

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

## 1. Introduction

The London Borough of Haringey (“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 for the procurement of **Peripatetic Music Teaching and Tuition** for the Council’s Adult Services Directorate department.

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

- Brass
- Percussion
- Strings
- Vocal
- Woodwind
- Keyboard
- Guitar

When applying for membership of the DPS, potential 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 as determined by their selections in relation to the Service Category.

When a contract is being awarded under the DPS, the council 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 **Peripatetic Music Teaching and Tuition** to the Council. 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 supply base which 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 further 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 **Peripatetic Music Teaching and Tuition** to the Council will have to join the DPS by registering and by submitting Accreditation and Enrolment information (an Entry Submission) online via [www.sproc.net](http://www.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 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 services described in the Council's Peripatetic Music Teaching and Tuition (the Services), which can be viewed at <http://demand.sproc.net>, against the Entry Criteria which will be evaluated on a pass / fail basis or such other basis as is explained further below.

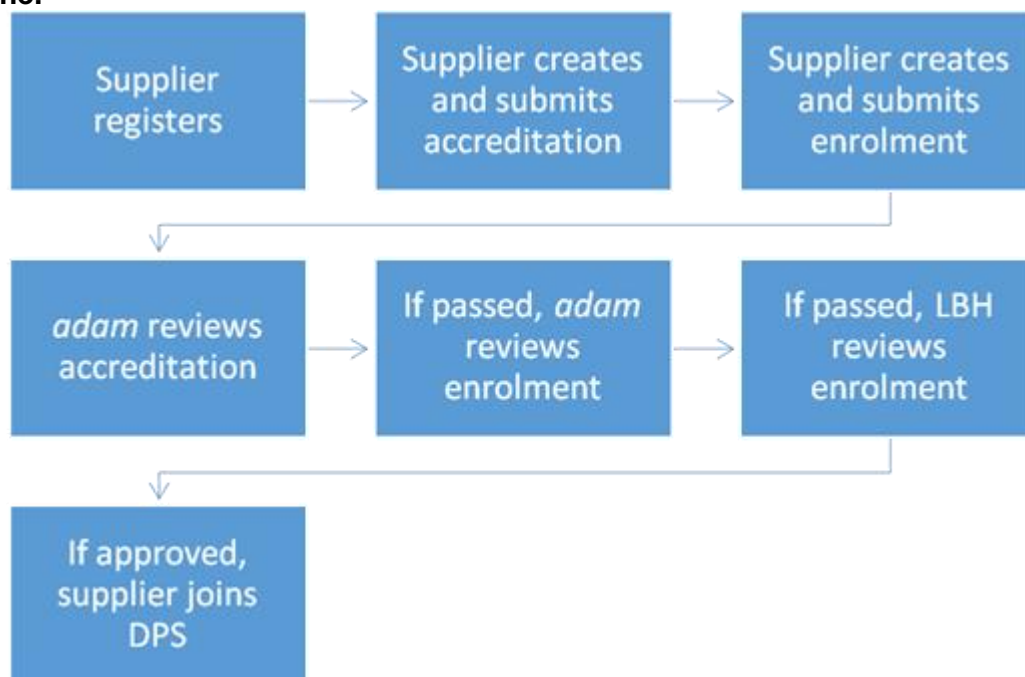
All successful and unsuccessful suppliers will be notified of the outcome of the evaluation of their Entry Submissions applying for Accreditation and Enrolment. A supplier will either be accepted onto the DPS or rejected and provided with feedback in order to enable it to re-apply at a later date should it wish to do so. Suppliers will have 1 additional opportunity to submit to Enrolment. In the event of failure to meet requirement following the second attempt, suppliers will have to wait 6 months before resubmitting.

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 the Council requires specific **Peripatetic Music Teaching and Tuition** 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 Council will normally award a Service Agreement for provision of the Services. The award will be to the supplier that best meets the Council'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 **Peripatetic Music Teaching and Tuition** will need to show that they meet the Council's Entry Criteria by applying online at [www.sproc.net](http://www.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 the system ([www.sproc.net](http://www.sproc.net)). An email will then be sent to you with a username and password to access the system and complete the remaining two stages. 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 at [www.sproc.net](http://www.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

At the Accreditation and Enrolment stages, your business must show that you meet the Council's Entry Criteria to be admitted onto the DPS as one of the Council's **Peripatetic Music Teaching and Tuition** suppliers. You must do so 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 3.2 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 [www.SProc.Net](http://www.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 potential 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 "potential supplier" is intended to cover any economic operator as defined by the Public Contracts Regulations.

