

NEW SUPPLIER ACCOUNT REQUEST



ALL SECTIONS OF THIS FORM MUST BE COMPLETED. ANY INCOMPLETE SUBMISSION WILL BE REJECTED.

**SECTION 1: MUST BE COMPLETED BY THE SUPPLIER/RESEARCH PARTNER
SECTION 2: MUST BE COMPLETED INTERNALLY.**

IF THE SUPPLIER/RESEARCH PARTNER IS I.T. BASED OR IS PROCESSING ANY DATA, PLEASE COMPLETE THE
[I.T. DATA QUESTIONNAIRE](#)

IF THE SUPPLIER IS A CONTRACTOR PLEASE COMPLETE THE CONTRACTOR
[HEALTH AND SAFETY COMPLIANCE QUESTIONNAIRE](#)

SECTION 1 - TO BE COMPLETED BY THE SUPPLIER/ RESEARCH PARTNER

The University standard terms of payment are nett 30 days from date of invoice. By completing and returning this form I confirm that my company accepts the University's payment terms.

Name		Title/Position	
Email Address		Telephone Number	

Details for Orders & Correspondence		Details for Remittances (if different)	
Supplier's Trading Name		Supplier's Trading Name	
Full Address		Full Address	
Post Code		Post Code	
Contact Name (& Extension)		Contact Name (& Extension)	
Telephone Number		Telephone Number	
Email Address (for orders)		Email Address (for remittance advices)	

Is the business VAT Registered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	If Yes, please provide VAT Registration Number:		
Is the business a registered company?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	If Yes, please provide the Company Registration Number:		
Please provide the DUNS number of the business (if applicable):			If required, would you be able to accept credit card payments?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

UK BANK DETAILS - FOR OVERSEAS PAYMENT DETAILS, PLEASE SEE BELOW

Bank Name		Account Holder's Name																												
Sort Code	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>								Account Number	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>																				

OVERSEAS BANK DETAILS

Bank and Bank Address		Account Holders Name	
Account Number		BIC/Swift Code	
IBAN Number (Europe, Pakistan, Brazil)		6 Digit BSB Number (Australia)	
4 Digit Agencia (Brazil)		CPF/ID No. (Brazil)	
3 Digit Institution Code (Canada)		5 Digit Transit Code (Canada)	
CNAPS Number (China)		CNIC/SNIC (Pakistan)	
MICR Number (India)		IFSC Code (India)	
Tax ID (Russia)		9 Digit Routing Number (Russia)	
Routing Number (USA)		Currency	
Additional Notes / Intermediary Bank Information (Where Applicable):			

SECTION 2 - FOR INTERNAL COMPLETION AT CARDIFF UNIVERSITY ONLY

ORIGINATOR			SCHOOL or DIRECTORATE	
Supplier/Research Partner Name:				
Is the request for a Supplier or Research Partner?	Supplier	Research Partner	Please check https://intranet.cardiff.ac.uk/staff/supporting-your-work/purchasing-services-and-goods/identifying-the-correct-procedure-for-committing-external-funding-for-research-grants-and-contracts for more information	
If a Research Partner, please provide the Project Number:			In instances where the Research Partner is an individual, partnership or limited company, please complete only the CEST information below. Otherwise, please move to Section 2	

FOR ALL NEW SUPPLIER REQUESTS, ALL SECTIONS BELOW MUST BE COMPLETED

Brief description of goods/services/works to be ordered (include any additional information regarding equipment and maintenance services where a supplier provides both): <i>If this is IT related, please ensure you have sought approval from IT before progressing via the IT Service Desk</i>			Initial Order Value (exc. VAT): <i>GBP equivalent if foreign currency</i>	£	
			Please separate equipment and maintenance costs (exc. VAT): <i>GBP equivalent if foreign currency</i>	£	
			Estimated spend (ex VAT) over a 12 month period: <i>GBP equivalent if foreign currency</i>	Under £5,000	£5,000 to £25,000
			£25,000 to £180,000	Over £180,000	

Is there an existing University contract for the supply of the goods/services/works? <i>Please check https://intranet.cardiff.ac.uk/staff/supporting-your-work/purchasing-services-and-goods/university-suppliers-and-contracts</i>	Yes	No	Is there an existing Supplier on Oracle who can supply the goods/services/works?	Yes	No
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If you answered yes to either of the above, please detail why you are unable to use an existing Supplier: <i>Please include details of any discussions with Procurement Services</i>			Please indicate which procurement process has been followed to support the new supplier request:	For £5,000 - £24,999, 3 quotes or a waiver from Head of School/ Department	
				Over £25,000	
				CU Tender - Reference Number:	
				Neither of the above	

