediaries; plus developing new real-time fraud detection & prevention capabilities supporting up-front compliance checks. We need to ensure we have the right enablers in place to strategic build-out and transform HMRC services.​ The below diagram is a high level overview of our future state Enterprise Event Driven Architecture, outlining the services, intelligence and integrations we will need to operate in real time and near real time.



This below ‘Future State Integration Architecture’ outlines our vision for consolidating our multiple, disparate solutions into a unified ecosystem with CRM at the heart of how we engage with customers. Currently, we operate multiple standalone solutions, including over 35 case management systems and 3 different campaign management ways of working. These operate in silos, leading to inefficiencies, inconsistent customer experiences, and high maintenance costs.

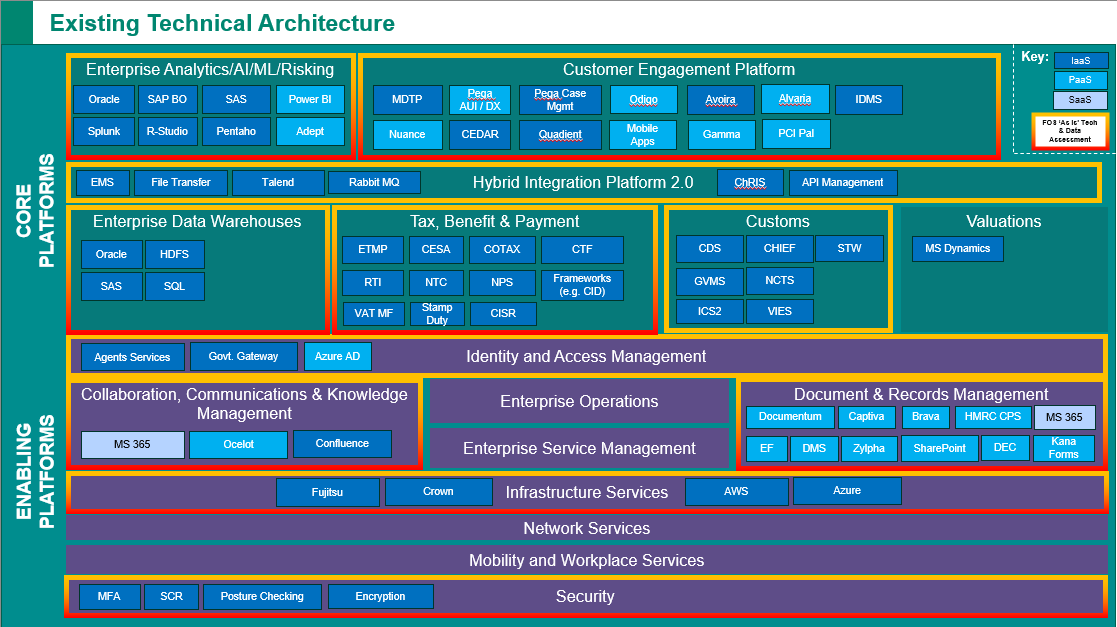


Our future state envisions a transition towards a model like the below. This will integrate channels, CRM and underpin the outreach to other platforms, both internal and external. Our integration strategy will require both external and internal integrations. For external integrations, we connect with critical third-party platforms. This ensures seamless interactions with various systems, our CCaaS (Contact Centre as a Service) solution, channels and links into tax platforms. To facilitate internal connectivity with the wider HMRC technology estate we have the Integration Layer, which is a hybrid integration platform and secure data exchange service. This high level, future state architecture sets us on a path to delivering rapid value to customer across multiple channels in a consistent manner while maintaining compliance and governance integrity. Our focus is on efficiency, security, and a customer-first approach.

