

VOLUME 5 – SELECTION QUESTIONNAIRE

Contract title	THE PROVISION OF A MANAGEMENT INFORMATION SYSTEM & FINANCIAL ACCOUNTING SYSTEM FOR SCHOOLS & ACADEMIES
Contract ID	DN212852
Type of supply	SUPPLIES with SERVICES elements
Type of contract	FRAMEWORK
Contract start date	17 th January 2017
Contract end date	31 st March 2021
Possible extensions (<i>if applicable</i>)	31 st March 2023
Estimated total contract value	£2,000,000 - £30,000,000

TENDER CLOSING DATE: Noon on 21st November 2016

**MUST BE RETURNED AS PART OF YOUR APPLICATION
SUBMISSION**

Standard Selection Questionnaire

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

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

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

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

Supplier Selection Questions: Part 3

The procurement document will provide instructions on the selection questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

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

Consequences of misrepresentation

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences. You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

Notes for completion

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the

question does not apply to you, please state 'N/A'. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.

4. The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.
6. For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

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

Please indicate on the table below which Lots you are bidding to be appointed to:

Name of Lot	Please Tick
Lot 1 – MIS for Primary Schools and Academies	
Lot 2 – MIS for Secondary Schools and Academies	
Lot 3 – FAS for LA Maintained Primary Schools	
Lot 4 – FAS for LA Maintained Secondary Schools	
Lot 5 – FAS for Primary Academies and MATs	
Lot 6 – FAS for Secondary Academies and MATs	

Please ensure when responding that you also include your full pricing documents along with your Information Pack.

Part 1: Potential supplier Information

1. Supplier Information

Scoring Criteria - Information only

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

A supplier may be excluded on the grounds of providing insufficient or false information.

1.1. Supplier details	Response	
Full name of the potential supplier submitting the information.		
Registered office address (if applicable)		
Registered website address (if applicable)		
Type of Organisation <i>Please mark 'X' in the relevant box to indicate your trading status</i>	<input type="checkbox"/>	Public limited company
	<input type="checkbox"/>	Limited company
	<input type="checkbox"/>	Limited liability partnership
	<input type="checkbox"/>	Other partnership
	<input type="checkbox"/>	Sole trader
	<input type="checkbox"/>	Third sector
	<input type="checkbox"/>	Other (<i>please specify your trading status</i>):
Date of registration in country of origin		
Company registration number (if applicable)		
Charity registration number (if applicable)		
Head office DUNS number (if applicable)		
Registered VAT number		
If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No
	<input type="checkbox"/>	Not applicable
If yes, please provide the relevant details, including the registration number(s).	Details Registration number:	

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? If yes, please provide additional details of what is required and confirmation that you have complied with this.	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No
	Details	
Trading name(s) that will be used if successful in this procurement		
Relevant classifications <i>Please mark 'X' in the relevant box to indicate whether you fall within one of these classifications</i>	<input type="checkbox"/>	Voluntary, Community and Social Enterprise (VCSE)
	<input type="checkbox"/>	Sheltered workshop
	<input type="checkbox"/>	Public service mutual
Are you a Small, Medium or Micro Enterprise (SME)?	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No

Details of Persons of Significant Control (PSC), where appropriate: <i>(Please enter N/A if not applicable)</i>		
- Name		
- Date of birth		
- Nationality		
- Country, state or part of the UK where the PSC usually lives		
- Service address		
- The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);		
- Which conditions for being a PSC are met	<input type="checkbox"/>	Over 25% up to (and including) 50%,
	<input type="checkbox"/>	More than 50% and less than 75%
	<input type="checkbox"/>	75% or more.

Details of immediate parent company: <i>(Please enter N/A if not applicable)</i>	
- Full name of the ultimate parent company	

- Registered office address (if applicable)	
- Registration number (if applicable)	
- Head office DUNS number (if applicable)	
- Head office VAT number (if applicable)	

Details of ultimate parent company: <i>(Please enter N/A if not applicable)</i>	
- Full name of the ultimate parent company	
- Registered office address (if applicable)	
- Registration number (if applicable)	
- Head office DUNS number (if applicable)	
- Head office VAT number (if applicable)	

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

1.2. Bidding model

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

a) i) Are you bidding as the lead contact for a group of economic operators?	<input type="checkbox"/>	Yes
	<input type="checkbox"/>	No

*If **yes**, please provide details listed in questions 1.2 a) ii), a) iii) and to 1.2 b) i), b) ii), 1.3, Section 2 and 3.*
*If **no**, and you are a supporting bidder please provide the name of your group at 1.2 a) ii) for reference purposes, and complete 1.3, Section 2 and 3.*

a) ii) Name of group of economic operators (if applicable)	
a) iii) Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure.	
b) i)	<input type="checkbox"/> Yes

Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	<input type="checkbox"/>	No
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b) ii) If you responded yes to 1.2 b) i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.

