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**References :**

**DN590212 (Framework)**

**DN590213 (Services)**

**Selection Questionnaire (SQ) for Environment and Transport Commissioning Framework (ETCF) and the Modelling Services Contract V12 20th January 2022**

**Important note :- the Council has renumbered some lots as compared with previous iterations of this framework. Please read the details in this document and the procurement prospectus carefully.**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

All selection questionnaire documents and submissions will be treated as strictly private and confidential.

**Common Selection Questionnaire**

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| In accordance with the provisions of Regulation 53 of the Public Contracts Regulations 2015, the Council has made available the full suite of procurement documents from the publication date of the Find a Tender Service notice.  Organisations completing this Selection Questionnaire should be aware that ITT (Invitation to Tender) documents are, at this stage, for information only and the Council reserves the right to make appropriate adjustments as necessary. It is, therefore, advisable that you do not complete these documents until your organisation receives formal confirmation that it has been invited to proceed to the tender stage. |

**1 Introduction**

1.1 Thank you for your expression of interest for the ETCF Modelling Framework and the separate Modelling Services Contract. You can bid for all or any one of the following elements:-

|  |
| --- |
| Modelling Services contract (4+4 years duration) [formerly Lot 1 of the modelling services framework) |
| Lot 1 Framework Lot (2+2 year duration)- formerly Lot 3 |
| Lot 2 Framework Lot (2+2 year duration)- formerly Lot 4 |
| Lot 3 Framework Lot (2+2 year duration)- formerly Lot 5 |

**Table 1**

1.2 Please indicate the service contract or the lots you are applying for in section 8.8 below.

1.3 The procedure used is to be restricted, with the bidders having the 7 highest scoring returns being qualified to bid for places (more Bidders will be taken through in the event of tied scores) on (a) each lot of the framework or (b) to be the appointed supplier on the services contract through the evaluation of SQ submissions received. Please complete the SQ form once and the capability questions for the lots or contract for which you are applying. You may make a word copy of the relevant parts of this document.

1.4a This Questionnaire has been issued by the Council as the public sector contracting authority in the first stage of a competitive procurement process under the Public Contract Regulations 2015 (“the Regulations”), relevant case law, the Council’s Contract Procedure Rules and Financial Regulations: 1.4a.1 to pre-qualify suppliers in a Restricted Procedure

1.4b “The Bidder” means the body completing these questions – **i.e., the legal entity seeking to be invited to the next stage of the procurement process and responsible for the information provided.** The ‘Bidder’ is intended to cover any economic operator as defined by the Public Contract Regulations 2015 and could be a registered company; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

1.4c The Selection Questionnaire (SQ) gathers information which is used to assess your suitability as a potential Provider in terms of technical knowledge and experience, capacity, your organisation’s standing and financial ability to operate the contract to the Council’s requirements.

1.5a **The Council will also accept the submission of a European Single Procurement Document (ESPD) in place of any relevant sections of the SQ.**

1.5b Please be advised that should there be any change to your financial status, health and safety record and technical competence during the life of the procurement you should advise the Council immediately. You may be asked to fill in this form again to update these details, and the Council will take a view on your suitability to continue in the process. In a similar vein, should these aspects change if you are appointed to the contract you should advise the Council as soon as possible.

1.6 As per 1.3, the Bidders with the highest scoring SQs will be selected to bid for the service contract or framework in which they have expressed an interest. If your SQ does not score highly enough then your participation in the process will cease.

1.7 After submission, the Council will check that your SQ is valid, complete and legally compliant with the European Union Procurement Directives 2014, the Public Contract Regulations 2015, relevant case law and the Council’s Contract Procedure Rules and Financial Regulations.

1.8 Unless some sections or information are being included as part of a European Single Procurement Document submission, this SQ will only be assessed if it is valid, complete and compliant against the evaluation criteria set out in his SQ. Your organisation will be considered for shortlisting if it meets the minimum requirements in accordance with the published criteria.

1.9 The Council reserves the right to retain all non-confidential material submitted, including that prepared for presentation purposes and display, or otherwise use the material as we may consider appropriate, at no cost to the Council.

**2 General Principles**

2.1 Whilst the Council reserves the right to request information at any time throughout the procurement process, we will nevertheless enable you to self-certify that there are no mandatory / discretionary grounds for excluding your organisation before proceeding to complete the Invitation to Tender / Invitation to Quote document, based on your self-certification.

2.2 Following the final tender evaluation, or sooner for the proper conduct of the procurement procedure, we will require from the successful bidder only evidence that the organisation can meet the specified requirements such as those set out in Section 6, relating to Technical and Professional Ability, and Section 8, Additional SQ Modules – these being Project Specific Questions, Insurance; Compliance with Equality Legislation, Skills & Apprentices; Steel (where relevant); Sustainability; Health & Safety and paying the National Living Wage.

