

DPS Entry and Operation Guide Part 1 - DPS Overview, Entry Criteria and Evaluation Methodology

1.0 INTRODUCTION

Haringey Council ("the Council") has worked with *adam* to introduce a web-based system, SProc.Net, to manage the Council's Dynamic Purchasing System (DPS). The Council will use this system, as the lead Customer, for the procurement of **Passenger Transport Services** for the Council's Children's Services directorate.

The local authorities set out below shall also be permitted, as Third Party Customers, to award contracts under the DPS for the provision of services in its own geographical area upon entering an access agreement with Haringey Council.

The following local authorities will be permitted access: London Borough of Barking & Dagenham, London Borough of Barnet, London Borough of Bexley, London Borough of Brent, London Borough of Bromley, London Borough of Camden, London Borough of Croydon, London Borough of Ealing, London Borough of Enfield, Royal Borough of Greenwich, London Borough of Hackney, London Borough of Hammersmith and Fulham, London Borough of Harrow, London Borough of Havering, London Borough of Hillingdon, London Borough of Hounslow, London Borough of Islington, Royal Borough of Kensington and Chelsea, Royal Borough of Kingston upon Thames, London Borough of Lambeth, City of London, London Borough of Lewisham, London Borough of Merton, London Borough of Newham, London Borough of Redbridge, London Borough of Richmond upon Thames, London Borough of Southwark, London Borough of Sutton, London Borough of Tower Hamlets, London Borough of Waltham Forest, London Borough of Wandsworth, London Borough of Westminster; and any local authority in the following counties: Hertfordshire, Essex, Bedfordshire and Berkshire.

The **Passenger Transport Services** deliverable under the DPS shall be as described in the Council's and each Customer's Service Specification (the Services). The Council's Service Specification as well as the Service Specification of each Customer that has opted to take up access to the DPS can be viewed at <http://demand.sproc.net>.

The DPS shall be divided into the following service categories (each being a Service Category):

- Standard Taxi & mini cab (1-3 seats)
- Standard MPV & people carrier (up to 5 seats)
- Standard Minibus (8 seats)

- Standard Minibus (12 - 16 seats)
- Standard Minicoach (19 - 24 seats)
- Standard Coach (32 + seats)
- Standard Coach (49 + seats)
- Standard Deregulated minibus

- Accessible Taxi & mini cab (1-3 seats)
- Accessible MPV & people carrier (up to 5 seats)
- Accessible Minibus (8 seats)
- Accessible Minibus (12 - 16 seats)
- Accessible Minicoach (19 - 24 seats)
- Accessible Coach (32 + seats)
- Accessible Coach (49 + seats)
- Accessible Deregulated minibus
- Executive Cars
- Coach Escorts
- Travel Buddies

When applying for membership of the DPS, suppliers will be invited to select which Service Category they wish to apply for. There is no limit on the number of Service Categories that a supplier may choose – this is entirely at the discretion of the supplier. Suppliers that are appointed to the DPS will be appointed to the Service Category/Categories they apply for and for which they meet the Council's Entry Criteria.

When a contract is to be awarded by any Customer under the DPS, the Customer shall select which Service Category applies to that contract, and the suppliers that are registered to the relevant Service Category shall be invited to submit an offer.

This DPS Entry and Operation Guide, which consists of 2 Parts, will give you as a potential supplier an overview of what a DPS is and will outline the Entry Criteria you must meet to join the DPS and the evaluation methodology the Council will use to assess your capability to deliver **Passenger Transport Services** to the Council or Third Party Customers. It will also explain how the Council will manage their procurement and invoicing processes using SProc.Net.

2.0 WHAT IS A DPS?

A DPS is a completely electronic system established by a contracting authority to purchase commonly used goods, works or services.

A DPS does not operate in the same way as a contract/framework in that it is an 'open market' product designed to provide access to a pool of suppliers or a supply base that can be constantly refreshed. Interested suppliers will have to apply to be admitted to the DPS. When the contracting authority needs to procure specific Services, it will then follow a bidding process amongst the suppliers admitted to the DPS in order to award a contract (called a Service Agreement) to provide the Services.

2.1 How the DPS works

A supplier that wishes to provide Services to the Council and/or to any of the other Customers will have to join the DPS by registering and by submitting Accreditation and Enrolment information (an Entry Submission) online via Sproc.Net.

As part of the Accreditation and Enrolment process, the Supplier will be required to indicate for which of the Service Categories it is able to provide Services (please see section 1.0 above for further information regarding the selection of Service Categories).

The Supplier's Entry Submission will then be evaluated by the Council to establish the supplier's general capability offering against a number of pre-set selection criteria, the Entry Criteria.

The Accreditation and Enrolment process will encompass the evaluation of suppliers' capability (financial and technical) to provide the type of **Passenger Transport Services** described in the Council's Service Specification. The Accreditation and Enrolment evaluation will be done on a pass / fail basis or such other basis as is explained further below.

All successful and unsuccessful suppliers will be notified of the outcome of the evaluation of their Entry Submissions applying for Accreditation and Enrolment. A supplier will either be accepted onto the DPS or rejected and provided with feedback. This feedback will enable it to re-apply at a later date should it wish to do so. Suppliers will have 1 further opportunity within the 6 months following a rejection to re-apply for Enrolment. If unsuccessful again, suppliers will have to wait a further 6 months before re-applying.

