ARBUTHNOT LATHAM

Bankers since 1833

A guide to the Arbuthnot Latham Financial Supplier Qualification System

Arbuthnot Latham is committed to introducing responsible business practices that make it easier for our suppliers to do business with us.

To support this commitment, we've introduced the Arbuthnot Latham Financial Supplier Qualification System (FSQS).

It is designed to standardise and manage our requests for compliance and assurance data, along with other major financial services organisations that have also adopted FSQS.

As the regulatory environment becomes more complex, it's important that we can demonstrate to our stakeholders that we're working responsibly with our suppliers to minimise risk and protect customers. The introduction of the FSQS provides a standard and simple mechanism for collecting and managing supplier assurance information across Arbuthnot Latham. The FSQS is also an integral part of our sourcing process. Our Supplier Managers use the system to find pre-qualified suppliers to be considered for new business. Qualified supplier status gives visibility across our procurement process and, therefore, creates potential new business opportunities.

Benefits for you

- A single online process to submit assurance and compliance data – reducing duplicate requests from Arbuthnot Latham and other financial services customers who you provide goods and services to.
- Compliance requirements which are proportionate to the products and services being provided.
- An online supplier profile which can be updated throughout the year to demonstrate your ongoing compliance with our policies.
- Qualification means you won't have to provide assurance information each time you bid for business with us.

How to gain qualification

There are two levels of qualification. Stage 1 Qualification will be sufficient to cover most suppliers. However, some products and services are subject to additional compliance and policy requirements. For example, if a supplier deals directly with our customers, then they will be asked to demonstrate how they comply with the relevant regulatory requirements which is a component of the Stage 2 Assessment.

A simple two-stage process

Stage 1 Qualification

Suppliers will receive an email invitation to complete an online questionnaire. The invitation will come from Hellios, an external partner, who has been appointed to collect and administer the data on behalf of Arbuthnot Latham. The questionnaire should take around one hour to complete. This information will allow us to determine whether your organisation only requires Stage 1 Qualification, or is required to complete the Stage 2 assessment.

Stage 2 Qualification

Stage 2 requires the completion of a more detailed online assessment and the provision of evidence to support your application. This stage typically covers your policies and practice in areas such as:

Anti-Bribery	Sanction	Remuneration	Customer Treatment
Products and Sales	Anti-Money Laundering	Health & Safety	Whistleblowing
Business Continuity	Information Security	Cyber Security	Records Management
Diversity & Inclusion	Environmental	Data Management	GDPR
Physical Security	Operational Resiliency	IT Asset Management	Conduct Risk

Funding of FSQS is shared by Arbuthnot Latham, all other Financial Services organisations that will use the system and larger suppliers.

For those organisations where Stage 2 of the process is required an annual fee is payable directly to our external partner Hellios. Micro and small organisations are fully subsidised by the community with no fee payable. Medium sized organisatons are partially subsidised and are required to pay an annual fee. Click here to find out more. Following Stage 2 qualification, we may wish to conduct further assurance activities including an on-site audit.

Timelines for qualification

Typically we find that it takes between four to eight weeks to attain qualification. For exact timelines, suppliers should refer to the deadline dates in the Hellios email communications.

If you are being asked to apply as part of a tender process then it is important that you submit your questionnaire by the deadline dates in the Hellios emails, otherwise your company may be removed from the tender process.

Frequently Asked Questions

Why has Arbuthnot Latham introduced a Financial Supplier Qualification System?

Suppliers told us that our process for collecting compliance and assurance information was complex and time consuming.

The introduction of an online system simplifies the process for suppliers to submit information and prevents suppliers receiving multiple requests from the Bank for qualification data. It is also important that we (your organisation and the Bank) can demonstrate to our stakeholders that we are working together responsibly to minimise risk across our supply chain to protect our customers.

As the regulatory environment we operate in becomes more complex, it is vital that we have a robust system in place to support the collection and maintenance of Supplier Assurance data and respond to regulatory change.

Who is Hellios?

Hellios Information Management Ltd is a UK based company. The team has extensive experience in collecting and maintaining supplier data on behalf of a number of global and UK companies.

What is the role of Hellios?

Arbuthnot Latham has appointed Hellios to collect and administer Supplier Assurance related data on behalf of the Bank. Hellios will collect and check the data provided by suppliers and ensure the data is maintained on the Financial Supplier Qualification System. Hellios is an approved supplier of Arbuthnot Latham. Hellios does not assess a supplier's suitability for qualification. That decision rests with Arbuthnot Latham.

Do we have to register each of our legal entities separately?

Yes, your organisation is required to register any legal entity that submits an invoice to Arbuthnot Latham.

Can any supplier apply for qualification?

No, qualification is by invitation only.

Will other suppliers have access to the information we provide?

No, other suppliers will not have access to the information you provide.

Will assurance information be available across Arbuthnot Latham?

Yes, one of the benefits of the new system is that suppliers' assurance information will be available to other areas in Arbuthnot Latham. This will reduce requests for duplicate information from us.

Will I be asked to provide pricing information on my company's products and services?

No, your organisation will not be asked to provide any commercial information of this nature.

If I'm required to apply for Stage 2 Qualification, how do I pay the fee to Hellios?

Hellios will provide full details of the payment options available however we recommend suppliers make an online payment to Hellios for immediate access to the Stage 2 assessment.

How long is qualification valid for?

The renewal date is set at one year after Stage 1 Qualification has been granted. Or in the case of Stage 2 Qualification, one year after payment has been made to apply for qualification. Hellios will issue reminders to suppliers in advance of their qualification expiry deadline.

How long does it take to complete qualification?

Typically, we find it takes less than one business day to enter the information in the system (if you're asked to complete both stages). However, the time required to collate the information varies dependent on the size of an organisation. Larger organisations often have to source the data from a number of internal departments and therefore we're giving existing suppliers approximately eight weeks to complete qualification.

As an existing supplier, what happens if I fail to apply for qualification within the assigned timelines?

Suppliers will be fully supported by Hellios throughout the qualification process. However failure to complete qualification will result in a supplier being classified as non-compliant in our internal systems.

Who can I contact for further information?

Please contact Hellios Supplier Support: email: **fsqs@hellios.com** or telephone 01865 959120 8.30am to 5.30pm, Monday to Friday.