	Sub-Contractor #
Name	
Registered address	
Trading status	
Company registration number	
Head Office DUNS number (if applicable)	
Registered VAT number	
Type of organisation	
SME (Yes/No)	
The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables	
The approximate % of contractual obligations assigned to each sub-contractor	

1.3. Contact Details and Declaration

I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement.

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

Contact Name	
Name of Organisation	
Role in Organisation	
Phone number	
E-mail address	
Postal address	
Signature (electronic is acceptable)	

Date	
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Part 2: Exclusion Grounds

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

Section 2 Grounds for mandatory exclusion

2.1 (a)	<p>Regulations 57(1) and (2)</p> <p>The detailed grounds for mandatory exclusion of an organisation are set out on this web page, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the webpage.</p> <p><i>(Please indicate your answer by marking 'X' in the relevant box)</i></p> <table border="1"> <thead> <tr> <th></th> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>Participation in a criminal organisation</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Corruption</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Fraud</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Terrorist offences or offences linked to terrorist activities</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Money Laundering or terrorist financing</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Child labour and other forms of trafficking in human beings</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </tbody> </table>		Yes	No	Participation in a criminal organisation	<input type="checkbox"/>	<input type="checkbox"/>	Corruption	<input type="checkbox"/>	<input type="checkbox"/>	Fraud	<input type="checkbox"/>	<input type="checkbox"/>	Terrorist offences or offences linked to terrorist activities	<input type="checkbox"/>	<input type="checkbox"/>	Money Laundering or terrorist financing	<input type="checkbox"/>	<input type="checkbox"/>	Child labour and other forms of trafficking in human beings	<input type="checkbox"/>	<input type="checkbox"/>
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Child labour and other forms of trafficking in human beings	<input type="checkbox"/>	<input type="checkbox"/>																				
2.1 (b)	<p>If you have answered yes to question 2.1 (a), please provide further details.</p> <ul style="list-style-type: none"> • Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, • Identity of who has been convicted • If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. <p><u>Details</u></p>																					

2.2	<p>If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)</p>	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
2.3 (a)	<p>Regulation 57(3)</p> <p>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</p>	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No

	security contributions?		
2.3 (b)	If you have answered yes to question 2.3 (a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.		
	<u>Details</u>		

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

Section 3 Grounds for discretionary exclusion

3.1	Regulation 57 (8) The detailed grounds for discretionary exclusion of an organisation are set out on this web page , which should be referred to before completing these questions. Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. <i>(Please indicate your answer by marking 'X' in the relevant box)</i>		
		Yes	No
3.1 (a)	Breach of environmental obligations?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (b)	Breach of social obligations?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (c)	Breach of labour law obligations?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (e)	Guilty of grave professional misconduct?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (f)	Entered into agreements with other economic operators aimed at distorting competition?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (g)	Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (h)	Been involved in the preparation of the procurement procedure?	<input type="checkbox"/>	<input type="checkbox"/>
3.1 (i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	<input type="checkbox"/>	<input type="checkbox"/>

3.1 (j)	Please answer the following statements?		
	(i) The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	<input type="checkbox"/>	<input type="checkbox"/>
	(ii) The organisation has withheld such information.	<input type="checkbox"/>	<input type="checkbox"/>
	(iii) The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.	<input type="checkbox"/>	<input type="checkbox"/>
	(iv) The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.	<input type="checkbox"/>	<input type="checkbox"/>
3.2	If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)		
	<u>Explanation</u>		

Part 3: Selection Questions

Section 4 Economic and Financial Standing

Supplier guidance:

This section will be used to assess the overall financial stability of your organisation. The threshold for each question is that the requested information is provided. The threshold for the whole of section 4 is that the authority is satisfied with your organisation's financial stability.

In assessing an organisation's financial stability, the Authority will review the accounts and any relevant accompanying financial information submitted. They will calculate profit and working capital ratios and net worth and review turnover levels, observing trends over recent years.

Financial references and internal credit checks will be undertaken to analyse your organisation's financial position and determine the level of risk it would represent to the authority, having regard to the contract requirement and value, criticality and the nature of the market. The assessment of risk is based on sound business judgement rather than just a mechanistic application of financial formulae. If the authority deems the financial position of the organisation to be acceptable, the threshold is passed.

Depending on timescales, further financial checks may be carried out by the authority between receipt of tenders and contract award which may impact on the contract award decision.