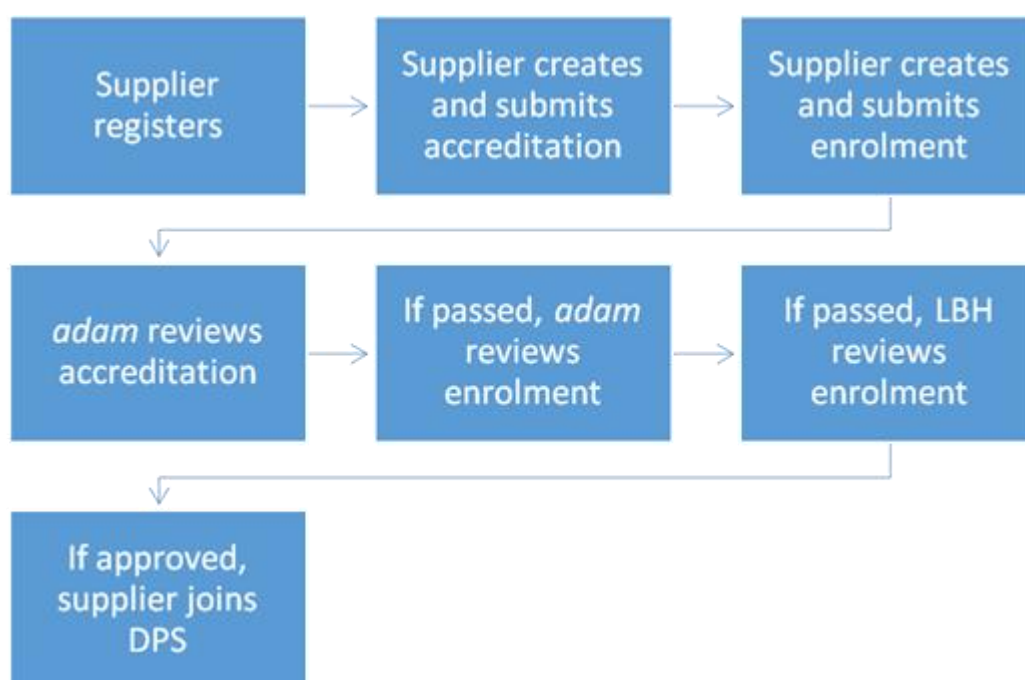
The feedback to unsuccessful suppliers will outline the areas in which they need to make improvements in order to submit a successful Entry Submission in the future. The process of applying to join the DPS is explained further in a step-by-step manner below.

From time to time, when a Customer requires specific **Passenger Transport Services** it will notify suppliers accepted onto the DPS of the opportunity and will run a tender over SProc.Net during which interested suppliers will be able to submit Offers to provide the Services required. At the end of the tender, the Customer will normally award a Service Agreement for provision of the Services. The award will be to the supplier that best meets the Customer's requirements based on an evaluation of the Offers submitted. This process is more fully explained in the DPS Entry and Operation Guide – Part 2 (Requirements Process and DPS Management).

2.2 How to join the DPS

Suppliers who wish to join the Council's DPS for supply of **Passenger Transport Services** will need to show that they meet the Council's Entry Criteria by applying online at Sproc.Net. It is a simple two-step application process consisting firstly of Registration and secondly of Accreditation and Enrolment.

Step by Step process to be completed online:



Step 1: Registration

You must register your business on Sproc.Net. An email will then be sent to you with a username and password to access the system and complete the remaining step which is in two stages (Accreditation and Enrolment). To complete your registration, you will need to provide, at an absolute minimum, the following information:

- Full Business Name
- Trading Name (if different from above)
- Business Tax/VAT Number
- Charity Registration Number (Charities only)
- Company Registration Number (Companies only)
- SME status
- Unique Taxpayer Reference (UTR) Number (if a sole tenderer)
- Registered Business Address: line 1, City, County, Post Code
- Trading Business Address (if different from above)
- Telephone Number
- Email address

The business name you register will be the name shown on the system. You must then create your first administrative user by providing:

- First Name
- Last Name
- Job Title
- Email address

This user will be an administrator on the system and have the ability to create other users for your business at all additional locations you may have. For further details on how to complete this registration process, please see the Registration, Accreditation and Enrolment User Guide available on Sproc.Net in the Help Library.

The administrator will then receive a username and temporary password. Upon logging into SProc.Net, the administrator will be prompted to change the password.

Step 2: Accreditation and Enrolment

This step involves 2 distinct stages, Accreditation and Enrolment, during which your business must show that you meet the Council's Entry Criteria to be admitted onto the

DPS as a supplier of **Passenger Transport Services**. The process of admitting you to the DPS will be carried out by the Council only but will then allow you to be a supplier to the Council and/or to any other Customer using the DPS. You must show you meet the Entry Criteria by completing an Entry Submission (your application) by providing responses on SProc.Net to a series of questions and uploading documents to provide information about your organisation. The tables in sections 3.1 to 4.5 below set out a copy of the questions that a supplier will have to respond to when completing your Entry Submission on Sproc.Net and they also indicate what documents you need to upload. Some questions will only have to be answered depending on the response to another question. The Entry Criteria you have to meet and how they are evaluated are also explained below in sections 3 and 4.

2.3 Entry Submission – notes for completion

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

2.3.2 . “You” / “Your” refers to the supplier completing the Entry Submission i.e. the legal entity seeking to join the DPS and be invited to submit Offers to provide Services required and which is responsible for the information provided. The term “supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015.

2.3.3. The Entry Submission to be completed has been designed to assess the suitability of a supplier to deliver the Council's, and by extension other Customers', contract requirement(s). If you are successful at the Accreditation and Enrolment stages of the procurement process, you will be selected for the subsequent Requirements stage of the process.

2.3.4 Please ensure that all questions are completed in full on SProc.Net by creating and submitting an Accreditation and Enrolment via the tabs on the system and in the format requested. If the question does not apply to you, please state 'N/A'. Should you need to provide additional information in response to the questions, please submit a clearly identified annex. Failure to ensure that all questions are completed may result in your Entry Submission being disqualified.

2.3.5 Where you are required to upload documents, this should be done to the location and/or in the manner indicated further on in this document.

2.3.6. The Council recognises that arrangements set out in response to questions 40 to 44 under section 3.1, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the Council immediately of any change in the proposed arrangements and ensure questions 1 to 44 under section 3.1 are submitted for any new organisation relied on to meet the Entry Criteria. The Council will make a revised assessment of the submission based on the updated information.

2.3.7. For questions 1 to 44 under section 3.1, every organisation that is being relied on to meet the Entry Criteria must complete and submit the self-declaration.

2.3.6. All sub-contractors are required to complete questions 1 to 44 under section 3.1

2.3.7. For answers to questions under sections 4.3 and 4.4 - If you are bidding on behalf of a group, for example a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the group and/ or any sub-contractors, providing one composite response and declaration.

2.3.8. Save in respect of the contract details provided by suppliers as more particularly described in section 4.6.4.1, the Council confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations or pursuant to an order of the court or demand made by any competent authority or body where the Council is under a legal or regulatory obligation to make such a disclosure.

3.0 PART 1 – ACCREDITATION

At the Accreditation stage, the questions you will be required to provide responses to and documents you need to upload are grouped into the following sections: Supplier Information; Document Upload - Accreditation.

You will also be required to download and confirm your business's acceptance of a contractual document, the Supplier Agreement that can be found at <http://demand.sproc.net>.

The Supplier Agreement signs you up to the terms and conditions of transacting business with the Council and other Customers through the DPS and to delivering any **Passenger Transport Services** required in accordance with the Service Specification of any Customer by which you are awarded work through the DPS.