1. Roles & Responsibility Matrix
   1. The below matrix provides the current draft view of the expected responsibilities across the key roles that will be needed within the eCRM programme.
   2. This matrix is subject to change as the procurement process progresses.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Role | Role Definition | CRM Vendor | HMRC IT (CDIO) | System Integrator |
| Deployment | The deployment of the agreed software solution inside the hosting environment. | Accountable | Consulted | Responsible |
| Network | The network links to the hosting environments and deployed software that are secure and configured to support requirements and end user connectivity needs | Consulted | Responsible  Accountable | Responsible |
| Hosting | The provision of a compliant systems host environment | Accountable  Responsible | Consulted | Consulted |
| Connectivity | The service that allows users to connect to the software solution | Informed | Responsible  Accountable | Responsible |
| Software Configuration | The design, build and deployment of the CRM ensuring it aligns with business processes and user needs | Responsible (Core config and design elements) | Consulted | Accountable  Responsible (for detailed design, build and deployment of integrations |
| Integrations | The design, build and deployment of integrations across the CRM system and those required for end-to-end processes that use systems outside the CRM | Responsible (for design elements) | Responsible (for definition of integrations requirements and engagement with legacy vendors) | Accountable  Responsible (for detailed design, build and deployment of integrations |
| Transform & Load | Transformation of data to the target system schema, and the load of the transformed data into the target system | Consulted | Responsible | Accountable  Responsible |
| Legacy Data Extract | This is the extraction of data from the legacy source systems | Consulted | Accountable | Consulted |
| Legacy Data Archive | Enable the business areas to archive and access archived data as required | Consulted | Accountable | Consulted |
| Legacy System Decommission | Decommission legacy systems in a controlled manner | Consulted | Accountable | Consulted |