		Yes	No
4.1.	Are you able to provide a copy of your audited accounts for the last two years, if requested? If no, can you provide one of the following (<i>answer with Y/N in the relevant box</i>):	<input type="checkbox"/>	<input type="checkbox"/>
	a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.	<input type="checkbox"/>	<input type="checkbox"/>
	b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.	<input type="checkbox"/>	<input type="checkbox"/>
	c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).	<input type="checkbox"/>	<input type="checkbox"/>
4.2.	Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out.	<input type="checkbox"/>	<input type="checkbox"/>

Section 5 Supplier Relationship

5.	If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:		
	Name of Organisation		
	Relationship to the Supplier completing these questions:	Yes	No
5.1.	Are you able to provide parent company accounts if requested to at a later stage?	<input type="checkbox"/>	<input type="checkbox"/>
5.2.	If yes, would the parent company be willing to provide a guarantee if necessary?	<input type="checkbox"/>	<input type="checkbox"/>
5.3.	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	<input type="checkbox"/>	<input type="checkbox"/>

Section 6 Technical and Professional Ability

The threshold requirement applies to two elements and is met when –

- 1) confirmation that the Authority can contact the referees is given and
- 2) one or more references are received and none of them are unsatisfactory, i.e. if an unsatisfactory reference is received the Authority may exclude the organisation from the tender shortlist. Details should be provided for up to three contracts. Please note for each contract to be evaluated the referees must be from different organisations

6.	Relevant experience and contract examples	
6.1	<p>Please provide 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>	T

Contract 1

Name of customer organisation	
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Point of contact in customer organisation Position in the organisation E-mail address	
Contract start date: Contract completion date: Estimated Contract Value:	
Please provide a brief description of the contract delivered including evidence as to your technical capability in this market. Max 500 word count	

Contract 2	
Name of customer organisation	
Point of contact in customer organisation Position in the organisation E-mail address	
Contract start date: Contract completion date: Estimated Contract: Value	
Please provide a brief description of the contract delivered including evidence as to your technical capability in this market. Max 500 word count	

Contract 3	
Name of customer organisation	
Point of contact in customer organisation Position in the organisation E-mail address	
Contract start date: Contract completion date: Estimated Contract: Value	
Please provide a brief description of the contract delivered including evidence as to your technical capability in this market. Max 500 word count	

6.2.	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 is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including	I
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	prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries)	
	Response:	

Section 7 Modern Slavery Act 2015

7.	Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015		
Commercial organisations are defined as business or part of business in the UK, supply goods or services and have an annual turnover of £36M or more.			
		Yes	No
7.1.	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	<input type="checkbox"/>	<input type="checkbox"/>
7.2.	If you have answered yes to question 7.1 are you compliant with the annual reporting requirement contained within Section 54 of the Act 2015?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes, please provide relevant URL:		
	If no, please provide an explanation.		
	<u>Response</u>		

Section 8 Additional Questions

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

8.1 – Insurance

Please self-certify whether you already have the following:

<i>Please indicate your answers by marking 'X' in the relevant box</i>		Yes	No	Score
a)	Employer's (Compulsory) Liability Insurance = £10,000,000 <i>It is a legal requirement that all companies hold Employer's (Compulsory) Liability Insurance of £5,000,000 as a minimum.</i> Please note this requirement is not applicable to Sole Traders.	<input type="checkbox"/>	<input type="checkbox"/>	I
b)	Public Liability Insurance = £5,000,000	<input type="checkbox"/>	<input type="checkbox"/>	I
c)	Professional Indemnity Insurance = £2,000,000	<input type="checkbox"/>	<input type="checkbox"/>	I
d)	Product Liability Insurance - Not applicable	<input type="checkbox"/>	<input type="checkbox"/>	I
e)	If your current cover is less than the minimum indicated above, CONFIRM you would be prepared to increase your level of cover accordingly if awarded the contract.	<input type="checkbox"/>	<input type="checkbox"/>	T

8.2 – Health and Safety

All UK employers with more than five employees are obliged to have a health and safety policy, signed and dated and updated regularly. The contracting authority should allow potential providers to self-certify that they have a health and safety policy in place and should not require a company with less than five employees to have a health and safety policy unless this is relevant to the procurement.

Additional contract-specific questions may be asked where relevant. Care should be taken to ensure these are asked at the appropriate stage of the procurement.

Examples might include questions related to:

- induction and training of employees;
- drug and alcohol misuse;
- control of substances hazardous to health;
- risk assessments; or
- monitoring the track record and health and safety
- competence of subcontractors.