The Supplier Agreement includes Self-Billing Procedure terms in Schedule 2. By accepting the Supplier Agreement, you will be agreeing to these terms including that you will submit weekly invoices (Service Receipts) via SProc.Net to each Customer in relation to each Service Agreement you are awarded by the Customer and to being paid by *adam* on behalf of the Customer in the event that the Customer chooses *adam* as a third party payment service provider.

You will need to accept the Supplier Agreement electronically via SProc.Net, by ticking the relevant box on the application, in order to proceed.

3.1 Supplier Information

This section is used to gather the necessary details to understand the nature of the organisation and legal entity participating in the procurement exercise and, where appropriate the composition of its supply chain. It is not scored as the answers to the questions are for information only but a supplier may be excluded on the grounds of providing insufficient or false information.

Please read, complete and sign the Declaration. Please note that the Declaration should be signed by you, if you are the supplier, or by a partner or authorised representative in his or her own name on behalf of the supplier where this is an organisation.

	Accreditation Question	Question Trigger
1	What is the full name of the supplier submitting the information?	
2	What is the address of your registered office? Please enter N/A if not applicable	
3	What is your registered website address? Please enter N/A if not applicable	
4	What is your trading status?	

5	Please specify your trading status.	Dependent on response to Q4
6	What is your organisation's date of registration in its country of origin?	
7	What is your company registration number? Please enter N/A if not applicable	
8	What is your charity registration number? Please enter N/A if not applicable	
9	What is your head office DUNS number? Please enter N/A if not applicable	
10	What is your registered VAT number? Please enter N/A if not applicable	
11	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	
12	Please provide the relevant details, including the registration number(s).	Dependent on response to Q11
13	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	
14	Please provide additional details of what is required and confirmation that you have complied with this.	Dependent on response to Q13
15	Please provide the trading name(s) that will be used if successful in this procurement.	
16	Relevant classifications - Is your organisation a Voluntary, Community and Social Enterprise (VCSE)?	
17	Relevant classifications - Is your organisation a Sheltered Workshop?	
18	Relevant classifications - Is your organisation a Public Service Mutual?	

19	Are you a Small, Medium or Micro Enterprise (SME)?	
20	Do you have Persons of Significant Control (PSC)?	
21	Please provide the Name of Persons of Significant Control (PSC).	Dependent on response to Q20
22	Please provide the Date of birth of Persons of Significant Control (PSC).	Dependent on response to Q20
23	Please provide the Nationality of Persons of Significant Control (PSC).	Dependent on response to Q20
24	Please provide the Country, state or part of the UK where the Persons of Significant Control (PSC) usually lives.	Dependent on response to Q20
25	Please provide the Service address of the Persons of Significant Control (PSC).	Dependent on response to Q20
26	Please provide the date he or she became a Person of Significant Control (PSC) (for existing companies the 6 April 2016 should be used).	Dependent on response to Q20
27	Please provide which conditions for the Persons of Significant Control (PSC) are met; - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more.	Dependent on response to Q20
28	Do you have an immediate parent company?	
29	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Full name of the immediate parent company	Dependent on response to Q28
30	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Registered office address (if applicable)	Dependent on response to Q28
31	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Registration number (if applicable)	Dependent on response

		to Q28
32	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Head office DUNS number (if applicable)	Dependent on response to Q28
33	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Head office VAT number (if applicable)	Dependent on response to Q28
34	Do you have an ultimate parent company (that is not the same as the immediate parent company)?	
35	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): - Full name of the ultimate parent company	Dependent on response to Q34
36	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Registered office address (if applicable)	Dependent on response to Q34
37	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Registration number (if applicable)	Dependent on response to Q34
38	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Head office DUNS number (if applicable)	Dependent on response to Q34
39	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Head office VAT number (if applicable)	Dependent on response to Q34
40	Are you bidding as the lead contact for a group of economic operators?	
41	What is the name of group of economic operators (if you are the lead or a supporting bidder)? Please enter N/A if not applicable	
42	What is the proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded? If you do not propose to form a single legal entity, please explain the legal structure?	Dependent on response to Q40
43	Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	
44	Please confirm you have uploaded additional details for each sub-contractor in the downloadable template, which can be found on the accreditation page at www.SProc.Net .	Dependent on response

		to Q43
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3.2 Document Upload - Accreditation

The below documents must be uploaded onto SProc.Net as part of your Accreditation submission:

	Document	What is required to pass review?	
	Sub-contractor Information	Completed Sub-Contractor form uploaded to SProc.net	Discretionary
	Declaration Statement	Signed Declaration Statement uploaded to SProc.net	Mandatory

3.3 Evaluation Methodology - Accreditation

Once you have completed the Accreditation stage, you should move straight onto completing the Enrolment stage of your application. However, moving onto the Enrolment stage does not mean that you have passed the Accreditation stage.

In due course, all suppliers will receive an email notification confirming whether or not your application has been approved.

If your application is failed at the Accreditation stage, you will be notified by *adam* who will provide feedback to allow you to rectify any issues and re-apply if appropriate.

Self-Certification – All organisations that have self-certified will be required, upon request by the Council, to upload all supporting documentation which will be reviewed prior to any Service Agreement/s being awarded for any Services through the DPS.

4.0 PART 2 – ENROLMENT

At the Enrolment stage, you will need to provide responses to a series of questions and upload documents in SProc.Net relating to the supplier's capabilities. The Council will use the responses and documents provided to assess the capability of your organisation to provide **Passenger Transport Services** to the Council and other Customers. As part of the

Enrolment stage, you will be required to select which of the Service Categories you can provide Services for and you will want to receive Requirements for.

Once you have selected your Service Categories, you will then need to submit answers to questions and upload documents under the following sections: Grounds for Mandatory Exclusion, Grounds for Discretionary Exclusion, Economic and Financial Standing, Technical and Professional Ability and Additional Questions.

Please note that a completed European Single Procurement Document (ESPD) will be accepted in place of all the Accreditation (Supplier Information) questions and Enrolment (Mandatory Exclusion and Discretionary Exclusion) questions (1-65). If you submit an ESPD in place of the above, you must also submit the following information where applicable:

- ESPD (Grounds relating to criminal convictions): If you have answered 'Yes' to any of the questions in this section of the ESPD, please answer any of the following Enrolment questions **3-7, 9-13, 15-19, 21-25, 27-31, 33-37** set out in section 4.1 below that relate to the ESPD question to which you answered 'Yes';
- ESPD (Grounds relating to the payment of taxes or social security contributions): If you have answered 'Yes' to question **38** in this section of the ESPD, please answer Enrolment question 39 set out in section 4.1 below ;
- ESPD (Grounds relating to insolvency, conflicts of interests or professional misconduct): If you have answered 'Yes' to any of the questions in this section, please answer any of the following Enrolment questions **41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 61, 63, 65** set out in section 4.2 below that relate to the ESPD question to which you answered 'Yes.