How many times do you anticipate this Supplier will be used?	Once	Two or three times in next 12 months	Please refer to the Purchase Card Policy for guidance on when use of a card is more appropriate than setting up a new Supplier (https://intranet.cardiff.ac.uk/staff/supporting-your-work/purchasing-services-and-goods/procurement-guidance/ordering-via-oracle/making-payments/purchasing-cards)
	More than 3 times in the next 12 months		

Conflict of Interest. Please declare any actual or potential conflicts	Actual	Potential	None	Conflict of Interest refers to situations in which personal interests (which may include financial interests) may compromise, or have the appearance of, or potential for, compromising professional judgement and integrity. If selecting Actual or Potential, action will be required to mitigate.
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FOR ALL REQUESTS WHEREBY CARDIFF UNIVERSITY ARE PAYING AN INDIVIDUAL, PARTNERSHIP OR LIMITED COMPANY

If the supplier is a worker, agency worker, contractor or consultant carrying the work out in the United Kingdom, please confirm that you have completed a CEST.	Yes, a CEST has been completed and the determination states this should be paid as a supplier	Yes, a CEST was completed but had a different determination statement	No, a CEST has not been completed as it is not required.	<i>If an ESM code applies instead, please provide this below.</i>
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The determination of the CEST must either be "Off-payroll working rules do not apply" or "Self-employed for tax purpose for this work" in order to set them up and pay them as a supplier. The CEST should be completed by Cardiff University as the engager of the supplier and must not be told what the engaged parties employment status is.

See <https://intranet.cardiff.ac.uk/staff/supporting-your-work/manage-people-and-projects/recruiting-new-staff/types-of-role/guidance-on-establishing-employment-status-for-guidance>. Please note a completed CEST, copy of the SDS letter and a Statement of Works must be attached to each requisition following supplier set up.

I.T. DATA QUESTIONNAIRE TO BE COMPLETED BY THE SUPPLIER/ RESEARCH PARTNER

THE QUESTIONS BELOW ARE REQUIRED TO PROVIDE INFORMATION AND REASSURANCE TO THE UNIVERSITY WHEN ONBOARDING NEW I.T. SUPPLIERS. TO BE COMPLETED BY ALL PROVIDERS OF IT SERVICES TO THE UNIVERSITY.



SECTION 1 - GENERAL INFORMATION

Product description		<i>Please provide a brief description of the product/service(s) that will begin the relationship with Cardiff University</i>
Organisation description		<i>Provide details of your organisations size & structure, please provide detail of how long you have been trading in this product area</i>
HE experience		<i>Do you have other HE customers who may be willing to provide references?</i>
Website link		<i>Please provide a link to your website</i>
Accreditations		<i>Provide details of the accreditations held by your organisation. E.g. ISO; Cyber Security Essentials +; ITIL etc</i>
Privacy policy		<i>Provide a link to your Privacy Policy</i>
Standard SLA		<i>If you will be providing services to the University, please detail, attach, or link to your SLA here</i>
Licensing		<i>If applicable, please details how the product/service is licenced? E.g. User Subscription, Device based, Concurrent, Site licence etc</i>
Authentication		<i>Do you support Single Sign on? If so, which protocols?</i>
Change Management		<i>Do you have a documented Change Management Process?</i>
Incident Management		<i>Do you have a documented Incident Management Process?</i>
Business Continuity Plans		<i>Do you have documented BCPs?</i>
Disaster Recovery		<i>Provide brief details of your disaster recovery approach.</i>

Architectural information		<i>Provide detail, and/or diagrams, about your technical architecture</i>
Update policy		<i>For mobile and other apps provide brief details of how platform updates will managed.</i>

SECTION 2 - DATA PROCESSING

Processing and storing		<i>Will you be processing, or storing, personal data on behalf of the University? If Yes, please complete section 3 fully</i>
Information Security staff		<i>Do you employ dedicated Information Security staff? Please detail.</i>
Datacentre locations		<i>What is the geolocation of your datacentres?</i>
Data Processing / Sharing Agreement		<i>Please attach, or provide a link to, your Data Processing Agreement.</i>
Breach reporting		<i>Have you had a personal data breach in the last 5 years?</i>
Sub-processors		<i>Will you utilise sub-processors in the processing or storing of Cardiff University data? If so, please list</i>

SECTION 3 - TECHNICAL AND ORGANISATIONAL SECURITY MEASURES

PLEASE PROVIDE DETAILS RELATING TO THE FOLLOWING TOPICS ONLY IF PROCESSING OR STORING DATA ON BEHALF OF CARDIFF UNIVERSITY.