<i>Please indicate your answers by marking 'X' in the relevant box</i>		Yes	No	Score
a)	Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements.	<input type="checkbox"/>	<input type="checkbox"/>	T

b)	<p>Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?</p> <p>If your answer to this question was “Yes”, please provide details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.</p> <p>The authority will exclude bidder(s) that have been in receipt of enforcement/remedial action orders unless the bidder(s) can demonstrate to the authority’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.</p>	<input type="checkbox"/>	<input type="checkbox"/>	T
c)	<p>If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?</p> <p><i>If N/A tick both ‘Yes’ and ‘No’.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>	T

8.3 – Lot Specific Questions		
LOTS 1 & 2 – SPECIFIC QUESTIONS Management Information System for LA Maintained Schools, Academies & MATs		
		Marks
Capacity & Business Growth		
1	<p>Please provide a detailed overview of your service ethos. Your answer will be expected to cover:</p> <ul style="list-style-type: none"> • A breakdown of your current users of your Management Information System (MIS)? Please list by: <ul style="list-style-type: none"> • Local Authority, • School phase (please detail by primary, secondary, special and other) • Local Authority Maintained Schools and Academies • Licences issued. • Your planning and maintenance of continuity and quality of your service delivery; • Your approach to continuous improvement and best value for your products. <p>Word Count: 1,000 words</p>	4%
Answer		
New Technologies & Innovation		
2	Please detail exactly how you will communicate developments to your potential customers through this framework. Your response will need to include at least:	9%

	<ul style="list-style-type: none"> Your methodology for ensuring customers are kept informed of developments; The levels of input into the development of systems i.e. future functions, reporting; Your testing and development regime; Your methods for ensuring customers receive the most effective range of technologies and innovation. <p>Word Count: 1,000 words</p>	
Answer		
Achieving Educational Improvement		
3	<p>Tell us how your system supports and influences management teams in schools to improve educational services to their students. Your response should reflect, as a minimum:</p> <ul style="list-style-type: none"> Demonstrable support for school improvement; Available outputs that meet statutory returns; Other non-statutory reporting/dashboards that are available. <p>Word Count: 500 words</p>	2%
Answer		
Functionality		
4	<p>Please tell us in detail about the functionality of your system. Your answer must address as a minimum:</p> <ul style="list-style-type: none"> Your system complies with the common dataset; Whether you have a core product set and if so, what this entails; The number and range of formats your system is capable of reporting in; Addition functionality e.g. analysing attendance, assessment, reporting to parents, behaviour SEN management etc. for all school types; Dealing with exams, timetabling and staff cover; Keeping abreast of statutory requirements for data. <p>Word Count: 1,500 words</p>	9%
Answer		
Technical Requirements		
5	<p>Please provide a detailed explanation of how your system operates, to include:</p> <ul style="list-style-type: none"> The recommended hardware, software and infrastructure to optimise operational effectiveness; Details of any installation and configuration work required either by the Council or schools; Confirmation that all modules will operate fully on standard platforms such as Windows, IOS, Android. If not, what platforms do they operate on? Whether the service can be hosted locally or centrally, given the Council will not host any systems; 	9%

	<ul style="list-style-type: none"> • The minimum required bandwidth; • Your commitment to support on-going technical developments; • Copies of the documentation you provide to the Council's/schools technical staff and end users of the system. <p>Word Count: 1,500 words</p>	
Answer		
Implementation & Training		
6	<p>Please tell us in detail how you will support a school to transition from one system to adopt your system and the Council to deliver first line support. Your answer must include:</p> <ul style="list-style-type: none"> • A detailed implementation plan outlining the timescales, milestones and resources from all parties required to implement such transition for the following number of schools: 1 – 5, 6 – 20, 21 – 50, 51 – 100; • The level of data transfer available; • The training required at the school and timescales; • Whether your training is an accredited qualification and to what level; • The training materials, resources and documentation included in the training fee as well as what is excluded/optional and at what cost; • Your proposals to deliver a training programme for both the Council and schools. <p>Word Count – 1,500 words</p>	7%
Answer		
Security & Disaster Recovery		
7	<p>Please provide full details of your security and disaster recovery systems? Your response must include reference to:</p> <ul style="list-style-type: none"> • data confidentiality, integrity and availability; • auditing functionality; • incorporating guidance from the DfE or ICO; • contingency arrangements; • locations of primary and secondary support systems; • the checks you undertake on your staff who access children's data and who visit schools. <p>Word Count – 1,000 words</p>	5%
Answer		
Upgrades		
8	<p>Please provide a detailed explanation of how you implement upgrades. Your response will be expected to address:</p> <ul style="list-style-type: none"> • Release and planning programmes; • Testing procedures; • Confirmation there will be no costs associated with upgrades. 	2.5%

