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Guide

Hellios supplier qualification at DAS

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Responsible business practices

DAS is committed to introducing responsible business practices that make it easier for our suppliers to do business with us. To support this commitment, we use the Hellios Financial Supplier Qualification System (FSQS-NE).

This system is designed to standardize and manage our compliance and risk management information requests, along with other major financial services organisations using FSQS-NE.

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-NE provides a standard and simple mechanism for collecting and managing supplier assurance information across DAS. FSQS-NE is also an integral part of our sourcing process.

Our procurement professionals also 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 DAS 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 collects basic information about your organisation and is used to determine whether Stage 2 Qualification is necessary, based on the nature of the goods or services being supplied. For example, if a supplier deals directly with our customer data, then they will be asked to demonstrate how they comply with relevant regulatory requirements.

A simple two-stage process

Stage 1 Qualification

Suppliers will receive an invitation by email to complete an online questionnaire. This invitation will come from Hellios, an external partner, who has been appointed to collect and administer the data on behalf of DAS. The questionnaire takes about an hour to complete. This information will help us determine whether Stage 1 Qualification is sufficient or whether your organisation is required to complete Stage 2 Qualification.

Step 2 Qualification

Stage 2 requires the completion of a more detailed online questionnaire and, in some areas, may require the provision of supporting evidence. To make the process as efficient as possible, most of the questions have selectable answer options rather than requiring lengthy written responses. No proprietary, contractual or pricing information will be asked.

Step 2 typically covers your policies and practice in the following areas:

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

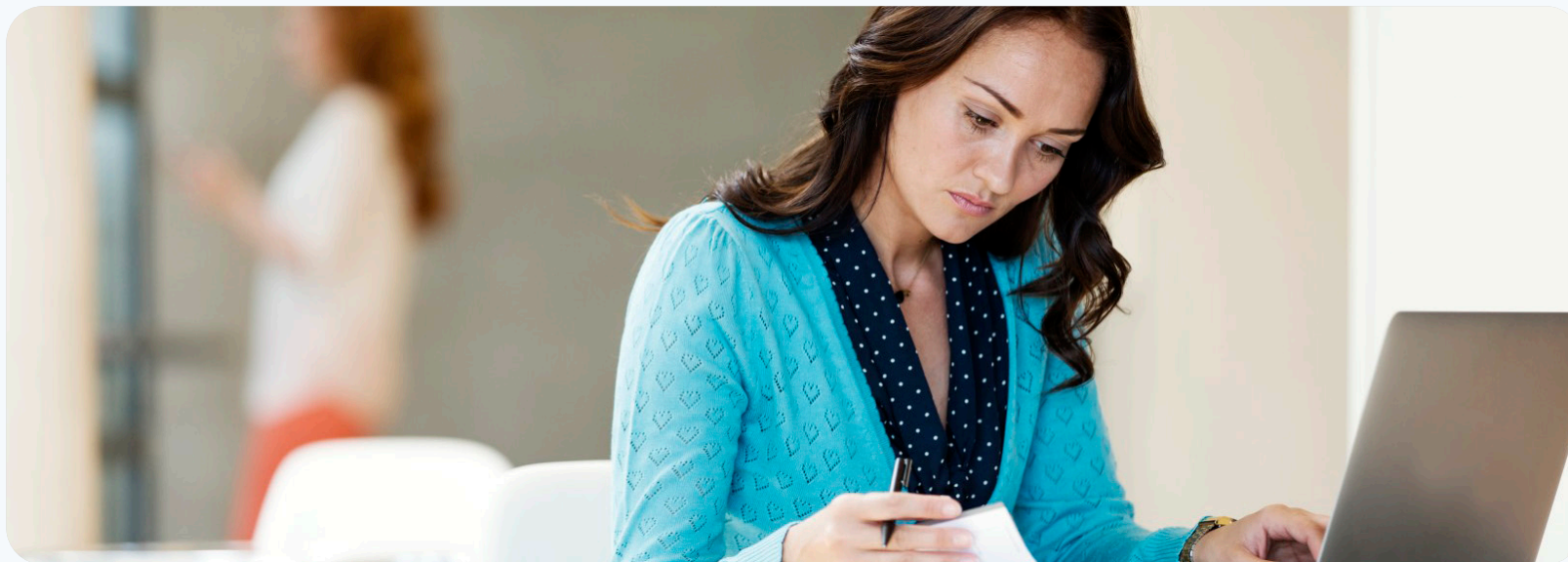
FSQS-NE is funded by DAS, other financial service providers that use the system, and larger suppliers. If your organisation is an independently operating micro, small or medium-sized enterprise (SME), your registration on FSQS-NE will be fully reimbursed, i.e. there is no charge.

For more information on the registration process and associated fees, visit <https://hellios.com/fsqs-ne-fees>.

After Step 2, DAS may wish to carry out further assurance activities, such as an on-site audit. This will be conducted by DAS and will incur no further fees.

Timelines for qualification

Existing suppliers to DAS are given up to six weeks to complete qualification for the first time, to allow sufficient time for familiarisation with the new questionnaires and process. However, we expect most suppliers will be capable of completing qualification in significantly less time. Suppliers bidding for new business with DAS may need to complete the qualification much more quickly in accordance with procurement timescales. Hellios will advise the deadline dates for completion in the FSQS-NE email communications that will be issued.



Frequently asked questions

1. Why has DAS 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 DAS for qualification data. It is also important that we (your organisation and DAS) 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.

2. Who/what is Hellios?

Hellios Information B.V. is based in the Netherlands. The team has extensive experience in collecting and maintaining supplier data on behalf of a number of large international listed (blue chip) companies.

3. What is the role of Hellios?

DAS has appointed Hellios to collect and administer risk-related supplier data on behalf of DAS. Hellios will collect and check the data provided by the suppliers and ensure that it is maintained in the Financial Services Supplier Qualification System (FSQS-NE). Hellios is an approved supplier of DAS. Hellios does not assess whether a supplier is suitable for qualification. That decision rests with DAS.

4. How does Hellios protect the data we provide?

The FSQS-NE application, infrastructure and data storage are hosted in data centers in the EU that are SSAE18 SOC2 and ISO27001 certified. The latest encryption standards are used. Hellios ensures that the limited amount of personal data collected is fully compliant with the GDPR and Data Protection Act 2018. Hellios is ISO27001 certified and Cyber Essentials Plus, the National Cyber Security Centre standard backed by the UK Government.

5. Do we have to register all our legal entities separately?

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

6. Can any supplier apply for qualification?

No, this is by invitation only.

7. Do other suppliers have access to the information we provide?

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

8. Will assurance information be available across DAS?

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

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

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

10. 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 available payment options. However, we advise suppliers to make an online payment so that you can submit the questionnaire as soon as possible.

11. How long is the qualification valid?

The qualification must be renewed annually. To facilitate the process, all answers will then be pre-filled. Hellios will issue reminders to suppliers several weeks prior to their qualification expiry deadline.

12. 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 six weeks to complete qualification.

13. As an existing supplier, what happens if I fail to complete the qualification process 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?

You can contact Hellios via the supplier email address.



fsqs-ne@hellios.info

You can also call Hellios from Monday to Friday between 8:30 AM and 5:30 PM.



[\(020\) 399 4730](tel:(020)3994730)