Physical Security. (Aim: To prevent unauthorized access or disclosure of protected data to individuals, entities or processes.)		<i>Use of magnetic or chip cards; Keys; Electronic door openers; Facility security services and/or entrance security staff; Alarm systems; Video/CCTV Systems; Other (please specify)</i>
Electronic Access Control. (Aim: No unauthorised use of the Data Processing and Data Storage Systems)		<i>Firewall; Use of (secure) passwords; Automatic blocking/locking mechanisms; Two-factor authentication; Encryption of data carriers/storage media; Other (please specify)</i>

Internal Access Control (permissions for user rights of access to and amendment of data). (Aim: No unauthorised Reading, Copying, Changes or Deletions of Data within the system)		<i>Rights authorisation concept; Need-based rights of access / role based access control; Logging of system access events; Other (please specify)</i>
Isolation Control. (Aim: The isolated Processing of data)		<i>Multiple tenant/client support; Sandboxing; Other (please specify)</i>
Pseudonymisation. (Aim: The Processing of personal data in such a method/way, that the data cannot be associated with a specific Data Subject without the assistance of additional Information, provided that this additional information is stored separately, and is subject to appropriate technical and organisational measures).		<i>Pseudonymisation; Anonymization; Scrambling; Masking; Blurring; Other (please specify)</i>
Data Transfer Control (Aim: No unauthorised Reading, Copying, Changes or Deletions of Data with electronic transfer or transport)		<i>Certificate based controls, (HTTPS, FTPS etc.); Use of encryption; Virtual Private Networks (VPN); Electronic/digital signature; Checksums; Other (please specify)</i>
Data Entry Control (Aim: Verification, whether and by whom personal data is entered into a Data Processing System, is changed or deleted)		<i>Use of Logging; Document Management; Quality control; Change management; Other (please specify)</i>
Data Integrity Control (Aim: Awareness or control of changes to data)		<i>File integrity monitoring; Rights management; Value limit; Completeness; Validation; Entity; Other (please specify)</i>
Availability Control (Aim: To ensure that information is accessible to authorized individuals, entities, or Processes when needed)		<i>Backup Strategy (online/offline; on-site/off-site); Capacity plans; Uninterruptible Power Supply (UPS); Virus protection; Reporting procedures; Contingency planning; Other (please specify)</i>
Ability for timely recovery		<i>Use of backup strategy – recovery time objectives, recovery point objectives; Disaster recovery plans; Other (please specify)</i>
Architectural Control (Aim: To reduce the possibility of loss of service through architectural/structural design)		<i>High availability designs; Load balancing; Redundancy; Failover; Raid configurations; Software update/upgrade Processes; Patch management; Other (please specify)</i>
Data Protection Management		<i>Use of data register; Data inventory; User awareness training; Other (please specify)</i>
Data Privacy Impact Assessments		<i>Continued use of Privacy Impact Assessments; General risk assessments; Other (please specify)</i>

Incident Response Management		<i>Use of the corporate Incident handling procedure; Use of industry standard security incident handling procedures; Other (please specify)</i>
Data Protection by Design and Default		<i>Pseudonymisation; Data minimization; Data segregation; Role base access controls; Encryption at rest; Other (please specify)</i>
Order or Contract Control (Aim: No third party data Processing as per Article 28 GDPR without corresponding instructions from the Client)		<i>Clear and unambiguous contractual arrangements; Formalised Order Management; Due diligence in selection of the Sub-Processor; Duty of pre-evaluation; Duty of protection assurance; Supervisory follow-up checks; Other (please specify)</i>
Data Exit Control		<i>Will you migrate all data and audit trail information out of the solution at end of contract to the University or its new supplier in an open file format?</i>