4.1 Grounds for Mandatory Exclusion

A supplier will be excluded from becoming or continuing to be an approved supplier if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision under the laws of your organisation's country of establishment or of any UK jurisdiction which found a breach of legal obligations to pay tax or social security obligations (except either, on an exceptional basis, for overriding reasons

relating to the public interest such as public health or protection of the environment or where an exclusion is disproportionate e.g. only minor amounts involved).

Any supplier that answers 'Yes' to Enrolment questions 2, 8, 14, 20, 26, 32, 38 below should provide, in the relevant space for this on SProc.Net, sufficient evidence that provides a summary of the circumstances and of any remedial actions that it has taken which are sufficient to demonstrate its reliability as a supplier despite the conviction in question. The supplier has to demonstrate it has taken such remedial action to the Council's satisfaction in each case.

If such evidence is considered sufficient by the Council (whose decision will be final), the supplier concerned shall be allowed to continue in the DPS process.

In order for the evidence referred to above to be sufficient, the supplier shall, as a minimum, prove that it has:

- paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
- clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the supplier shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Council to be insufficient, the supplier shall be given a statement of the reasons for that decision.

If you answer 'Yes' to question 38 below on the non-payment of taxes or social security contributions, and have not paid or entered into a binding arrangement to pay the full amount, you may still avoid exclusion if only minor tax or social security contributions are unpaid or if you have not yet had time to fulfil your obligations since learning of the exact amount due. If your organisation is in that position, please provide details in the relevant section for this on SProc.net.

		Question
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	Enrolment Question	Trigger
1	Has your organisation completed the European Single Procurement Document? Please upload	
2	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation have been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List of Mandatory and Discretionary Exclusions.pdf . - Participation in a criminal organisation	Dependent on response to Q1
3	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q2
4	Please provide the identity of who has been convicted.	Dependent on response to Q2
5	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q2
6	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q2
7	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q2
8	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List of Mandatory and Discretionary Exclusions.pdf . - Corruption	Dependent on response to Q1
9	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q8
10	Please provide the identity of who has been convicted.	Dependent on response to Q8
11	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on

		response to Q8
12	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q8
13	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q8
14	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Terrorist offences or offences linked to terrorist activities	Dependent on response to Q1
15	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q14
16	Please provide the identity of who has been convicted.	Dependent on response to Q14
17	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q14
18	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q14
19	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q14
20	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Money laundering or terrorist financing	Dependent on response to Q1
21	Please provide the date of conviction and the reasons for conviction.	Dependent on response to

		Q20
22	Please provide the identity of who has been convicted.	Dependent on response to Q20
23	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q20
24	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q20
25	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q20
26	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Fraud	Dependent on response to Q1
27	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q26
28	Please provide the identity of who has been convicted.	Dependent on response to Q26
29	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q26
30	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q26
31	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q26
32	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences	Dependent on response to Q1

	within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Child labour and other forms of trafficking in human beings	
33	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q32
34	Please provide the identity of who has been convicted.	Dependent on response to Q32
35	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q32
36	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q32
37	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q32
38	Regulation 57(3) Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?	Dependent on response to Q1
39	Please provide further details and confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	Dependent on response to Q38

4.2 Grounds for Discretionary Exclusion

The Council may exclude any supplier who answers 'Yes' to questions 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62 and 64 below.

In relation to each such question that a supplier answers 'Yes', the supplier should provide, in the relevant space for this on SProc.Net, sufficient evidence that provides a summary of the circumstances and of any self-cleaning measures that it has taken which are sufficient to demonstrate its reliability as a supplier despite the situation in question. The supplier has to demonstrate it has taken such remedial action to the Council's satisfaction in each case. If such evidence is considered sufficient by the Council (whose decision will be final), the supplier concerned shall be allowed to continue in the DPS process.

In order for the evidence referred to above to be sufficient, the supplier shall, as a minimum, prove that it has:

- paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
- clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the supplier shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Council to be insufficient, the supplier shall be given a statement of the reasons for that decision.

	Enrolment Question	Question Trigger
40	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. -Breach of environmental obligations?	Dependent on response to Q1
41	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q40
42	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Breach of social obligations?	Dependent on response to Q1
43	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q42
44	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Breach of labour law obligations?	Dependent on response to Q1
45	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q44
46	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being	Dependent on response to Q1

	administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	
47	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q46
48	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Guilty of grave professional misconduct?	Dependent on response to Q1
49	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response Q48
50	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Entered into agreements with other economic operators aimed at distorting competition?	Dependent on response to Q1
51	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q50
52	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	Dependent on response to Q1
53	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q52
54	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Been involved in the preparation of the procurement procedure?	Dependent on response to Q1
55	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q54
56	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	Dependent on response to Q1
57	Please explain what measures have been taken to demonstrate	Dependent on

	the reliability of the organisation despite the existence of a relevant ground for exclusion?	response to Q56
58	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Dependent on response to Q1
59	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q58
60	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation has withheld such information.	Dependent on response to Q1
61	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q60
62	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation is not able to submit supporting documents required under regulation 9 of the Public Contracts Regulations 2015.	Dependent on response to Q1
63	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q62
64	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Dependent on response to Q1
65	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q64

4.3 Economic and Financial Standing

For the purpose of assessing your organisation's financial viability you are required to provide the information requested in the questions set out below.

If you have indicated that you are part of a wider group, you will also be required to provide further details regarding the Parent company as detailed below:

	Enrolment Question	Question Trigger
66	Has your organisation been operating for more than three years?	
67	Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past two years of trading.	Dependent on response to Q66
68	Has your organisation been operating for between two and three years?	Dependent on response to Q66
69	<p>Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past two years of trading.</p> <p>If you are unable to upload the information required above, please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least one year of trading; AND Cash flow forecast for the next 3-5 years and projected profit and loss; AND Projected year-end balance sheet position for the current year of trading, both of which must have been certified by a qualified accountant or independent auditor.</p>	Dependent on response to Q68
70	Has your organisation been operating for less than two years?	Dependent on response to Q68
71	<p>Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past one year of trading; AND A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year, if the full year is not applicable) trading and a year-end balance sheet, which must have been certified by a qualified accountant or independent auditor.</p> <p>If you are unable to upload the information required above, please confirm that you have uploaded a statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year, if the full year is not applicable) trading and a year-end balance sheet; AND Cash flow forecast for the next 3-5 years, both of which must have been certified by a qualified accountant or independent auditor; AND A bank letter outlining the current cash and credit facility position available to the organisation.</p>	Dependent on response to Q70
72	Please self-certify that your organisation is part of a wider group (e.g. a subsidiary of a holding/parent company)?	