	Word Count: 750 words	
Answer		
Contract Management		
9	<p>Please detail how you propose to manage this Contract. Your response should include at least:</p> <ul style="list-style-type: none"> • How you ensure on-going customer satisfaction; • How you achieve on-going value for money; • Your arrangements for adopting a collaborative approach; • How you ensure communications and relationships are maintained; • How you communicate offers and opportunities to customers. <p>Word Count – 1,000 words</p>	2.5%
Answer		
Support Services		
10	<p>Please provide a detailed answer as to how you deliver you support services. Your answer will address as a minimum:</p> <ul style="list-style-type: none"> • How calls are logged and tracked; • The accessibility of specialist staff and their responsiveness; • Service desk staffing levels and operating hours; • Resolution rates; • Analysis of customer feedback and how this is used to improve the service; • An example of a Service Level Agreement; • How long calls remain open and how you expedite resolution; • The provision of on-site support or remote support to schools; • How you will support both the Council and schools; • Your escalation process once you identify an issue has implications for all users. <p>Word Count – 1,500 words</p>	4%
Answer		
Maintenance & Service		
11	<p>Please provide a detailed explanation of your maintenance and support agreements. Your answer should include reference to;</p> <ul style="list-style-type: none"> • What is included in your annual maintenance agreements; • What is excluded from your annual maintenance agreements; • Whether schools have to take a minimum number of modules, why and how this operates. <p>Word Count – 1,000 words</p>	2.5%
Answer		
System Integration Requirements		

12	<p>Please explain fully how your system shares data and integrates with other applications. Your response should, as a minimum, make reference to:</p> <ul style="list-style-type: none"> • What open APIs you supply; • The systems /applications your system integrates with; • What statutory returns and exports your system complies with; • The interfaces with existing web servers e.g. Raise online; • Your solution for transferring data to the Council. <p>Word Count: 750 words</p>	2.5%
Answer		
Continuing Professional Development for the Supplier's Staff		
13	<p>Please tell us about your employee's CPD and how you acquire and maintain staff knowledge and skills to operate best industry practice and service provision?</p> <p>Word Count: 500 words</p>	1%
Answer		

LOTS 3 & 4 – SPECIFIC QUESTIONS		
Financial Accounting System for Local Authority Maintained Schools		
		Marks
Capacity & Business Growth		
1	<p>Please provide a detailed overview of your service ethos. Your answer will be expected to cover:</p> <ul style="list-style-type: none"> • A breakdown of your current users of your Financial Accounting System (FAS)? Please list by: <ul style="list-style-type: none"> • Local Authority, • School phase (please detail by primary, secondary, special and other) • Local Authority Maintained Schools • Licences issued. • Your planning and maintenance of continuity and quality of your service delivery; • Your approach to continuous improvement and best value for your products. <p>Word Count: 1,000 words</p>	4%
Answer		
New Technologies & Innovation		
2	<p>Please detail exactly how you will communicate developments to your potential customers through this framework. Your response will need to include at least:</p> <ul style="list-style-type: none"> • Your methodology for ensuring customers are kept informed of developments; 	6%

	<ul style="list-style-type: none"> • The levels of input into the development of systems i.e. future functions, reporting; • Your testing and development regime; • Your methods for ensuring customers receive the most effective range of technologies and innovation. <p>Word Count: 1,000 words</p>	
Answer		
Achieving Educational Improvement		
3	<p>Tell us how your system supports and influences management teams in schools to improve educational services to their students. Your response should reflect, as a minimum:</p> <ul style="list-style-type: none"> • Demonstrable support for school improvement; • Available outputs that meet statutory returns; • Other non-statutory reporting/dashboards that are available. <p>Word Count: 500 words</p>	2%
Answer		
Functionality		
4	<p>Please tell us in detail about the functionality of your system. Your answer must address as a minimum:</p> <ul style="list-style-type: none"> • Describe the core functionality of the FAS; • The level of accounting knowledge required by system users to operate the system; • The level of support available to users with varying skills sets; • Confirmation that the FAS has been designed for use in educational establishments, if not, what customisation has taken place to make it operate in this environment; • Whether your FAS may be customised to different user requirements e.g. size of establishment, operating across more than one site (e.g. Federations) or remote working; • The ability for a school to personalise a standard template to include for example individual budget codes, cost centres and explain how this would work in practice; • The methodology for migrating data from an existing FAS to your product and how this would be achieved; • How your FAS supports Multiple Users requiring differing levels of functionality and authorisation? • Any charges in relation to the number of users with access to your FAS; • Whether any limit exists to the number of users at a single site and, if so, what is the limit and what extra charges would be applied for additional users; • How your FAS supports a school wishing to move towards the culture of a 'paperless office'; • The system's ability to manage payments from external parties and, how your FAS facilitates these payments and how it interfaces with other payment solutions such as Parent Pay and Parent Mail; • How your Purchase Order Processing system works and how it could be deployed across more than one site where multiple users/ budget holders are involved; • A description of the Reporting and Budget Monitoring functionality available within your core product and the level of customisation available to the end 	12%