2.3 You should be aware that the grounds for mandatory and discretionary exclusion as set out in the Regulations will always be applied to any bidder and all members of a consortium bid and/or subcontractors.

2.4 You are advised to consider the mandatory exclusion questions before completing the SQ. If you cannot meet the requirements of every question in this section, your SQ will not be evaluated further, and your submission will be excluded.

2.5 It will be made clear to you if certain questions are sufficiently critical that an unsatisfactory answer may lead to exclusion, irrespective of the score for the rest of the SQ.

2.6 You must ensure that all questions are completed in full, in the format requested and in English. Failure to do so may result in your submission being disqualified. If a question does not apply to your organisation, please state clearly “Not Applicable (N/A)”.

2.7 Should you need to attach additional appendices in responding to the questions, they should be numbered clearly and correspond to the relevant question(s), and listed as part of the Declaration at the end of the SQ. A template for providing additional information can be found at the end of this document.

2.8 The completed SQ should be returned as below:

2.8.1 Please complete the online SQ via the East Mids Tenders procurement portal and submit it, together with any requested supporting information, by the due date for return. The deadline for submission will be publicised online and is below. Any submissions not received online via the East Mids Tenders procurement portal will be rejected.

2.8.2 Please note that we will use the contact and email address you provided when expressing an interest to send communications via the e-procurement system for any correspondence. If there are any changes to the contact, you have nominated you must update them in the contact field for the contract for which you have expressed an interest. Not doing so will result in you not receiving important communications.

|  |  |
| --- | --- |
| **Name of contracting authority** | Leicestershire County Council |
| **Name of Commissioning Service Manager** | Alex Gray |
| **Contact e-mail address** | Please direct all communications through the East Mids Tenders Portal. |
| **Deadline for Receipt of SQ**  **(UK date and time)** | **28th February 2022 at Noon** |
| **Clarification deadline for the SQ process** | **11th February 2022 at Noon** |

**Table 2.**

2.9 If your organisation is proposing to use one or more sub-contractors to deliver some, or all, of the contract requirements, a separate Appendix should be used to provide details of the proposed bidding model to include members of the supply chain, the percentage of work to be delivered by each sub-contractor and the key contract deliverables for which each sub-contractor will be responsible.

2.10 Whilst the Council recognises that sub-contractual arrangements may be subject to change, you should be aware that where your plans show sub-contractors playing a significant role in delivering the contract requirements, any changes to the proposed arrangements may affect your organisation’s ability to proceed with the procurement process, or to provide goods, works and / or services required.

2.11 You should, therefore, notify the Council immediately of any changes to your proposed sub-contractual arrangements and you should be aware that Leicestershire County Council reserves the right to de-select your organisation prior to the award of any contract, based on an assessment of the updated information.

2.12 If your organisation is submitting this SQ as part of a **Consortium**, you must ensure that you provide the following information:

2.12.1 names and organisational details of all consortium members;

2.12.2 details of the lead consortium member who will be contractually responsible for the service delivery – if the consortium is not proposing to create a separate legal entity;

2.12.3 if the consortium members are not proposing to form a separate legal entity, you must submit full details of the proposed arrangements as a separate Appendix.

2.13 You should be aware that the Council may require the consortium to assume a specific legal form should you be awarded the contract, to the extent that a specific legal form is deemed by the Council as being necessary for the satisfactory performance of the contract.

2.14 **All** members of the consortium will be required to provide the information required in **all** sections of the SQ as part of a single composite response (unless the question specifically directs otherwise) to the Council. For the **scored questions** in sections 6 and 8, a joint response should be submitted.

2.15 The Council recognises that arrangements in relation to a consortium bid may be subject to change, and you should respond on the basis of the arrangements as they are currently envisaged.

2.16 All information provided by the Council, its agents or advisors in respect of this procurement is confidential.

2.17 When you provide details of contracts in response to Section 6 of the SQ (Technical and Professional Ability), your organisation agrees to waive any contractual or other confidentiality rights and obligations that are associated with those contracts.

2.17.1 The Council reserves the right to contact the named Contract Managers in Section 6 in respect of the contracts cited as relevant examples of the present service requirements. For the avoidance of doubt, the named Contract Managers do not owe Leicestershire County Council any duty of care, or have any legal liability, save for any deceitful or maliciously false statement of fact.

2.17.2 The Council confirms that it will keep confidential and not disclose to any third parties any information so obtained from the named Contract Managers other than where required by law for the prevention of fraud, and / or by the contracting authorities defined by the Regulations.