73	What is the name of the wider group?	Dependent on response to Q72
74	What is the relationship of the wider group to your organisation?	Dependent on response to Q72
75	Are you able to provide parent company accounts if requested to at a later stage?	Dependent on response to Q72
76	Would the parent company be willing to provide a guarantee if necessary?	Dependent on response to Question 72
77	Would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Dependent on response to Question 76

4.4 Technical and Professional Ability

The Council wants to ensure the capability of all suppliers admitted onto the DPS. Your response to the questions in section 4.4 enable the Council, should it choose, to contact the named customers to verify your organisation has the relevant and satisfactory experience to provide these services.

	Enrolment Question	
	Relevant experience and contract examples:	
78	<p>Please confirm that you will provide, on the downloadable form, details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.</p> <p>The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.</p> <p>Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).</p> <p>Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.</p> <p>If you cannot provide examples, see question 81.</p>	

79	Does your organisation intend to sub-contract a proportion of the contract?	
80	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). Evidence should include, but not be limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).	Dependent on response to Q79
81	If you cannot provide at least one example, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.	Dependent on response to Q78

	Modern Slavery Act 2015:	
82	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	
83	Are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Dependent on your response to Q82
84	Please provide the relevant URL to view the statement.	Dependent on your response to Q82
85	Please provide an explanation.	Dependent on your response to Q83

4.5 Additional Questions

Insurances

In order to supply services to any Customer, you are required to have particular insurance cover. The questions below are arranged in such a way that you do not need to have the required level of insurance at the time of your submission, but if you do not you must commit to having the correct levels once you begin delivering services to a Customer. If you have the required cover, you must upload the insurance schedule as part of your application. If at the time of your Enrolment you do not have the required cover, you must upload a single page document stating the name of your business and committing to obtaining the required

level of insurance (£10m Employers Liability/£5m Public Liability) and that you will upload a copy of a valid policy schedule prior to starting delivery of any Service Agreement.

	Enrolment Question	Question Trigger
	Insurances:	
86	<p>Please confirm you already have, or can commit to obtain prior to starting delivery of any Service Agreement, the level of insurance cover indicated below: Employer's (Compulsory) Liability Insurance = £10 million</p> <p>Please upload, in the space provided in this Enrolment section, your valid insurance schedule or a statement committing to upload one as described in Section 4.5 of the entry guide 1 available on demand.sproc.net.</p>	
87	<p>Please confirm you already have, or can commit to obtain prior to starting delivery of a Service Agreement,, the level of insurance cover indicated below:</p> <ul style="list-style-type: none"> - Public Liability Insurance = £5 million <p>Please upload, in the space provided in this Enrolment section, your valid insurance schedule or a statement committing to upload one as described in Section of the entry guide 1 available on demand.sproc.net.</p>	
	Operational Policy:	
88	<p>The Mayor's Transport Strategy has confirmed that London's Ultra-Low Emission Zone (ULEZ) is expanding. From 2020 the ULEZ applies across the whole of London for buses and coaches. From 2021 the ULEZ applies to all vehicles in inner London. Vehicles that are not ULEZ compliant will incur daily charges when entering the ULEZ. For more information on the ULEZ see:</p> <p>https://tfl.gov.uk/modes/driving/ultra-low-emission-zone</p> <p>Please provide a statement outlining how your business</p> <p>A) Is preparing for the changes to the ULEZ;</p> <p>B) Will ensure any costs incurred through lack of ULEZ compliance will not be passed on to the Customer.</p>	
89	<p>Please provide a statement outlining how your business:</p> <p>A) ensures that all staff and volunteers know what to do if they have safeguarding concerns about a child / young person / vulnerable adult;</p> <p>B) deals with reports or allegations of a child protection / safeguarding nature.</p>	
90	<p>Prompt response times to non-compliance with service delivery on routes are required. Please provide a statement outlining how your business will identify and communicate to the</p>	

	Customer : A) Non-attendance of driver B) Route running 45 minutes late C) Breakdown of the vehicle D) Timescale for communicating the above to the Customer	
91	Please provide a statement outlining how the individual route details and the duties of the driver are communicated to the drivers and supervisors. This includes: A) Route timings B) Pick up and drop off locations C) Order of pick up	
92	Please provide a statement outlining how your business measures, records and monitors: A) the quality of your service against a Customer's Service Specification B) your compliance with the KPIs listed in a Customer's Service Specification C) the effectiveness of your business policies.	
93	Please provide a statement outlining your business's policy for the reporting of incidents such as accidents or on-board behavioural issues.	
94	Please confirm your business has a Business Continuity Plan and that in the event of an emergency would be able to continue to provide services to the Customer	
95	Please confirm that your business has a policy in place which explains what processes are used to ensure all drivers have a valid enhanced DBS certificate at all times and what measures would be taken in the event that a DBS check revealed evidence of convictions, cautions or reprimands.	
96	Please confirm that your business will utilise electronic vehicle tracking systems	
	Licencing:	
97	Does your business hold one or both of the following Operating Licences: PCO PSV Please upload the relevant Operating Licence/s in the space provided on this enrolment	
98	Has your business ever had its Operating Licence suspended, revoked or refused?	
99	Please explain what measures have been taken to demonstrate the reliability of your organisation despite the existence of a suspension, revocation or refusal	Dependent on your response to 98

Document Upload – Enrolment

The below documents must be uploaded onto SProc.Net as part of your Enrolment submission:

