



# Stage 1: Pre-Selection Criteria

The following fields are to be completed as part of your application. These fields are used by the Department of Science, Innovation and Technology (DSIT) to ensure that your organisation is capable of managing a grant from public funds with a view to achieving the requirements set out in the application pack. A failure to answer these questions in a satisfactory manner will result in your application not being considered further.

Please read the guidance information provided and direct any questions you have via email at [mathsacademyuk@dsit.gov.uk](mailto:mathsacademyuk@dsit.gov.uk). Responses to all clarification questions will be anonymised and published on gov.uk.

## Part 1 Questions (General Information)

Questions	
1	Name of applicant organisation (if registered, please give the registered name)
2	Registered address (if applicable) or head office address
3	Registered website address (if applicable)
4	Trading status:  a) Public limited company b) Private limited company c) Limited liability partnership d) Other partnership e) Sole trader f) Registered charity g) Trust h) Other non-profit i) Other (please specify your trading status)
5	Date of registration/formation (if applicable)
6	Registration number (company, partnership, charity, etc – if applicable)
7	Registered VAT number (if applicable)
8	Are you a Small, Medium or Micro Enterprise (SME)? <sup>1</sup> Please specify.

<sup>1</sup> Definitions: Medium sized enterprise: less than 250 employees and turnover less than or equal to €50 million or balance sheet total less than or equal to €43 million; Small size enterprise: less than 50 employees and turnover less than or equal to €10 million or balance sheet total less than or equal to €10 million; Micro: sized enterprise: less than 10 employees and turnover less than or equal to €2 million or balance sheet total less than or equal to €2million.

9	<p>Details of Persons with Significant Control (PSC), where appropriate: (Please enter N/A if not applicable)</p> <p>See guidance here - <a href="https://www.gov.uk/guidance/people-with-significant-control-pscs">https://www.gov.uk/guidance/people-with-significant-control-pscs</a></p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Date of birth</li> <li>• Nationality</li> <li>• Country, state or part of the UK where the PSC usually lives</li> <li>• Service address</li> <li>• The date person or entity became a PSC in relation to the organisation;</li> <li>• Which conditions for being a PSC are met: <ul style="list-style-type: none"> <li>○ Over 25% up to (and including) 50%</li> <li>○ More than 50% and less than 75%</li> <li>○ 75% or more</li> </ul> </li> </ul>
10	<p>Details of ultimate parent company: (Please enter N/A if not applicable)</p> <ul style="list-style-type: none"> <li>• Full name of ultimate parent company</li> <li>• Registered or head office address</li> <li>• Registration number (if applicable)</li> <li>• Head office VAT number (if applicable)</li> </ul>

## Part 2 Questions (Grounds for Exclusion)

Please refer to Annex A guidance below.

### Mandatory grounds

<b>General grounds for mandatory exclusion</b>	
1	<p>Within the past five years, anywhere in the world, have you or any person who:</p> <ul style="list-style-type: none"> <li>• is a member of the applicant's administrative, management or</li> <li>• has powers of representation, decision or control in the applicant organisation</li> </ul> <p>been convicted of any of the offences within the summary below:</p>
	Participation in a criminal organisation or criminal enterprise
	Corruption, fraud and/or theft
	Terrorist offences or offences linked to terrorist activities
	Money laundering or terrorist financing
	Child labour and other forms of trafficking in human beings
	Any other offence set out in Annex A.
2	<p>If you have answered YES to any of the questions on mandatory exclusion grounds please provide further details, including;</p> <ul style="list-style-type: none"> <li>• date of conviction and the jurisdiction</li> <li>• which of the grounds listed the conviction was for</li> <li>• the reasons for conviction</li> </ul> <p>the identity of who has been convicted</p>
3	<p>In relation to the conviction in the question above, if the relevant documentation is available electronically, please provide:</p> <ul style="list-style-type: none"> <li>• the web address</li> <li>• issuing authority</li> </ul> <p>precise reference of the documents</p>
4	<p>If you have answered YES to any part of the questions on mandatory exclusion grounds, please explain what measures have been taken to demonstrate your reliability despite the existence of relevant grounds for exclusion</p>

## Mandatory grounds related to Tax

<b>Grounds for mandatory exclusion relating to the payment of taxes and social security contributions</b>	
5	Please confirm that you have met all your obligations relating to the payment of taxes and social security contributions, in the UK.
6	<p>If you have answered NO to this question, please provide further details including the following:</p> <ul style="list-style-type: none"><li>• the amount concerned,</li><li>• how the breach was established, i.e. through a judicial or administrative decision or by other means,</li><li>• if the breach has been established through a judicial or administrative decision please provide the date of the decision,</li><li>• if the breach has been established by other means please specify the means.</li><li>• If the breach is being challenged by the applicant</li></ul> <p>If documentation is available electronically, please provide:</p> <ul style="list-style-type: none"><li>• the web address,</li><li>• issuing authority,</li><li>• precise reference of the documents.</li></ul>
7	Please also confirm whether 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.
Please Note: We reserve our right to use our discretion to exclude your bid where we can demonstrate by any appropriate means that you are in breach of your obligations relating to the payment of taxes or social security contributions.	