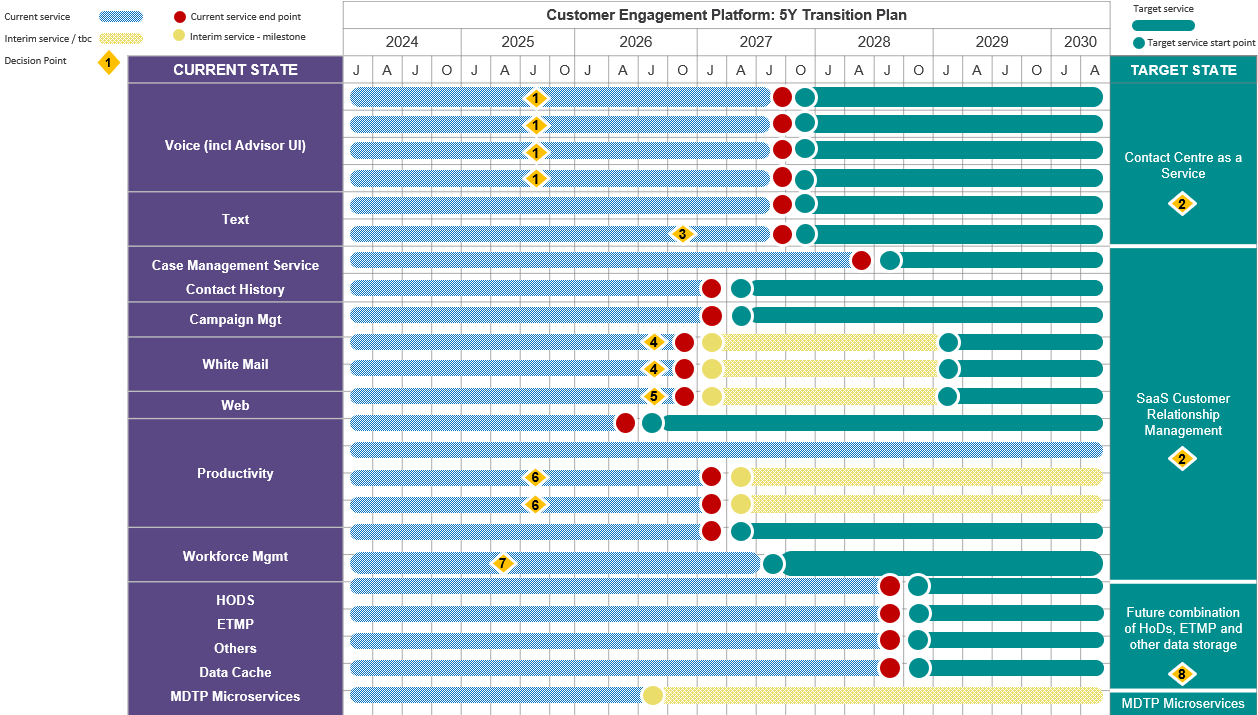
1. Technical Principles
   1. HMRC’s technology estate has evolved over time, with numerous separate systems, that do not rely on a modern SaaS architecture. We have the following ‘Technical Principles’ to ensure our future architecture enables our ambition.
2. All Customers represented once in a consistent manner within the same repository - the Central CRM.
3. The structure of the data held for any single Customer in the Central CRM is determined by the relevant Customer Type for each Customer (Individual, Ltd Company etc.).
4. Each Customer has a unique identifier.
5. Store the Services a Customer is Subscribed to in the Central CRM.
6. Maintain Customer data and Subscriptions directly rather than through matching.
7. Store Events associated with each Customer to create a Customer History.
8. Link Customers to other key entities within the Central CRM.
9. Store Preferences in CRM.
10. Drive contact with Customer through CRM.
11. Build Customer facing services using same technology platform as the Central CRM.
    1. We aim to build a single, integrated platform to streamline operations and minimize complexity. This will ensure consistency across all contact channels and operational systems.
12. **API-Enabled Integration for Seamless Connectivity**: Our future platform needs to fully support API-based integration, allowing us to connect effortlessly with existing and future systems within our broader technology ecosystem. This will facilitate modularity and adaptability to accommodate evolving requirements.
13. **Customer Data at the Core, Master Data Governance Elsewhere**: We plan to place customer data at the heart of our contact centre operations, enabling effective personalization and decision-making. However, customer data management and mastering will be governed by the CRM, ensuring consistency across our organization.
14. **Future-Proof Architecture for Long-Term Development**: Our architecture will be built to support future advancements in technology, such as integration with advanced CRM systems and other complementary tools. This approach will avoid lock-in to rigid technologies, enabling smooth transitions to next-generation capabilities.
15. **Incremental Adoption and Evolution of AI**: Artificial Intelligence (AI) will be embedded within our platform but designed to evolve over time in line with our maturity and strategic priorities. This will allow for the gradual adoption of AI-driven functionalities, such as chatbots and sentiment analysis, along with the ability to use AI to automate tasks, aligned with user needs.
16. **Robust Scalability to Handle Demand Peaks**: Our platform will be capable of scaling dynamically to meet fluctuations in demand, ensuring uninterrupted service during peak periods, particularly in scenarios of national importance.
17. **Support for Multi-Channel Communication Today & Tomorrow**: We need to be able to effectively handle current communication channels (e.g., voice, email, chat) while maintaining flexibility to incorporate emerging technologies and platforms (e.g., social media, video). This will provide a seamless experience across all channels for both customers and agents.
18. **Support for Hybrid and Remote Work Models**: Our future platform will need to fully accommodate remote working arrangements for contact centre advisors, ensuring equal access to tools, resources, and security irrespective of location. This will enable hybrid working models to boost workforce flexibility and resilience.
19. **Security and Compliance by Design**: We’re looking for a solution that’s designed to meet the highest standards of data security and privacy, aligned with government regulations and standards. It will incorporate role-based access, encryption, and robust auditing mechanisms to protect sensitive customer information.
20. **Optimised for Value and Efficiency**: We need to ensure that our implementation delivers tangible value by focusing on ease of use, process efficiency, and cost-effectiveness. This approach will balance initial investments with long-term operational cost savings.

