Introduction and background

The authority (“London CIV” (“LCIV”) is conducting this procurement to procure Asset Class Modelling and Allocation Services, as detailed in the Services Specification (See Schedule 2 of the draft Mid-tier contract].

The procurement is being carried out under the competitive flexible procedure, subject to the Public Contracts Regulations (2024) (the “**Regulations**”). A contract notice was published in the Central Digital Portal under the Find a Tender Service (“**FTS**”).

To participate in this procurement, applicants must comply with the minimum qualification criteria set out under this Participation Stage (PS)

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| --- |
| **Question** |
| Preliminary questions | |
| 1. What is your name? (supplier name) |
| **[Insert name]** |
| 1. *You must be registered on the central digital platform (CDP).*   What is your central digital platform unique identifier? |
| **[Insert unique identifier]** |
| 1. Please confirm if you are bidding as a single supplier (with or without sub-contractors) or as part of a group or consortium.   If you are bidding as part of a group or consortium (including where you intend to establish a legal entity to deliver the contract), 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 lead member in the group/consortium 4. your role in the group/consortium (e.g. lead member, consortium member, sub-contractor) |
| **[Insert information]** |
| 1. **[Where applicable]** N/A |
| **[Insert details]** |
| 1. Are you on the debarment list? |
| **[Insert Yes or No]**  **[If yes, insert details]** |
| Part 1 – confirmation of core supplier information | |
| 1. You must submit up-to-date core supplier information on the CDP and share this information with us via the CDP (either a share code or PDF download).   This includes:   1. basic information 2. economic and financial standing information 3. connected person information (these are persons with the right to exercise, or who actually exercise, significant influence or control over the supplier, or over whom the supplier has the right to exercise, or actually exercises, significant influence or control over, for example: directors, majority shareholders and parent and subsidiary companies) 4. exclusion grounds information   Please confirm you have shared this information with us. |
| **[Insert reference / file name]** |
| Part 2 – additional exclusions information | |
| Part 2A – associated persons | |
| Are you relying on any associated persons to satisfy the conditions of participation? (these are other suppliers who might be sub-contractors or consortium members but not a guarantor).  [The conditions of participation are outlined in Part 3]  If so, please complete **Q8, Q9 & Q10** (otherwise **Q8, Q9 & Q10** are not applicable). |
| **[Insert Yes or No]** |
| For each supplier/associated person, please confirm which condition(s) of participation you are relying on them to satisfy. |
| **[Insert name of supplier and brief description]**  **[Insert name of supplier and brief description]** |
| For each associated person, you must confirm they are registered on the CDP and have shared with us their information (either a share code or PDF download):   1. basic information 2. economic and financial standing information  (if they are being relied upon to meet conditions of participation regarding financial capacity) 3. connected person information 4. exclusion grounds information |
| **[Insert name of supplier and reference / file name]** |
| Are any of your associated persons on the debarment list? |
| **[Insert Yes or No]**  **[If yes, insert details]** |
| Part 2B – list of all intended sub-contractors | |
| 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   If you are not intending to sub-contract the performance of all or part of the contract, then this **question and Q12** are not applicable.  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 the contracting authority as soon as possible and at least by final tenders. |
| **[Insert name of supplier – unique identifier – brief description]**  **[Insert name of supplier – unique identifier – brief description]** |
| Please confirm if any intended sub-contractor is on the debarment list.  The debarment list can be found here [insert link] |
| **[Insert Yes or No]**  **[If yes, insert sub-contractor(s) name and provide details]** |
| Part 3 – questions relating to conditions of participation | |
| Part 3A – standard questions | |
| Financial capacity | |
| **[Financial Capacity Conditions of Participation – added by contracting authorities if necessary]**  [Note - central government departments, their executive agencies and non-departmental public bodies should stipulate requirements in line with the 'Assessing and monitoring economic and financial standing (EFS) guidance note'.]  xxxx |
| **[xxxx]** |
| Are you relying on another supplier to act as a guarantor?  If so, please provide their name and evidence of their economic and financial standing. |
| **[Insert Yes or No]**  **[If yes, insert reference / file name]** |
| Please confirm whether you already have, or can commit to obtain, prior to the award of the contract, the levels of insurance cover indicated below:   1. Employer’s (Compulsory) Liability Insurance\* = Not less than £10m in respect of any one occurrence or series of occurrences in any annual policy period 2. Public Liability Insurance = Not less than £10m in respect of any one occurrence or series of occurrences in any annual policy period 3. Professional Indemnity Insurance = Not less than £25m 4. Cyber Liability Insurance = Not less than £5m   \*There is a legal requirement for certain employers to hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. See the Health and Safety Executive website for more information: [www.hse.gov.uk/pubns/hse39.pdf](http://www.hse.gov.uk/pubns/hse39.pdf). |
| **[Insert Yes or No]**  **[Insert details of your insurances already in place]**  **[Insert details of your insurances which would be obtained following contract award (including information on how you will obtain this insurance – e.g. a quote)]** |
| Legal capacity | |
| **[Legal Capacity Conditions of Participation – added by contracting authorities if necessary]**  xxxx |
| **[xxxx]** |
| 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 |
| **[Insert Yes or No]**  **[Insert information]** |
| Technical ability | |
| **Relevant experience and contract examples**  Please provide details of up to three contracts to meet conditions of participation relating to technical ability set out in the relevant notice or procurement documents, in any combination from either the public or private sectors.  Where this procurement is for goods or services, the examples must be from the past three years.  The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided.  If you cannot provide at least one example of previous contracts, please provide an explanation for this and how you meet the conditions of participation relating to technical ability. |