CONTRACTOR HEALTH AND SAFETY COMPLIANCE QUESTIONNAIRE TO BE COMPLETED BY THE SUPPLIER



THE BELOW QUESTIONS ARE REQUIRED TO PROVIDE INFORMATION AND REASSURANCE TO THE UNIVERSITY WHEN ONBOARDING CONTRACTORS

1	<p>Have you, within the last twelve months, successfully met the assessment requirements of a safety-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum?</p> <p>OR</p> <p>Do you hold a certificate of compliance with ISO 45001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard, e.g. accredited by UKAS.?</p>																														
			<p><i>Mandatory field</i></p> <p><i>If yes, please provide supporting information to evidence this. Please note if this is the case, only questions 3A, 8, 9 and 12 need to be completed. Questions 2, 3B, 4 – 7, 10, 11, 13 - 16 do not need to be completed.</i></p>																												
2	<p>Provide a copy of your Health & Safety Policy, dated within the last 12 months.</p>		<p><i>Mandatory field (if applicable > 5 employees - please provide supporting evidence)</i></p>																												
3A	<p>Provide the contact details of the individual or organisation that provides competent Health & Safety advice/assistance relevant to the work being undertaken (this could be internal or external);</p>		<p><i>Mandatory field (Please provide supporting evidence)</i></p>																												
3B	<p>In addition please provide their Health & Safety qualifications and relevant experience.</p>		<p><i>Mandatory field (Please provide supporting evidence)</i></p>																												
4	<p>Provide a brief explanation of how you communicate H&S arrangements to your employees. Please provide evidence in the form of an example of H&S communication with your employees within the last 12 months.</p>		<p><i>Mandatory field (Please provide supporting evidence)</i></p>																												
5	<p>Provide a brief explanation and supporting evidence (dated within the last 12 months) of how you undertake H&S site inspections/audits dated within the last 12 months.</p>		<p><i>Mandatory field (Please provide supporting evidence)</i></p>																												
6	<p>Provide a brief explanation of how you maintain your work equipment including evidence of an example of work equipment maintenance records from dated within the last 12 months.</p>		<p><i>Mandatory field (if applicable please provide supporting evidence)</i></p>																												
7	<p>Provide an explanation of how you discuss Health & Safety issues with your employees, clients, contractors or other trades before starting work.</p>		<p><i>Mandatory field</i></p>																												
8	<p>Provide details of any enforcement action taken against your company by the Health and Safety Executive (HSE) over the last five years, and the action you have taken to remedy matters subject to enforcement action.</p>		<p><i>Mandatory field</i></p>																												
9	<p>How many of the following accidents and incidents of work-related ill-health have occurred in the past 3 years? Complete the table.</p>	<table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th style="width: 8%;">Year</th> <th style="width: 8%;">Near Misses</th> <th style="width: 8%;">All Injuries</th> <th style="width: 8%;">Lost Time Injuries</th> <th style="width: 8%;">RIDDOR Reportable</th> <th style="width: 8%;">Fatalities</th> <th style="width: 8%;">Work-Related Ill Health</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>	Year	Near Misses	All Injuries	Lost Time Injuries	RIDDOR Reportable	Fatalities	Work-Related Ill Health																						<p><i>Mandatory field</i></p>
Year	Near Misses	All Injuries	Lost Time Injuries	RIDDOR Reportable	Fatalities	Work-Related Ill Health																									

10	Provide evidence of your system for reviewing all Health & Safety incidents, and recording the action taken as a result.						Mandatory field (if applicable) - Records of the last two accidents / incidents and action taken to prevent recurrence.
11	Provide a brief explanation of how you provide training and other H&S information appropriate to the activities you undertake. Please include examples of details of training arrangements and records / matrix in place to ensure your employees have the skills and understanding necessary to discharge their Health & Safety duties.						Mandatory field. As a minimum - Headline training records / matrix. Evidence of a Health & Safety training culture including records
12	Do you use subcontractors (yes / no)? If yes, provide details.	Yes		No		If Yes:	Mandatory field (if applicable please provide details)
13	Provide details of arrangements in place for appointing competent subcontractors/consultants, and for monitoring sub-contractor/consultant H&S performance.						If yes, to question 12 please provide relevant details of the process for appointing and monitoring competent subcontractors/consultants
14	Provide 2 examples of your site specific risk assessments and method statements for relevant works, dated within the last 12 months.						Mandatory field (Please provide supporting evidence)
15	Provide details of how appropriate employee welfare provisions are catered for by the organisation. 'Welfare facilities' are those that are necessary for the well-being of employees and/or those under the control of the organisation, such as washing, toilet, rest and changing facilities, and somewhere hygienic to eat and drink during breaks.						Mandatory field
16	Summarise your approach for the provision of appropriate protective clothing and equipment (PPE).						Mandatory field
17	Additional information e.g. specific competence a contractor would need to hold to undertake the work [Cardiff University to list any additional requirements below] Examples include: • Certificate confirming completion of the BOHS P601 module where thorough examination and testing of local exhaust ventilation equipment is being undertaken • evidence of a HSE asbestos removal licence where asbestos is being removed • Additional questions confirming contractor competence were CDM work is being undertaken						CU staff to confirm whether this section is mandatory and what is required. Please provide supporting evidence if applicable