Document Type	What is required to pass review?	
Evidence of Public Liability Insurance	<p>Please upload</p> <p>Your company name, level of cover and the insurance expiry date must be visible within the document. If you do not have the relevant insurance at the time of your enrolment you must upload a statement committing to upload proof of a valid policy prior to starting delivery of any Service Agreement</p>	Mandatory
Evidence of Employers Liability Insurance	<p>Please upload</p> <p>Your company name, level of cover and the insurance expiry date must be visible within the document. If you do not have the relevant insurance at the time of your enrolment you must upload a statement committing to upload proof of a valid policy prior to starting delivery of any Service Agreement</p>	Mandatory
Safeguarding Policy	Please upload	Mandatory
Financial Documentation	Upload the required information set out in questions 66 -77, as applicable	Mandatory
Health and Safety Policy	Please upload	Mandatory
Business Continuity Plan	Please upload	Mandatory
Operating Licence/Licences	Please upload	Mandatory
Equality and Diversity Plan	Please upload	Mandatory
Contract Details	Upload a completed contract reference document or a statement of up to 500 words explaining why you are unable to provide contract details	Mandatory
European Single Procurement Document	Please upload	Optional

4.6 EVALUATION METHODOLOGY – ENROLMENT

4.6.1 Grounds for Mandatory and Discretionary Exclusion

This area is assessed on a pass / fail basis in accordance with the evaluation approach set out in sections 4.1 and 4.2. Essentially suppliers will be excluded where they answer yes to the questions under the section setting out the grounds for mandatory exclusion and they may be excluded where they answer yes to the questions under the section setting out the grounds for discretionary exclusion unless in relation to either type of grounds they give explanations that satisfy the Council that they have taken adequate remedial action.

4.6.2 Economic and Financial Standing

4.6.2.0 To assess your organisation's financial viability a credit check will be undertaken. Any organisation that has a Delphi Score of high, maximum or undetermined risk will have a full financial evaluation undertaken in accordance with the criteria set out below.

A. A full financial assessment in accordance with the criteria below may also be carried out in the following instances: where during the monitoring process, the Council becomes aware of a significant change to an organisation's financial standing;

4.6.2.1 Financial viability evaluations will be done based on a risk analysis of financial information provided by the supplier. The financial information provided will be evaluated in a number of ways. It will be used to calculate a number of financial ratios for evaluating the financial well-being of your organisation and of any organisations seeking to be involved in tendering for Service Agreements with your organisation.

4.6.2.2 Your submitted information will be assessed using the following criteria:

Where a supplier is a subsidiary of a parent company (and will be providing a parent company guarantee) or is a member of a consortium, then all of the information requested in this section 4.6.2 is required from both the supplier and the parent company or from each

consortium member. Please note that the financial statements of the supplier, parent company and all consortium members are to be provided where applicable.

If you are applying as a consortium and/or propose to sub-contract any material part of the provision of the services that may be awarded under this DPS, each consortium member (in the case of a consortium bid) and each material sub-contractor in addition to the supplier in the case of a prime contractor/sub-contractor arrangement) will be required to submit its financial information, which will then be assessed in line with the evaluation criteria set out below. The Council reserves the right to eliminate a supplier (and all members of the relevant consortium/both the prime contractor and its sub-contractors) from the Enrolment process where (in the case of a consortium bid) any consortium member fails the financial assessment or (in the case of any prime contractor/sub-contractor arrangement) either the supplier as prime contractor or any material sub-contractor fails the financial assessment.

A financial assessment that results in a score of 15 or below will be referred for further review at which your organisation may be required to submit supplementary information.

A decision as to whether your organisation passes or fails a financial evaluation will be at the sole discretion of the Council. A fail will result in your organisation being eliminated from the Enrolment process.

Score	Outcome
0-15	Fail
16-40	Pass

Note: Suppliers are advised to check their credit report with Experian for any inaccuracies that can be rectified before the Council obtains the report for financial evaluation.

If a credit report is unavailable, the Council's Finance Team will carry out an assessment based on risk analysis of overall financial statements supplied by the supplier and will apply the scores accordingly.

4.6.2.3 Established companies trading for longer than 3 years

Established companies trading for longer than 3 years are required to provide audited or independently examined company financial accounts that provide figures for **at least the past two years** of trading.

4.6.2.4 New companies trading for 3 years or less.

Companies trading for 3 years or less are required to provide the following information:

(a) Companies trading 2-3 years:

To provide **minimum one year's audited accounts**.

If an organisation is unable to provide 2 years of audited trading figures, then they should also provide:

- (i) **cash flow forecast for next 3-5 years**; projected profit and loss; and
- (ii) projected year end balance sheet position for the current year of trading

The statements at (i) and (ii) above must be certified by a qualified accountant or independent auditor.

(b) Companies trading less than 2 years:

To submit:

- (i) one year's audited accounts; and
- (ii) a statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet.

If no audited accounts, then:

- (iii) A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet;
- (iv) Cash flow forecast for next 3-5 years; and
- (v) A bank letter outlining the current cash and credit facility position available to the company

The statements in (i) to (iv) must be certified by a qualified accountant or independent auditor

4.6.2.5 The following methodology will be used to calculate the scores for established companies trading for longer than 3 years and new companies trading for 3 years or less

1.	Net Profit Margin %	
	Range	Score
	> 10	5
	9 - 10	4
	7 - 8	3
	5 - 6	2
	3 - 4	1
	0 - 2	0
2.	Current Asset Ratio %	
	Range	Score
	> 2.5	5
	2.1 - 2.5	4
	1.8 - 2.0	3
	1.5 - 1.7	2
	1.1 - 1.4	1
	0 -1.0	0
3.	Return on Capital Employed (ROCE) %	
	Range	Score
	> 20	5
	> 16 - 20	4
	> 11 – 15	3
	> 6 – 10	2
	> 0 – 5	1
	0	0
4.	Gearing %	
	Range	Score
	0	5
	1 - 5	4
	6 - 15	3
	16 - 25	2
	26 – 40	1
	> 40	0
5.	Credit Rating / Risk Analysis	
	Range	Score
	Minimum, low or very low risk	20
	Lower than average risk	15

Higher than average risk	10
High, maximum or undetermined risk	0
Definitions	
1. Net profit margin	PBIT / Turnover as a %
2. Current ratio	Current Assets / Current Liabilities
3. ROCE	Profit before Interest & Tax / Total Assets less Current Liabilities
4. Gearing	Total long term debt / Capital Employed
5. Credit Rating	Based on Experian credit report if available; if, unavailable assessed by the Council's Finance Team based on risk analysis of overall financial statements supplied.

4.6.2.6 Not-For-Profit (NFP) organisations

NFP organisations must submit the following:

- (a) Organisations trading 3 years or more
Must provide audited or independently examined company financial accounts that provide figures for at least the past two years of trading.

- (b) Organisations trading 2-3 years

To provide minimum 1 year's audited accounts.