	<p>user without recourse to your Company. If a further reporting module is required state at what cost. Can all reports be exported to Excel in 'raw' (e.g. CSV) and 'report formatted' ways?</p> <ul style="list-style-type: none"> • Describe the data enquiry and search functionality (e.g. drill down/up) that is available within your FAS; • How your FAS manages cash flow reporting and projections? • How VAT reporting works for LA maintained schools; • How your FAS meets the requirement for the provision of statutory reports; • The ability of your FAS to facilitate the importing of data from external sources e.g. external payroll provider, budgeting systems, Excel, bank statements; • The ability of your FAS to facilitate the exporting of data to external sources e.g. external payroll provider, budgeting systems, Excel, BACS files; • Dealing with the operation of multiple bank accounts in terms of general operation and also specifically in relation to monthly reconciliation and the process required at the end of the financial year; • The month end processes that are required; • The year end process on your FAS and how does it deal with the requirement to post transactions to the old and new financial years? • Compliance with the requirements of external organisations such as the DFE • Compliance with the relevant accounting standards; • The Help Functionality available for Users. <p>Word Count: 2,000 words</p>	
Answer		
Technical Requirements		
5	<p>Please provide a detailed explanation of how your system operates, to include:</p> <ul style="list-style-type: none"> • The options for the hosting/installation of your FAS (please refer to local and central hosting options). • The minimum and the recommended hardware, software and infrastructure requirements within a school for the system to run effectively • Detail the modules which form the system and state if they are all fully integrated. Is the FAS developed to work on standard platforms Please state which operating platforms are used. • Your recommended minimum bandwidth <p>Word Count: 1,000 words</p>	9%
Answer		
Implementation & Training		
6	<p>Please tell us in detail how you will support a school to transition from their current system to adopt your system. Please provide detail of how you will enable the Council to deliver first line support. Your answer must include:</p> <ul style="list-style-type: none"> • A detailed implementation plan outlining the timescales, milestones and resources from all parties required to implement such transition for the following number of schools: 1 – 5, 6 – 20, 21 – 50, 51 – 100; • The level of data transfer available; • The training required at the school and timescales; • Whether your training is an accredited qualification and to what level; • The training materials, resources and documentation included in the training fee as well as what is excluded/optional and at what cost; 	7%

	<ul style="list-style-type: none"> Your proposals to deliver a training programme for both the Council and schools. <p>Word Count – 1,500 words</p>	
Answer		
Security & Disaster Recovery		
7	<p>Please provide full details of your security and disaster recovery systems? Your response must include reference to:</p> <ul style="list-style-type: none"> data confidentiality, integrity and availability; auditing functionality; incorporating guidance from the DfE or ICO; contingency arrangements; locations of primary and secondary support systems; the checks you undertake on your staff who access children’s data and who visit schools. <p>Word Count – 1,000 words</p>	5%
Answer		
Upgrades		
8	<p>Please provide a detailed explanation of how you implement upgrades. Your response will be expected to address:</p> <ul style="list-style-type: none"> Release and planning programmes; Testing procedures; Confirmation there are no costs associated with upgrades. <p>Word Count: 750 words</p>	2.5%
Answer		
Contract Management		
9	<p>Please detail how you propose to manage this Contract. Your response should include at least:</p> <ul style="list-style-type: none"> How you ensure on-going customer satisfaction; How you achieve on-going value for money; Your arrangements for adopting a collaborative approach; How you ensure communications and relationships are maintained; How you communicate offers and opportunities to customers. <p>Word Count – 1,000 words</p>	2.5%
Answer		
Support Services		
10	<p>Please provide a detailed answer as to how you deliver you support services. Your answer will address as a minimum:</p> <ul style="list-style-type: none"> How calls are logged and tracked; The accessibility of specialist staff and their responsiveness; 	4%