## Discretionary Grounds

<b>Grounds for discretionary exclusion</b>	
8	Within the past three years, have any of the situations summarised below and listed in full in Annex A applied to you?
	Breach of environmental law obligations?
	Breach of health and safety obligations
	Breach of social law obligations including those related to employment and labour law, human rights?
	Breach of labour law obligations?
	Bankruptcy or subject of insolvency?
	Guilty of grave professional misconduct?
	Conflict of interest?
9	<p>Do any of the following statements apply to you?</p> <ul style="list-style-type: none"> <li>● You have been 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?</li> <li>● You have withheld such information.</li> <li>● You are not able, without delay, to submit supporting documents if/when required.</li> <li>● You have undertaken to unduly influence the decision-making process of the granting authority to obtain confidential information that may confer upon you undue advantages in this procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.</li> </ul>
10	<p>You are a relevant commercial organisation subject to Section 54 of the Modern Slavery Act 2015 if you carry on your business, or part of your business in the UK, supplying goods or services and you have an annual turnover of at least £36 million.</p> <p>If you are a relevant commercial organisation, please confirm:</p> <ul style="list-style-type: none"> <li>● you have published a statement as required by Section 54 of the Modern Slavery Act; and</li> <li>● That the statement complies with the requirements of Section 54</li> </ul>
11	If you have answered <b>YES</b> to any of the questions relating to grounds for discretionary exclusion (or <b>NO</b> to any of the Modern Slavery Act questions),

	please explain what measures have been taken to demonstrate your reliability despite the existence of a relevant ground for exclusion?
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## Part 3 Questions (Economic and financial standing and compliance)

<b>Economic and financial standing and compliance</b>	
<b>1</b>	<b>Economic and financial standing – YOU MUST COMPLETE AND PROVIDE ONE OF THE FOLLOWING THREE OPTIONS</b>
	<p>If documentary evidence of economic and financial standing is available electronically (e.g. financial statements filed with Companies House or the Charity Commission), please provide:</p> <ul style="list-style-type: none"> <li>• the web address</li> <li>• issuing authority</li> <li>• precise reference of the documents.</li> </ul>
	<p>If documentary evidence of economic and financial standing is not available electronically, please confirm that you can provide a copy of your detailed accounts for the last two years if requested (audited if required by law).</p>
	<p>If you cannot provide an electronic link, and cannot provide a copy, please confirm that you can provide the following alternatives:</p> <p>(a) A statement of your annual turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year(s) of trading and a bank letter outlining the current cash and credit facility position.</p> <p>(b) Alternative information to evidence economic and financial standing if any of the above are not available (e.g. forecast financial statements and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status) or explain lack of availability (e.g. newly established organisation).</p>
<b>2</b>	<b>Data Protection</b>
	<p>Please confirm that you have in place, or that you will have in place by grant award, the human and technical resources to perform the grant to ensure compliance with the UK General Data Protection Regulations and to ensure the protection of the rights of data subjects.</p> <p>Please provide details of the technical facilities and measures (including systems and processes) you have in place, or will have in place by grant award, to ensure compliance with UK data protection law and to ensure the protection of the rights of data subjects. Your response should include, but should not be limited to facilities and measures:</p> <ul style="list-style-type: none"> <li>• to ensure ongoing confidentiality, integrity, availability and resilience of processing systems and services;</li> </ul>

	<ul style="list-style-type: none"> <li>• to comply with the rights of data subjects in respect of receiving privacy information, and access, rectification, deletion and portability of personal data;</li> <li>• to ensure that any consent-based processing meets standards of active, informed consent, and that such consents are recorded and auditable;</li> <li>• to ensure legal safeguards are in place to legitimise transfers of personal data outside the UK (if such transfers will take place);</li> <li>• to maintain records of personal data processing activities; and</li> <li>• to regularly test, assess and evaluate the effectiveness of the above measure.</li> </ul> <p>[Please use no more than 500 words setting out a summary of your policy and approach to data protection.]</p>
3	<p><b>Health and Safety</b></p> <p>Please describe the arrangements you have in place to manage health and safety effectively and control significant risks relevant to the requirement (including risks from the use of grantors, where relevant).</p> <p>[Please use no more than 500 words setting out a summary of your policy and approach to Health and Safety.]</p>



## Part 4 Declaration and signature

### **Declaration**

I declare that to the best of my knowledge the answers submitted, and information contained in this complete document are correct and accurate, including parts 1, 2 and part 3.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document except where this documentation can be accessed by the granting authority via a national database in any country free of charge or the granting authority already possesses the documentation.

I declare that I am capable of entering into, and willing to enter into, a legally binding and enforceable Grant Funding Agreement with Department of Science, Innovation and Technology (DSIT) on behalf of the Crown with terms that will contain, as a minimum, the terms set out in the 'Statement of Main Terms'.

I understand that the information will be used in the selection process to assess my suitability to participate further in this process.

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.