2.3.3. The Entry Submission to be completed has been designed to assess the suitability of a potential supplier to deliver the Council's contract requirement(s). If you are successful at this Accreditation and Enrolment Stage 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 selection 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 selection must complete and submit the self-declaration.

2.3.8. All sub-contractors are required to complete questions 1 to 44 under paragraph 3.1

2.3.9. For answers to questions under paragraphs 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 consortium and/ or any sub-contractors, providing one composite response and declaration.

2.3.10. Save in respect of the contract details provided by potential 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 authority 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: Potential Supplier Information; Document Upload - Accreditation.

At the Accreditation stage, 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 through the DPS and to delivering any Services required in accordance with the Council's Music Service Specification in the event that you are successful in being 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) to the Council via SProc.Net in relation to each Service Agreement you are awarded and to being paid by *adam* on behalf of the Council.

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 Potential 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 their supply chain. It is not scored as the answers to the questions are for information only, but a potential supplier may be excluded on the grounds of providing insufficient or false information.

Please read, complete and sign the declaration statement. Please note that the declaration should be signed by you, the potential supplier, or a partner or authorised representative in his or her own name on behalf of the organisation.

	Question	Question Trigger
1	What is the full name of the potential 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 <a href="http://www.SProc.Net">www.SProc.Net</a> .	Dependent on response to Q43

### 3.3 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	
	Declaration Statement	Signed Declaration Statement uploaded to SProc.net	

### 3.4 Evaluation Methodology - Accreditation

Once you have completed your Accreditation, you should move straight onto completing the Enrolment part of your application. However, moving onto the Enrolment 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 reapply if appropriate.

Self-Certification – All organisations that have self certified will be required to upload all supporting documentation upon request by the Council 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 Peripatetic Music Teaching and Tuition to the Council.

Upon commencement of the Enrolment section 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 from the above 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, Project Specific Questions on Technical and Professional Ability (Trade Registration, Compliance with Legislation, and Document Upload - Enrolment.)

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

ESPD (Grounds relating to criminal convictions) - If you have answered 'Yes' to any of the questions in this section, please answer Enrolment Questions 3-7, 9-13, 15-19, 21-25, 27-31, 33-37.

ESPD (Grounds relating to the payment of taxes or social security contributions) - If you have answered 'Yes' to any of the questions in this section, please answer Enrolment Question 39.

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 Question 41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 61, 63, 65.

#### **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 questions 2, 4, 6, 8 10 or 12 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.

	<b>Enrolment Question</b>	<b>Question Trigger</b>
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 been convicted anywhere in the world of any of the offences within the summary below and listed at <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf</a> - 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 <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf</a> - 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 <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf</a> . - 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 <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf</a> . - 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 <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf</a> . - 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	Dependent on response to



	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 <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf</a> - Child labour and other forms of trafficking in human beings	Q1
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.

Any supplier that answers 'Yes' to questions 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62 and 64 below 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.

	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	Dependent on

	<p>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.</p> <ul style="list-style-type: none"> <li>- Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?</li> </ul>	response to Q1
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.	Dependent on response to Q1
	<ul style="list-style-type: none"> <li>- Guilty of grave professional misconduct?</li> </ul>	
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.	Dependent on response to Q1
	<ul style="list-style-type: none"> <li>- Entered into agreements with other economic operators aimed at distorting competition?</li> </ul>	
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.	Dependent on response to Q1
	<ul style="list-style-type: none"> <li>- Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?</li> </ul>	
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.	Dependent on response to Q1
	<ul style="list-style-type: none"> <li>- Been involved in the preparation of the procurement procedure?</li> </ul>	
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.	Dependent on response to Q1
	<ul style="list-style-type: none"> <li>- Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a</li> </ul>	

	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?	
57	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 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

You are classed as self-employed and no income tax will be deducted. You will be responsible for your own National Insurance contributions and Haringey Council will declare payments to the appropriate authorities upon request.

### 4.4 Technical and Professional Ability

The Council wants to ensure the capability of all suppliers admitted onto the DPS. Your response to these questions in section 4.4 will not be evaluated. However, to the extent that your responses elsewhere in the Enrolment process refer to these previous contracts, the Council may contact the relevant customers to verify your responses.

	Relevant experience and contract examples	
66	<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 69.</p>	
67	Does your organisation intend to sub-contract a proportion of the contract?	
68	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).</p> <p>Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).</p>	Dependent on response to Q67

69	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 Q66
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## Additional Questions

### Insurances

In order to supply services to the Council, the Council requires you 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 the Council. If you have the required cover, you must upload the insurance schedule as part of your application.