	<ul style="list-style-type: none"> • Service desk staffing levels and operating hours; • Resolution rates; • Analysis of customer feedback and how this is used to improve the service; • An example of a Service Level Agreement; • How long calls remain open and how you expedite resolution; • The provision of on-site support or remote support to schools; • How you will support both the Council and schools; • Your escalation process once you identify an issue has implications for all users. <p>Word Count – 1,500 words</p>	
Answer		
Maintenance & Service		
11	<p>Please provide a detailed explanation of your maintenance and support agreements. Your answer should include reference to;</p> <ul style="list-style-type: none"> • What is included in your annual maintenance agreements; • What is excluded from your annual maintenance agreements; • Whether schools have to take a minimum number of modules, why and how this operates. <p>Word Count – 1,000 words</p>	2.5%
Answer		
System Integration Requirements		
12	<p>Please explain fully how your system shares data and integrates with other applications. Your response should, as a minimum, make reference to:</p> <ul style="list-style-type: none"> • What open API's do you supply? • Does your solution have links to Anycomms? • Which e-mail systems does your FAS integrate with? • What third party financial planning software does your FAS integrate with? • For each of the above describe how robust your solution is and the level of ease required to implement the 'link'. <p>Word Count: 750 words</p>	2.5%
Answer		
Continuing Professional Development for the Supplier's Staff		
13	<p>Please tell us about your employee's CPD and how you acquire and maintain staff knowledge and skills to operate best industry practice and service provision?</p> <p>Word Count: 500 words</p>	1%
Answer		

LOTS 5 & 6 – SPECIFIC QUESTIONS
Financial Accounting System for Academies and Multi Academy Trusts

		Marks
Capacity & Business Growth		
1	<p>Please provide a detailed overview of your service ethos. Your answer will be expected to cover:</p> <ul style="list-style-type: none"> • A breakdown of your current users of your Financial Accounting System (FAS)? Please list by: <ul style="list-style-type: none"> • Local Authority, • School phase (please detail by primary, secondary, special and other) • Academies and MATs • Licences issued. • Your planning and maintenance of continuity and quality of your service delivery; • Your approach to continuous improvement and best value for your products. <p style="text-align: right;">Word Count: 1,000 words</p>	4%
Answer		
New Technologies & Innovation		
2	<p>Please detail exactly how you will communicate developments to your potential customers through this framework. Your response will need to include at least:</p> <ul style="list-style-type: none"> • Your methodology for ensuring customers are kept informed of developments; • The levels of input into the development of systems i.e. future functions, reporting; • Your testing and development regime; • Your methods for ensuring customers receive the most effective range of technologies and innovation. <p style="text-align: right;">Word Count: 1,000 words</p>	6%
Answer		
Achieving Educational Improvement		
3	<p>Tell us how your system supports and influences management teams in academies to improve educational services to their students. Your response should reflect, as a minimum:</p> <ul style="list-style-type: none"> • Demonstrable support for school improvement; • Available outputs that meet statutory returns; • Other non-statutory reporting/dashboards that are available. <p style="text-align: right;">Word Count: 500 words</p>	2%
Answer		
Functionality		
4	<p>Please tell us in detail about the functionality of your system. Your answer must address as a minimum:</p>	12%

- Describe the core functionality of the FAS
- The level of accounting knowledge required by system users to operate the system;
- The level of support available to users with varying skills sets;
- Confirmation that the FAS has been designed for use in educational establishments, if not, what customisation has taken place to make it operate in this environment;
- Whether your FAS may be customised to different user requirements e.g. size of establishment, operating across more than one site or remote working;
- The ability for an academy to personalise a standard template to include for example individual budget codes, cost centres and explain how this would work in practice;
- The methodology for migrating data from an existing FAS to your product and how this would be achieved;
- How your FAS supports Multiple Users requiring differing levels of functionality and authorisation?
- Any additional charges in relation to the number of users with access to your FAS;
- Whether any limit exists to the number of users at a single site and, if so, what is that limit and the charging structure for multiple users ;
- How your FAS supports an academy wishing to move towards the culture of a 'paperless office';
- The system's ability to manage payments from external parties and, how your FAS facilitates these payments and how it interfaces with other payment solutions such as Parent Pay and Parent Mail;
- How your Purchase Order Processing system works and how it could be deployed across more than one site where multiple users/ budget holders are involved;
- A description of the Reporting and Budget Monitoring functionality available within your core product and the level of customisation available to the end user without recourse to your Company. If a further reporting module is required state at what cost. Can all reports be exported to Excel in 'raw' (e.g. CSV) and 'report formatted' ways?
- Describe the data enquiry and search functionality (e.g. drill down/up) available within your FAS;
- How your FAS manages cash flow reporting and projections?
- How VAT reporting works for Academies;
- How your FAS meets the requirement for the provision of statutory Academy reports;
- The ability of your FAS to facilitate the importing of data from external sources e.g. external payroll provider, budgeting systems, Excel, bank statements;
- The ability of your FAS to facilitate the exporting of data to external sources e.g. external payroll provider, budgeting systems, Excel, BACS files;
- Dealing with the operation of multiple bank accounts in terms of general operation and also specifically in relation to monthly reconciliation and the process required at the end of the financial year;
- The month end processes that are required;
- The year-end process on your FAS and how does it deal with the requirement to post transactions to the old and new financial years?
- Accrual accounting and accounting for assets and depreciation;
- Compliance with the requirements of external organisations such as the DFE and compliance with the relevant accounting standards;
- The Help Functionality available for Users.