**Signature (electronic is acceptable)**

**Date**

### **Contact details of those making the declaration**

Contact name

Name of organisation

Role in organisation

Phone number

E-mail address

Postal address

# Annex A – Pre-selection criteria guidance

## Terms to assist in the application of Mandatory Exclusion Grounds

### **Participation in a criminal organisation**

- Participation offence as defined by section 45 of the Serious Crime Act 2015
- Conspiracy within the meaning of:
  - section 1 or 1A of the Criminal Law Act 1977; or
  - article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983,

where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime.

### **Bribery**

- The common law offence of bribery;
- Bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983.

### **Terrorist offences or offences linked to terrorist activities**

- Any offence:
  - listed in section 41 of the Counter Terrorism Act 2008;
  - listed in schedule 1 of the Sentencing Act 2020 where the court has determined that there is a terrorist connection;
  - listed in section 1 of the Counter-Terrorism and Sentencing Act 2021
  - under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by the previous points.

### **Money laundering or terrorist financing**

- Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002
- An offence in connection with the proceeds of criminal conduct within the meaning of section 327, 328 and 329 of the Proceeds of Crime Act 2002.

### **Child labour and other forms of trafficking human beings**

- An offence under section 1 and 2 Human Trafficking and Exploitation (Criminal Justice and Support for Victims) Act (Northern Ireland) 2015
- An offence in connection with section 327, 328 and 329 of the Proceeds of Crime Act 2002

- An offence under section 1, 2 or section 4 of the Modern Slavery Act 2015.

### **Fraud**

- The common law offence of cheating the revenue
- The common law offence of conspiracy to defraud
- Fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969 and the Theft Act 1986 or The Theft (Northern Ireland) Order 1978
- Or fraudulent trading within the meaning of section 993 of the Companies Act 2006
- Fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994
- An offence with connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993
- Destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969
- Fraud within the meaning of sections 2,3 or 4 of the Fraud Act 2006; or
- The possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act

### **Any other offence:**

- Defined by the law of any jurisdiction outside England and Wales and Northern Ireland
- Created in the law of England and Wales or Northern Ireland.

## **Terms to assist in the application of Discretionary Exclusion Grounds**

### **Obligations in the field of environment, social and labour law.**

- Where an organisation has violated applicable obligations in the fields of Environmental, social and labour law established by national laws; namely
  - In the last 3 years, where the organisation or any of PSD's have been convicted of offences against domestic Environmental legislation.
  - In the last 3 years, where the organisation or any of its directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body).
  - In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.
  - In the last three years where the organisation has been convicted of a breach of the Health and Safety legislation.

- In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
- Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
- Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;
- Where the organisation has been in breach of the National Minimum Wage Act 1998.
- Where an organisation has violated applicable obligations in the fields of Environmental, social and labour law established by international law; namely the following Conventions.
  - ILO Convention 87 on Freedom of Association and the Protection of the Right to Organise;
  - ILO Convention 98 on the Right to Organise and Collective Bargaining;
  - ILO Convention 29 on Forced Labour;
  - ILO Convention 105 on the Abolition of Forced Labour;
  - ILO Convention 138 on Minimum Age;
  - ILO Convention 111 on Discrimination (Employment and Occupation);
  - ILO Convention 100 on Equal Remuneration;
  - ILO Convention 182 on Worst Forms of Child Labour;
  - Vienna Convention for the protection of the Ozone Layer and its Montreal Protocol on substances that deplete the Ozone Layer;
  - Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention);
  - Stockholm Convention on Persistent Organic Pollutants (Stockholm POPs Convention)
  - Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) (The PIC Convention) Rotterdam, 10 September 1998, and its 3 regional Protocols.

### **Bankruptcy, insolvency**

- 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.

### **Grave professional misconduct**

- Guilty of grave professional misconduct. Grave professional misconduct can be described as serious violations of professional ethics, standards or regulations that are considered severe in nature. In relation to this application, it also includes convictions for serious crimes not covered under the grounds for mandatory

exclusion which may be sufficient to justify exclusion. These include anti-competitive behaviour, conduct leading to a Deferred Prosecution Agreement, breach of intellectual property rights, harassment and serious negligence in carrying out professional duties.

### **Conflict of interest**

- Aware of any conflict of interest whether personal, financial, or professional interests that may improperly influence the evaluation or the decision-making process of the grant application. This could include relationships with government officials responsible for the award, any perceived or actual conflict of interest that could affect working with the UK government, taking undue advantage of a position or influence to put other applicants at an unfair disadvantage or any other factor that could compromise the fairness and impartiality of the grant evaluation process.

### **Prior performance issues**

- Shown significant or persistent deficiencies in the performance of a previously awarded grant, which led resulted in an event of default in accordance with terms and conditions of the relevant Grant Funding Agreement.

### **Misrepresentation and undue influence**

- The organisation has influenced the decision-making process of a granting authority to obtain confidential information that may confer upon the organisation undue advantages in the grant procedure or, whether intentionally or negligently, provided misleading information that may have a material influence on decisions concerning exclusion, selection or award, or withheld such information.

### **Breach of obligations relating to the payment of taxes or social security contributions.**

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