ANNEX 1 APPENDIX A: EXISTING TECHNICAL ARCHITECTURE  
  


ANNEX 1 APPENDIX B: KEY VOLUMETRICS

|  |  |  |  |
| --- | --- | --- | --- |
| **Metric Type** | **Metric Description** | **Quantity/Metric** | **Frequency** |
| Inbound post | Physical and digital mail received from external senders (external personas) | 15.7 million | yearly |
| Outbound post | Physical and digital mail sent by HMRC to external user (external personas) | 150 million | yearly |
| Open cases (Compliance) | A customer issue, request or inquiry that has been received but not yet fully resolved or closed | 7000 | monthly |
| Web form submissions | Data sent by an external user completing or submitting a form on the website | 3,100,000 | yearly |
| Web form submissions | Data sent by an external user completing or submitting a form on the website | 287,535 | monthly |
| Internal users | An HMRC employee or system user who accesses the CRM for case management, customer interaction, data processing, or administrative purposes. | 25,000 | hourly |
| External users | A system user/ customer/ intermediary outside of HMRC who interacts with the CRM for case management, customer interaction, data processing, or administrative purposes. | 500,000 | hourly |
| Web requests | All interactive responses across web, CRM, mobile, contact centre. | 7,500 | per second, sustained for a minimum of 1 hour |

ANNEX 1 APPENDIX C PROGRAMME ROADMAP



**ANNEX 2: REQUIREMENTS CATALOGUE**

Attached to this document is the Requirements Catalogue. This includes:

* Epics
* Functional Requirements
* Non-Functional Requirements (with supporting documentation)

Please note this catalogue **is for information only** and Suppliers at this stage (Conditions of Participation) are not to be evaluated on whether or not they can meet the requirements as articulated in the catalogue. Suppliers invited to submit an initial tender at Stage 2 (ITSIT) will be assessed on their ability to meet these detailed requirements. Please note the requirements attached may be subject to minor amendments throughout the course of this procurement.

This documentation is enclosed separately.