If this does not indicate 2 years of audited trading figures, then you should also provide a cash flow forecast for next 3-5 years; projected P&L and projected year end balance sheet position for the current year of trading

These statements must be certified by a qualified accountant or independent auditor

- (c) Organisations trading less than 2 years

- (i) To provide minimum of 1 year's audited accounts.

If no audited accounts are available, then you must provide:

- (ii) A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and an end year balance sheet;
- (iii) Cash flow forecast for next 3-5 years; and
- (iv) A bank letter outlining the current cash and credit facility position available to the company.

The statements in (ii) and (iii) must be certified by a qualified accountant or independent auditor).

4.6.2.7 The following methodology will be used to calculate the scores for Not-For-Profit (NFP) organisations

1. Current Asset Ratio

Range	Score
> 2.5	5
2.1 - 2.5	4
1.8 - 2.0	3
1.5 - 1.7	2
1.1 - 1.4	1
0 -1.0	0

2. Gearing %

Range	Score
0	5
1 - 5	4
6 - 15	3
16 - 25	2
26 – 40	1
> 40	0

3. Defensive Interval also known as ‘Cash to Expenses’ ratio

Cash + Marketable Securities + Receivables
Average Monthly Expenses

Range	Score
12	5
9-11	4
6-8	3
3-5	2
1-2	1
0	0

4. Turnover to Net Assets ratio (%)

Turnover
Net Assets

Range	Score
> 20	5
16 - 20	4
11 - 15	3
6 - 10	2
1 - 5	1
0	0

5. Credit Rating / Risk Analysis

Range	Score
Minimum, low or very low risk	20
Lower than average risk	15
Higher than average risk	10
High, maximum or undetermined risk	0

4.6.3 Other organisations involved in your tender and/or any guarantor(s).

The Council will use the information that you provide in response to questions 72 - 76 to evaluate the economic and financial standing of those organisations involved in your tender and/or any guarantor(s).

Pass – If you have answered Yes to question 72, the Council may require you to submit parent company accounts and a guarantee

If you have answered 'Yes' to 76, the Council may require you to submit the guarantee.

The Council will carry out a financial risk assessment of the parent company or guarantor(s) and reserves the right to eliminate the supplier from the Enrolment process where the parent company or guarantor(s) fails the financial risk assessment. Please refer to paragraph 4.6.2.1 to 4.6.2.7. for the evaluation methodology.

Fail - The supplier states 'Yes' in response to question 72 or question 75 but fails to provide the relevant information, upon request by the Council;

Or

the supplier states 'Yes' in response to question 72 but states 'No' in response to question 75 or vice versa and has not provided a sufficient explanation.

4.6.4 Technical and Professional Ability

4.6.4.1 Relevant experience and contract examples

The Council has requested details of up to three contract examples demonstrating experience that are relevant to its requirements. Suppliers are asked to submit details of contracts where the named customer contact is prepared to provide written evidence to the Council to confirm the accuracy of the information provided.

By providing the contract details requested, the supplier is agreeing to waive, for the purposes of this Accreditation and Enrolment process, any contractual or other confidentiality rights and obligations associated with the contract details provided.

The Council reserves the right to contact the named customer contact in Section 4.4 regarding the contract examples.

This section will be evaluated using the following Pass/Fail criteria:

Pass – The supplier has provided the requested details for up to 3 relevant contracts in response to question 78 and the feedback is consistent with the experience and ability required to carry out the services or at least casts no doubt on the supplier's experience and ability or if the supplier provided a satisfactory explanation in response to question 81 which demonstrates that the supplier has the technical and professional ability to perform in some other way that still shows relevance to the Council's requirements. The Council reserves the right to request additional feedback from the contract contacts where necessary to be satisfied about the supplier's experience and ability.

If a supplier does not intend to use sub-contractor(s) and stated 'no' in response to question 79; or provided a satisfactory explanation and sufficient evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

Fail - The supplier has not provided any relevant contract details in response to question 78 and has not provided a satisfactory response to question 81 or has provided limited evidence to demonstrate experience relevant to the Council's requirements; or if the supplier provides feedback in response to question 78 which casts doubt on the supplier's experience and ability to carry out services and the supplier is unable to provide a satisfactory response to the Council's request for further information.

In response to question 80, the supplier has indicated that it intends to use sub-contractor(s) in delivering the required Services and has provided an unsatisfactory explanation and/or insufficient supporting evidence to demonstrate its ability to maintain healthy supply chains with the sub-contractor(s).

4.6.4.2 Modern Slavery Act 2015

The Council as a contracting authority is required to determine if suppliers are relevant commercial organisations (as defined by Section 54 of the Modern Slavery Act 2015) and, if so, if they comply with:

The annual reporting requirements contained within Section 54 of the Modern Slavery Act 2015.

If the supplier ticks 'Yes' and provides the relevant url link or if the supplier is not a relevant commercial organisation and so ticks 'No' then this will be accepted by the Council.

This section will be evaluated using the following Pass/Fail criteria:

Pass – The supplier states 'No' in response to question 82. Or the supplier states 'Yes' in response to question 82 and provides the relevant url link in response to questions 83 and 84. Or the supplier states 'Yes' in response to question 82 and states 'No' in response to question 83 but provides a satisfactory explanation and commitment to comply in future in response to question 85.

Fail – The supplier states 'Yes' in response to question 82 and question 83 but fails to provide the relevant url link in question 84. Or the supplier states 'Yes' in response to question 82 but states 'No' in response to question 83 and has not provided a sufficient explanation and commitment to comply in future in response to question 85.

4.6.5 Additional Questions

The questions in this section will be evaluated on Pass/Fail basis.

4.6.5.1 Insurances

Your response to questions 86 and 87 will be evaluated using the following Pass/Fail criteria:

Pass – The supplier answered 'Yes' to confirm that either it has the necessary insurance levels in place at the time of completing the Enrolment information or it can commit to obtain the required levels if successful prior to starting delivery of any Service Agreement.

Fail – The Supplier answered ‘No’ and so has not confirmed that it already has the required levels of insurance or that it can commit to obtaining them in time. Alternatively, the supplier does not answer the question.