Word Count: 2,000 words

Answer		
Technical Requirements		
5	<p>Please provide a detailed explanation of how your system operates, to include:</p> <ul style="list-style-type: none"> • The options for the hosting/installation of your FAS (please refer to local and central hosting options). • The minimum and the recommended hardware, software and infrastructure requirements within a school for the system to run effectively? • Detail the modules which form the system and state if they are all fully integrated and developed to work on standard platforms? Please state which platforms that they operate on. • Your recommended minimum bandwidth? <p>Word Count: 1,000 words</p>	9%
Answer		
Implementation & Training		
6	<p>Please tell us in detail how you will support an academy to transition from their current system to adopt your system Your answer must include:</p> <ul style="list-style-type: none"> • A detailed implementation plan outlining the timescales, milestones and resources from all parties required to implement such transition/implementation for the following number of schools: 1 – 5, 6 – 20, 21 – 50, 51 – 100; • The level of data transfer available; • The training required at the academy and timescales; • Whether your training is an accredited qualification and to what level; • The training materials, resources and documentation included in the training fee as well as what is excluded/optional and at what cost; • Your proposals to deliver a training programme for academies and for Council representatives if required. <p>Word Count – 1,500 words</p>	7%
Answer		
Security & Disaster Recovery		
7	<p>Please provide full details of your security and disaster recovery systems? Your response must include reference to:</p> <ul style="list-style-type: none"> • data confidentiality, integrity and availability; • auditing functionality; • incorporating guidance from the DfE or ICO; • contingency arrangements; • locations of primary and secondary support systems; • the checks you undertake on your staff who access children's data and who visit schools. <p>Word Count – 1,000 words</p>	5%
Answer		
Upgrades		

8	<p>Please provide a detailed explanation of how you implement upgrades. Your response will be expected to address:</p> <ul style="list-style-type: none"> • Release and planning programmes; • Testing procedures; • Confirmation there are no costs associated with upgrades. <p>Word Count: 750 words</p>	2.5%
Answer		
Contract Management		
9	<p>Please detail how you propose to manage this Contract. Your response should include at least:</p> <ul style="list-style-type: none"> • How you ensure on-going customer satisfaction; • How you achieve on-going value for money; • Your arrangements for adopting a collaborative approach; • How you ensure communications and relationships are maintained; • How you communicate offers and opportunities to customers. <p>Word Count – 1,000 words</p>	2.5%
Answer		
Support Services		
10	<p>Please provide a detailed answer as to how you deliver you support services. Your answer will address as a minimum:</p> <ul style="list-style-type: none"> • How calls are logged and tracked; • The accessibility of specialist staff and their responsiveness; • Service desk staffing levels and operating hours; • Resolution rates; • Analysis of customer feedback and how this is used to improve the service; • An example of a Service Level Agreement; • How long calls remain open and how you expedite resolution; • The provision of on-site support or remote support to academies; • How you will support both the Council and academies; • Your escalation process once you identify an issue has implications for all users. <p>Word Count – 1,500 words</p>	4%
Answer		
Maintenance & Service		
11	<p>Please provide a detailed explanation of your maintenance and support agreements. Your answer should include reference to;</p> <ul style="list-style-type: none"> • What is included in your annual maintenance agreements; • What is excluded from your annual maintenance agreements; • Whether schools have to take a minimum number of modules, why and how this 	2.5%

	operates. Word Count – 1,000 words	
Answer		
System Integration Requirements		
12	<p>Please explain fully how your system shares data and integrates with other applications. Your response should, as a minimum, make reference to:</p> <ul style="list-style-type: none"> • What open APIs you supply; • What open API's do you supply? • Does your solution have links to Anycomms? • Which e-mail systems does your FAS integrate with? • What third party financial planning software does your FAS integrate with? • For each of the above describe how robust your solution is and the level of ease required to implement the 'link'. <p>Word Count: 750 words</p>	2.5%
Answer		
Continuing Professional Development for the Supplier's Staff		
13	<p>Please tell us about your employee's CPD and how you acquire and maintain staff knowledge and skills to operate best industry practice and service provision?</p> <p>Word Count: 500 words</p>	1%
Answer		

SQ – Template for Appendices

Appendix Number	
SQ section	
Question number	