**ANNEX 3: FINANCIAL CAPACITY METRIC DEFINITIONS**

| **Metric Definition (as per EFS Guidance)** | **Private Limited Company/Public Listed Company** | **Risk Ratings** |
| --- | --- | --- |
| Metric 1 - Turnover Ratio  *Turnover Ratio = Supplier Annual Revenue / Expected Annual Contract Value* | Turnover Ratio = Turnover / Annual Contract Value | * (Low Risk): Greater than 4 * (High Risk): Less than 3 |
| Metric 2 - Operating Margin  *Operating Margin = Operating Profit / Revenue* | Operating Margin = (Operating profit + Exceptional and non-underlying items\*) / Turnover   **Operating profit** is the sum of: Other operating income/expense, Administrative income/expense, Grant income (e.g. Government income), Impairment losses/gains and Restructuring costs. \*Exceptional and non-underlying items are only included if value is negative. | * (Low Risk): Greater than 10% * (High Risk): Less than 5% |
| Metric 3 (A) – Free Cash Flow to Net Debt Ratio  (Metrics 3(A) and 3(B) are alternative measures. Metric 3(A) is more relevant to capital intensive sectors and Metric 3(B) to less capital intensive sectors.)  *Free Cash Flow to Net Debt Ratio = Free Cash Flow / Net Debt*  **Definition** *Free Cash Flow = Net cash flow from operating activities – Capital expenditure Capital expenditure = Purchase of property, plant & equipment + Purchase of intangible Assets  Net Debt = Bank overdrafts + Loans and borrowings + Finance leases + Deferred consideration payable – Cash and cash equivalents* | Free Cash Flow to Net Debt Ratio = Free Cash Flow / Net Debt  Where **Free Cash Flow** is the sum of: Net cash flow from operating activities (After working capital and tax) and Capital expenditure (Tangible and intangible).  Where **Net Debt** is the sum of: 1. Current Liabilities: Loans and overdrafts, Deferred consideration, Lease liabilities, Amounts owed to group undertakings, Amounts owed to joint ventures and associates and Derivative financial instruments. 2. Non-current liabilities: Lease liabilities, Loans and borrowings, Amounts owed to group undertakings, Amounts owed to joint ventures and associates, Deferred consideration and Derivative financial instruments.  Less: 1.Current Assets: Derivative financial instruments, Other current financial assets (i.e. MMFs, secured loan notes), Cash and cash equivalents (Incl marketable securities) and Investments. | * (Low Risk): Greater than 15% * (High Risk): Less than 5% |
| Metric 3(B) – Net Debt to EBITDA Ratio  (Metrics 3(A) and 3(B) are alternative measures. Metric 3(A) is more relevant to capital intensive sectors and Metric 3(B) to less capital intensive sectors.)  *Net Debt to EBITDA ratio = Net Debt / EBITDA*  **Definition** *Net Debt = Bank overdrafts + Loans and borrowings + Finance leases + Deferred consideration payable – Cash and cash equivalents  EBITDA = Operating profit + Depreciation charge + Amortisation charge* | Net Debt to EBITDA Ratio = Net Debt / EBITDA  Where **Net Debt** is the sum of: 1. Current Liabilities: Loans and overdrafts, Deferred consideration, Lease liabilities, Amounts owed to group undertakings, Amounts owed to joint ventures and associates and Derivative financial instruments. 2. Non-current liabilities: Lease liabilities, Loans and borrowings, Amounts owed to group undertakings, Amounts owed to joint ventures and associates, Deferred consideration and Derivative financial instruments.  Less: 1.Current Assets: Derivative financial instruments, Other current financial assets (i.e. MMFs, secured loan notes), Cash and cash equivalents (Incl marketable securities) and Investments.  Where **EBITDA** is: Operating profit plus Exceptional and non-underlying items\* less Depreciation and Amortisation.  **Operating profit** is the sum of: Gross profit, Other operating income/expense, Administrative income/expense, Grant income (e.g. Government income), Impairment losses/gains and Restructuring costs. \*Exceptional and non-underlying items are included in the calculation where the value is negative. | * (Low Risk): Less than 4.0 * (High Risk): Greater than 15 |
| Metric 4 – Net Interest Paid Cover  *Net Interest Paid Cover = Earnings Before Interest and Tax / Net Interest Paid*  **Definition** *Earnings Before Interest and Tax = Operating profit  Net Interest Paid = Interest paid – Interest received* | Net Interest Paid Cover = (Operating profit + Exceptional and non-underlying items\* + Share of results of associates and joint ventures) / - (Interest Received + Interest Paid)  **Operating profit** is the sum of: Gross profit, Other operating income/expense, Administrative income/expense, Grant income (e.g. Government income), Impairment losses/gains and Restructuring costs. \*Exceptional and non-underlying items are only included if value is negative. | * (Low Risk): Greater than 4.5 * (High Risk): Less than 2.5 |
| Metric 5 – Acid Ratio / Quick Ratio  *Acid Ratio = (Current Assets – Inventories)/ Current Liabilities* | Acid Ratio = (Current Assets - Stock and WIP) / Current liabilities | * (Low Risk): Greater than 1 * (High Risk): Less than 0.8 |
| * Metric 6 – Group Exposure Ratio  *Group Exposure Ratio = Group Exposure / Gross Assets*  **Definition** *Group Exposure = Balances owed by Group Undertakings + Contingent liabilities assumed in support of Group Undertakings  Gross Assets = Fixed Assets + Current Assets* | Group Exposure Ratio = Group Exposure / Gross Assets  Where **Group Exposure** is the sum of: 1. Other non-current assets: Amounts owed by group undertakings and Amounts owed by joint ventures and associates 2. Current assets: Amounts owed by group undertakings and Amounts owed by joint ventures and associates 3. Contingent liabilities in support of group undertakings (£'000s)  Where **Gross Assets** is the sum of:  1. Fixed Assets: Other intangible fixed assets, Tangible fixed assets, Other fixed assets (Fixed asset investments, investment properties etc.) and Right of use assets 2. Current Assets  We note that Goodwill has been excluded in the calculation of gross assets. | * (Low Risk): Less than 25% * (High Risk): More than 65% |

**ANNEX 4: ACCESSIBILITY EVIDENCE QUESTIONNAIRE**

The accessibility evidence questionnaire, as referred to in question 3.10 of Part 3, Schedule 1 of this document, is enclosed separately.

**ANNEX 5: CRM CLARIFICATIONS TEMPLATE**

This document is enclosed separately.