	Question	Question Trigger
70	Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below: Public Liability Insurance = £3 million Evidence uploaded can be any one of the following: Individual insurance certificate/letter; Musician's Union Membership Card; Email from NASUWT confirming current membership and end date; ISM Membership Card; Email from ISM confirming current membership and end date.	
	<b>Safeguarding</b>	
71	Do you hold a valid DBS certificate issued by Haringey Council	
72	Please insert your DBS number and date of issue	Dependent on "yes" response to Q71
73	Please self-certify that your DBS certificate is enhanced and clear	Dependent on "yes" response to Q71
74	Please confirm whether you have registered with the DBS Update Service	Dependent on "yes" response to Q71
75	Please self-certify that you understand that a DBS check will be carried out by Haringey Council and will be required prior to the commencement of any contract. Haringey Music Service reserve the right to suspend your enrolment if you do not successfully complete this process.	Dependent on "no" response to Q71
76	Please self-certify that you have read and understood the document 'Keeping Children Safe in Education 2018' document	

	this can be viewed at <a href="http://www.demand.sproc.net">www.demand.sproc.net</a> .	
77	Please self-certify that you have completed the Teacher Suitability Declaration document and uploaded this to the document section.	
78	Please self-certify that you have read and understood the HMS Safeguarding Policy and will attend, if requested by HMS, a 90 minute Safeguarding Children briefing	
	<b>Health and Safety</b>	
79	Please self-certify that you have read and understood the Health and Safety section of the Music Service Specification and when working in and Haringey School you will comply with the health and Safety procedures of the school.	
	<b>Professional Ability</b>	
80	Please self-certify that whether you have previously attended and passed an interview and audition in person with Haringey Music Service	
81	Please self-certify that you will attend an interview and audition in person with Haringey Music Service prior to the commencement of your first contract. This will take place post enrolment and if not passed HMS reserve the right to suspend your enrolment.	Dependent on "no" response to Q80
82	Please self-certify that you are proficient to at least Grade 8 in the instruments that you teach	
83	Please indicate how you ensure that you provide a reliable service	
	<b>National Insurance Number</b>	
84	Please provide your national insurance number	
	<b>Availability</b>	
85	Please outline your regular availability for teaching	
86	Please outline you availability for interview and audition	Dependent on "no" response to Q80

### Enrolment Documents

Document Type	What is required to pass review?	
Contract Details	Upload the completed contract reference document	Mandatory
European Single Procurement	A completed ESPD	Optional

Document (ESPD)	document (Please upload)	
Evidence of Public Liability Insurance	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	Mandatory
Teacher Suitability Declaration	Upload the completed Teacher Suitability Declaration	Mandatory
DBS Declaration	Upload the document entitled 'DBS Declaration' - The renewal date will be three years from the date of issue i.e. if the issue date is 01/09/2018 the renewal date will be 01/09/2021.	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 they give explanations that satisfy the Council that they have taken adequate remedial action.

### 4.6.2 Technical and Professional Ability

#### 4.6.2.1 Relevant experience and contract examples

The Council has requested details of up to three contract examples demonstrating experience that are relevant to its requirements. Potential 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 potential supplier is agreeing to waive, for the purposes of this selection 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 a Pass/Fail criterion.

Pass – The potential supplier has provided the requested details for up to 3 relevant contracts in response to question 66 or provided a satisfactory explanation in response to question 69 which demonstrates that the potential supplier has the technical and professional ability to perform in some other way that still shows relevance to the Council's requirements.

If potential supplier does not intend to use Sub-contractor(s) and stated 'no' in response to question 67; Or provided a satisfactory explanation and sufficient evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

Fail - The potential supplier has not provided any relevant contract details in response to question 66 and has not provided a satisfactory response to question 69 or has provided limited evidence to demonstrate experience relevant to the Council's requirements; Or

In response to question 67, potential supplier has indicated that Sub-contractor will be used in delivering the requirement services specified in this procurement and have provided insufficient explanation and supporting evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

### **4.6.3 Additional Questions**

This part of the evaluation will be on a Pass/Fail basis.

#### **4.6.3.1 Insurances**

Your response to question 70 will be evaluated using a **Pass/Fail** criterion.

- Pass – The potential Supplier answered 'Yes' to self-certify that either it has the necessary insurance levels in place at the time of completing the SQ or it can commit to obtain the required levels if successful prior to contract commencement.