2.18 **Evaluation Methodology**

2.18.1 For the avoidance of doubt, the **scored** questions comprise the following:

2.18.1.1 Not used.

2.18.1.2 each of the technical project-specific questions under Additional SQ Modules (Section 8);

2.18.2 Not used.

2.18.3 This is how the scores for Section 8 are calculated (Additional SQ Modules) –

2.18.3.1 The Evaluator will apply the published scores for the Technical Project-Specific questions that have been set together, add up to 100;

2.18.3.2 each question is scored between 0 and 5 (see paragraph 2.19.8)**;**

2.18.3.3 Not used.

2.18.4 The final score is the total score for section 8, out of a score of 100, which is not weighted,

2.18.5 The table below shows the scoring criteria and the weighting assigned to each section and question, as applicable:

| **Part** | **Section** | **Description** | **Assessment** | **Score (%)** |
| --- | --- | --- | --- | --- |
| 1 | 1 | Potential Supplier Information | Information |  |
| 2 | 2 | Mandatory exclusion questions\* | Pass / fail |  |
| 3 | Discretionary exclusion questions\* | Pass / fail |  |
| Bidders must **pass** all “Pass / Fail” questions of the SQ | Bidders must **pass** all “Pass / Fail” questions of the SQ | Bidders must **pass** all “Pass / Fail” questions of the SQ | Bidders must **pass** all “Pass / Fail” questions of the SQ | Bidders must **pass** all “Pass / Fail” questions of the SQ |
| 5 | Wider Group / Parent Company | Pass / fail |  |
| 7 | Modern Slavery Act | Pass / fail |  |
| 8 | Insurance (8.1) | Self-certification |  |
| Skills and Apprentices (8.2) | Pass / fail |  |
| National Living Wage | Pass/ fail |  |
| Health and Safety | Pass / fail |  |
| Compliance with Equality Legislation | Self-Certification |  |
| Sustainability | Self-Certification |  |
| Capability questions for Modelling Services Contract | Assessed | Out of 100% |
| Capability questions for Lot 1 | Assessed | Out of 100% |
| Capability questions for Lot 2 | Assessed | Out of 100% |
| Capability questions for Lot 3 | Assessed | Out of 100% |
| **\*Please refer to the guidance as to how to answer these questions** | | |
|  |  |  |
|  |  |  |
| Bidders must **pass** all “Pass / Fail” questions of the SQ | | | | |
| **“Pass / fail” questions** | **“Pass / fail” questions** | | Assessed |  |
| **Total Score (Section 8)** | **Total % Score (Section 8)** | | The combined scores in Section 8 (Additional SQ Modules – Technical Project-Specific Questions and National Living Wage). |  |

**Table 3**

2.18.6 The scored questions in Section 8 – Technical and Professional Ability and Additional SQ Modules – will be evaluated as follows:

|  |  |
| --- | --- |
| 0 | Completely fails to meet required standard of capability, or does not provide a proposal. |
| 1 | Proposal significantly fails to meet the standards of capability required, contains significant shortcomings or is inconsistent with other proposals. |
| 2 | Proposal falls short of achieving expected standard of capability, in a number of identifiable respects. |
| 3 | Proposal meets the required standard in most material respects of capability, but is lacking or inconsistent in others. |
| 4 | Proposal meets the required standard of capability in all material respects. |
| 5 | Proposal meets the required standard of capability in all material respects and exceeds some or all of the major requirements. |

**Table 4.**

Questions will be marked out of five as per the evaluation scheme above. Each question is worth the percentage marks available in the table 2.

For example, for question 1, a mark of 3 would score for a question worth 15% would score:-

**3 multiplied by 15%= 9 %**

**5**

**[Your mark for the question divided by 5 multiplied by the maximum points available for that question].**

**Numerical scores will be used to one decimal place rounded on this basis.**

In answering the questions full details to be provided of where you have delivered the elements in the question with full details of the client organisation.

**Consensus Making**

The Council will appoint an evaluation panel of officers and advisors to mark your responses to the capability questions in Section 8 as submitted.

All evaluators will be trained on the published evaluation methodology.

Each evaluator, in private, will score the capability questions in accordance with the published evaluation scheme.

Once evaluators have completed their evaluation work, a meeting will be called for the individual evaluators to agree a joint “consensus” score for each capability question on the basis of the responses as submitted and the published evaluation scheme. A contemporaneous record will be kept of this meeting, which would produce the final scores for all Bidders on their capability questions.

In the unlikely event that the evaluators cannot agree the score for a particular capability question, then the individual evaluator scores for that capability question will be averaged, and the resulting scores logged for the final result of the evaluation, leading to the selection of Bidders who will be invited to tender for the contract and/ or lots they have applied for.