4.6.5.2 Operational Policies

The following evaluation matrix will be used to evaluate your responses to questions 88 – 93

Evaluation Matrix		
Assessment	Score	Interpretation
Excellent	5	Clear demonstration by the Supplier of an excellent level of relevant experience, ability, flexibility, understanding, skills, resource and/or quality measures. Appropriate evidence provided to support the response.
Good	4	Clear demonstration by the Supplier of a good level of relevant experience, ability, flexibility, understanding, skills, resource and/or quality measures. Appropriate evidence provided to support the response.
Acceptable	3	Demonstration by the Supplier of an acceptable level of relevant experience, availability, understanding, skills, resource and/or quality measures. Appropriate evidence provided to support the response.
Reservations	2	Some reservations in respect of the Supplier's relevant experience, ability, flexibility, understanding, resources and /or quality measures, with little or no evidence to support the response.
Serious Reservations	1	Considerable reservations in respect of the Supplier's relevant experience, ability, flexibility, understanding, skills, resource and/or quality measures. Little or no evidence to support the response.
Unacceptable	0	Inappropriate and irrelevant response and/or insufficient information provided to demonstrate that the Supplier has the experience, ability, understanding, skills, resource and/or or quality. Little or no evidence provided to support the response.

Any supplier whose response scores 2 or below will fail this part of the Enrolment process and will not be admitted on to the DPS.

Your response to questions 94, 95, and 96 will be evaluated using the following Pass/Fail criteria:

- Pass – The supplier answered 'Yes'
- Fail - The supplier answered 'No'

4.6.5.3 Licencing

Your response to question 97 will be evaluated using the following Pass/Fail criteria:

- Pass – The supplier answered 'Yes' to confirm that their business holds one or both of the specified licences and uploaded one or both of them, as applicable.
- Fail – The supplier answered 'No' and so has not been able to confirm that their business holds either of the specified licences OR the Supplier answered 'Yes' but did not upload a copy of the specified licence(s).

Your response to question 98 and 99 will be evaluated using the following Pass/Fail criteria:

- Pass – the supplier has answered 'No' to confirm that it has never had its Operating Licence suspended, revoked or refused OR it has answered 'Yes' but has demonstrated in its response to Q99 what measures have been taken to ensure it is able to provide a reliable service.
- Fail – the supplier has answered 'Yes' to confirm it has had its Operating Licence suspended, revoked or refused and it has either failed to answer Q99 or provided an answer that fails to demonstrate that it has taken measures to ensure it is able to provide a reliable service

5.0 NEXT STEPS

For fuller technical details on how to create and submit your Enrolment information, please see the Registration, Accreditation and Enrolment User Guide available at Sproc.Net in the Help Library and at <http://demand.sproc.net>.

Once your Enrolment submission has been reviewed by the Council against the Entry Criteria set out in the Evaluation Methodology above, you will receive an email notification confirming whether or not your application has been approved.

If you are rejected at the Enrolment stage, you will be able to resubmit your Enrolment information one more time without waiting. Should the second attempt fail a supplier will have to wait 6 months before they can re-apply.

6.0 GLOSSARY

Accreditation – the first stage of the second step (Accreditation and Enrolment) of the process that a Supplier is required to complete in order to join the DPS. It involves responding to a series of questions and uploading documents.

Adam – *adam* HTT Limited trading as *adam* as the provider of SProc.Net, who will also act as the payment agent for the Council and for any other Customer that opts to use *adam* in this way.

Council – Haringey Council.

Customer – the Council or any Third Party Customer.

DPS – Dynamic Purchasing System used for the procurement of services.

Enrolment – the second stage of the second step (Accreditation and Enrolment) of the process that a Supplier is required to complete in order to join the DPS. It involves responding to a series of questions and uploading documents relating to the supplier's capabilities.

Entry Criteria – the criteria that a service provider must meet and maintain throughout the duration of the DPS in order to successfully complete and to retain their Accreditation and Enrolment in the DPS.

Entry Submission - the Accreditation and Enrolment information and documents which the Council requires a supplier to submit via SProc.Net as part of the Accreditation and Enrolment process.

Experian UK – a credit checking service.

Evaluation Methodology - the methodology which the Council will use to evaluate Entry Submissions against the Council's Entry Criteria, as set out in DPS Entry and Operation Guide Part 1, and which a Customer will use to evaluate Offers to rank suppliers in the process of awarding a Service Agreement, as set out in DPS Entry and Operation Guide Part 2.

Intermission – a hold on the delivery of Services whilst the Service Agreement remains in force.

Offer – your tender against a Requirement confirming that you are able to deliver the Services required and the Price for doing so.

Open for Offers Period – the period during which you are able to submit an Offer against a Requirement distributed by a Customer on the DPS.

Price - the Supplier's proposed costs for carrying out a Requirement as contained in an Offer.

Public Contract Regulations – the Public Contract regulations 2015, as amended from time to time, that govern how public sector procurements must be carried out.

Registration – the first step of the process that a Supplier is required to complete in order to join the DPS. It involves uploading onto the DPS certain basic information about the supplier's organisation.

Requirement – a request issued by the Council from time to time on the DPS identifying specific Services that the Council requires and for which it is seeking to award a Service Agreement.

Self-Billing Invoice - an invoice generated through Sproc.Net on the supplier's behalf in accordance with the Self-Billing Procedure.

Self-Billing Procedure – arrangements you sign up to as part of the Supplier Agreement in order for *adam* to generate invoices billing a Customer on your behalf and to process payments to you on behalf of the Customer.

Serious Default – a breach by the supplier of its obligations under a Service Agreement which in the reasonable opinion of the Customer materially prejudices the health, safety or welfare of a service user.

Service Agreement – the contract to deliver a Requirement issued by the Customer accepting your Offer and confirming agreement on what Services are going to be delivered and the Price for doing so.

Service Category – a category of service, as described in section 1.0 of DPS Entry and Operation Guide Part 1 and in the Council's Service Specification, in relation to which a supplier may be admitted to the DPS to provide Services.

Service Receipt – a weekly electronic record you must submit via the DPS to confirm the services you have delivered in the specified week. This is instead of sending the relevant Customer a paper invoice.

Service Specification – a description of the Services, that a Customer may require from time to time under the DPS as set out on <http://demand.sproc.net>.

Services – the **Passenger Transport Services** deliverable under the DPS in accordance with the Supplier Agreement as described, in relation to any Customer's Service Agreements, in each Customer's Service Specification.

SProc.Net – an internet based technology platform through which the Council will be operating the DPS for the procurement of Services by itself and by other Customers (web link is www.sproc.net).

Supplier Agreement – the overarching agreement between the Council and a supplier setting out how the Council and other Customers will award Service Agreements via the DPS and the terms and conditions applicable to such Service Agreements.

Third Party Customer any of the local authorities other than the Council which is identified in Section 1.0 of DPS Entry and Operation Guide Part 1 and which has been permitted by the Council to procure Services under the DPS.