- Fail – The potential Supplier self certifies that it does not already have the required levels of insurance and cannot commit to obtaining them in time. Or the potential supplier does not answer the question.

#### **4.6.4 Policies and Procedures – Safeguarding**

Your response to question 71.

- Pass – The potential Supplier answered 'Yes' to self-certify that it holds the relevant certificate
- Fail – The potential Supplier answered no to self-certify that it does not hold the relevant certificate. Or the potential supplier does not answer the question.

Your response to questions 72, 73 & 74

- Pass – The potential Supplier has provided the requested information
- Fail – The potential supplier has provided incorrect information. Or the potential supplier does not answer the question.

Your response to question 75

- Pass – The potential Supplier answered 'Yes' to self-certify that it understands a DBS check must be carried out prior to the commencement of any contract.
- Fail – The potential Supplier answered no to self-certify that it does not understand a DBS check must be carried out. Or the potential supplier does not answer the question.

Your response to questions 76 & 78.

- Pass – The potential Supplier answered 'Yes' to self-certify that it has read and understood the document referred to and will, if requested by HMS, attend a 90 minute Safeguarding briefing.
- Fail – The potential Supplier answered no to self-certify that it has not read and understood the document referred to and will not, if requested by HMS, attend a 90 minute Safeguarding briefing. Or the potential supplier does not answer the question.

Your response to question 77

- Pass – The potential Supplier answered 'Yes' to self-certify that it has uploaded the requested document
- Fail – The potential Supplier answered no to self-certify that it has not uploaded the requested

document. Or the potential supplier does not answer the question.

Your response to question 79

- Pass – The potential Supplier answered ‘Yes’ to self-certify that it has read and understood the section referred to.
- Fail – The potential Supplier answered no to self-certify that it has not read and understood the section referred to. Or the potential supplier does not answer the question.

Your response to questions 80 & 81

- Pass – The potential Supplier answered ‘Yes’ to self-certify that it has passed an interview and audition process or ‘Yes’ that it understands that this process must be passed prior to the commencement of any contract.
- Fail – The potential Supplier answered no to self-certify that it has not passed an interview and audition process and/or answered not that it does not understand that this process must be passed prior to the commencement of any contract. Or the potential supplier does not answer the question

## 5. Next Steps

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

Once your Enrolment submission has been reviewed by the Council against the Enrolment evaluation 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 a further two times, on the second time of applying the Council will contact the supplier. Should the 3rd attempt fail a supplier will have to wait 6 months before they can re apply.

## **GLOSSARY**

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

**Adam** – *adam* HTT Limited trading as *adam* as the provider of **SProc.Net**, who will also act as the Council's payment agent.

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

**Enrolment** – this is the second part of the second step (selection) of the process that a Supplier needs to complete in order to join the DPS. It involves submitting further information based on which the Council makes a subjective evaluation of the capability of your organisation to deliver services to the Council.

**Enrolment** – this is the second part of the second step (selection) 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.

**Evaluation Methodology** - the methodology the Council will use to evaluate Entry Submissions against the Council's Accreditation and Enrolment standards and to evaluate Offers to rank suppliers in the process of awarding a Service Agreement.

**Intermission** – a “hold” on the delivery of a service whilst the Service Agreement remains in force.

**Offer** – your tender against a Requirement confirming that you are able to deliver the Services required and at what price.

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

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

**Registration** – this is the first step of the process that a Supplier is required to complete when joining the supply chain, 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 describing the specific Services that the Council requires and for which it is seeking to award a Service Agreement.

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

**Service Agreement** – this is the contract to deliver a Requirement issued by the Council accepting your Offer and confirming agreement on what Services are going to be delivered and at what price.

**Service Category** – a category of service, as described in section 1.0 of DPS Entry and Operation Guide Part 1 and in the Peripatetic Music Teaching and Tuition Specification (as the case may be), in relation to which a supplier may be admitted to the DPS to provide Services.

**Service Receipt** – this is 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 Council a paper invoice.

**Services** – These are the Peripatetic Music Teaching and Tuition (as the case may be) that the Service Provider will provide where required by the Council from time to time in accordance with the Supplier Agreement as more fully described in the Peripatetic Music Teaching and Tuition Specification (as the case may be) and further detailed by a Requirement.

**SProc.Net** – this is an internet based technology platform through which the Council will be operating the DPS to procure Services (web link is [www.sproc.net](http://www.sproc.net)).

**Supplier Agreement** – This is the overarching agreement between the Council and a supplier setting out how the Council will award Service Agreements via the DPS for the

delivery of specific Services and the terms and conditions applicable to such Service Agreements.