| **[Insert information below]**   |  |  |  |  | | --- | --- | --- | --- | |  | **Contract 1** | **Contract 2** | **Contract 3** | | **Name of customer**  **organisation who**  **signed the contract** |  |  |  | | **Name of supplier**  **who signed the**  **contract** |  |  |  | | **Point of contact in**  **the customer’s**  **organisation** |  |  |  | | **Position in the**  **customer’s**  **organisation** |  |  |  | | **Email address** |  |  |  | | **Description of**  **contract** |  |  |  | | **Contract start date** |  |  |  | | **Contract completion date** |  |  |  | | **Estimated contract**  **value** |  |  |  |  |  | | --- | | **[If you cannot provide at least one example of previous contracts that are relevant too the requirement, in no more than 500 words please provide an explanation for this and how you meet the conditions of participation relating to technical ability – e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.]** | |
| **Experience of sub-contractor management**  Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s) (which may be the intended sub-contractor(s) for this procurement or any others used previously).  The description should include the procedures you use to ensure performance of the contract. |
| **[Insert information]** |
| **Organisational standards**  Where conditions of participation have specified organisational qualifications or standards, please provide details of how these are met, or other equivalent standards that equal or exceed what has been requested. |
| **[Insert information]** |
| **Health and safety**  Please describe the arrangements you have in place to manage health and safety effectively and control significant risks relevant to the contract (including risks from the use of contractors, where relevant). [Please use no more than 500 words.] |
| **[Insert information]** |
| **[Additional questions – added by contracting authorities if necessary]**  xxxx |
| **[xxxx]** |
| Part 3B – requirements for central government departments, their executive agencies and non-departmental public bodies | |
| Payment in Contracts [question for contracts above £5m per annum] (PPN 015) – Not applicable for this contract | |
| Please confirm if you intend to use a supply chain\* for this contract or (if relevant) to deliver any call-off contract that may be awarded under this framework agreement. If you answer “No” you do not need to complete the rest of this section [questions 23-25].  **[Information only]**  *\*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.* |
| **[Insert Yes or No]**  Not scored |
| 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]**  Pass/fail |
| **Public sector contracts only – Requirement under the Procurement Act 2023 (Sections 68 and 73)**  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]**  Pass/fail |
| **Public and private sector contracts**  (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  *\*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.*  *\*\*You should explain in the tender documents what a reporting period is 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)  (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 25(d), this action plan must also set out steps to address your payment within agreed terms, to achieve a pass for question 25(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:    * 95% of all supply chain invoices within 60 days; and    * if relevant under question 25(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.  **Evidence for self-declarations (questions 23 to 24)**: Prior to contract award the following evidence will be required from the successful supplier (where the supplier has answered ‘Yes’ to question 22 above) to verify the supplier's responses  **Q23** - A copy of your standard payment terms for all of your supply chain contracts.  **Q23** - A copy of your procedures for resolving disputed invoices promptly and effectively.  **Q23** - 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.  **Q24** - A copy of your standard payment terms used with sub-contractors on public sector contracts subject to the Procurement Act 2023 |
| **[Insert Information]** |
| Carbon Reduction Plan [for contracts above £5m per annum] (PPN 006) | |
| Please confirm that you have detailed your environmental management measures by completing and publishing a Carbon Reduction Plan which meets the required reporting standard. |
| **[Yes / No]**  **[Provide a link to your most recently published Carbon Reduction Plan here:]** |
| 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]** |
| Please confirm your Net Zero Target Date (e.g. 2050) |
| **[Yes / No]** |
| 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 (PPN 009) | |
| **Modern Slavery Statement (or equivalent statement/document)**  Supplier is ‘a relevant commercial organisation’\* and is compliant with the requirements contained within section 54 of the Modern Slavery Act 2015 and associated guidance and their 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   6. the training and capacity building about slavery and human trafficking available to its staff   **Or**  Supplier is not ‘a relevant commercial organisation’ but has a turnover of more than £36 million and has provided a link to an equivalent statement or document which demonstrates information relating to a to f above.  *\*‘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.*  [Note to contracting authorities: The question may be adapted further, for example, depending on the nature of the procurement. You may also decide to ask this question of organisations who have a turnover of less than £36 million, but only where it is proportionate to do so.] |
| **[Insert information]** |
| Procuring steel (PPN 010) | |
| For projects/programmes involving a relevant steel procurement, please describe the supply chain management systems, policies, standards and procedures you have in place to ensure robust supply chain management.  Please provide details of previous similar projects where you have demonstrated a high level of competency and effectiveness in managing all supply chain members involved in steel supply or production to ensure a sustainable and resilient supply of steel. |
| **[Insert information]** |
| Confirmations | |
| I confirm 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 any additional information requested of us * 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 |
| **[Insert Yes or No]** |

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