2.18.7 **Qualifying Threshold –**

2.18.7.1 Not used.

2.18.8 The Council will invite the 7 highest scoring returns for the contract or each lot to tender (more Bidders will be taken through in the event of tied scores)

2.18.9 In the event that there are fewer shortlisted organisations than the minimum specified in this SQ, the Council may nevertheless continue the award procedure with such candidates as there are, provided that the number of bidding organisations invited to tender is sufficient to ensure genuine competition.

2.18.10 The Council shall notify all successful and unsuccessful candidates.

**3 Guidance on Completing Each Section**

3.1 **Section 1 – Potential Supplier Information**

3.1.1 This section is used to gather information and build up an understanding of the nature of your organisation as a legal entity participating in the procurement exercise, and the composition of your supply chain. It is for information only and will not be scored, but you could be excluded on the grounds of submitting insufficient or false information.

3.2 **Section 2 – Grounds for Mandatory Exclusion**

3.2.1 We are required by law to exclude your organisation, or consortium, from the procurement if any of the mandatory grounds for rejection applies:

3.2.1.1 There is evidence of convictions relating to specific criminal offences including, but not limited to, organised crime, bribery, corruption, conspiracy, terrorism fraud and money laundering; or

3.2.1.2 your organisation has been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security (except where this is disproportionate, e.g. where the amounts involved were minor); and

3.2.1.3 you have failed to provide evidence of having subsequently taken sufficient remedial action. (See paragraph 3.4 below on “Self-Cleaning”.)

3.2.2 If your organisation has answered “yes” to Question 2.3(a) in the SQ regarding the non-payment of taxes of social security contributions, and has not paid or entered into a binding arrangement to pay the full amount, it is still possible to avoid exclusion if only minor tax or social security contributions are unpaid, or if you have not yet had time to discharge your obligations since learning of the exact amounts due.

3.2.2.1 If this position is applicable to your organisation, you must set out the details in full using a separate Appendix.

3.3 **Section 3 – Grounds for Discretionary Exclusion**

3.3.1 Leicestershire County Council is entitled to exclude supplier organisations from the procurement if you answer “yes” to any of the grounds for discretionary exclusion set out in Questions 3.1 (a) to (j), inclusive, in the SQ.

3.3.2 In accordance with Question 3.1 (g) in the SQ, the Council may exclude your organisation if a Conflict of Interest arises which cannot be effectively remedied.

3.3.2.1 A conflict of interest includes any situation where relevant staff members have, directly or indirectly, a financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the conduct of the procurement procedure.

3.3.3 It is your responsibility to inform the Council where there is any indication that a conflict of interest exists, or may arise, detailing the conflict in a separate Appendix.

3.3.4 In accordance with Question 3.1 (i) in the SQ, the Council is entitled to take account of your organisation’s Past Performance– e.g., through a Certificate of Performance or other evidence – any failure to discharge obligations under previous principal relevant contracts, and / or whether specified minimum standards for reliability were met, and exclude you from participating further in the procurement.

3.3.5 Where such grounds exist and having considered all the relevant circumstances, the Council may, at its sole discretion, allow the supplier to proceed. (See paragraph 3.4 below on “Self-Cleaning”.)

3.4 **Self-Cleaning**

3.4.1 If your organisation has answered “yes” to Questions 2.1, 2.2 and 3.1 in the SQ, you should provide sufficient evidence, in a separate Appendix, setting out the circumstances and any remedial action subsequently taken that effectively “self-cleans” the infraction referred to, to the satisfaction of the Council.

3.4.2 If the Council considers your evidence and the remedial action(s) that you have taken to be sufficient, your organisation shall be allowed to continue in the procurement process. The Council’s decision is final.

3.4.3 For the evidence referred to above to be considered sufficient, your organisation must prove, as a minimum that it has:

3.4.3.1 paid, or undertaken to pay, compensation in respect of any damage caused by the criminal offence or misconduct;

3.4.3.2 clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and

3.4.3.3 taken robust technical, organisational and personnel measures that are appropriate to prevent such criminal offences or misconduct recurring in the future.

3.4.4 The Council will evaluate your organisation’s remedial measures taking into account the gravity and particular circumstances of the criminal offence or misconduct.

3.4.5 Where we consider the remedial measures to be insufficient, your organisation shall be given a statement of the reasons for that decision, which is final.

3.4.6 The principle of self-cleaning applies to both mandatory and discretionary exclusion.

3.4.7 Self-cleaning is not applicable to discretionary exclusion grounds which are procurement-specific and not as a result of supplier wrongdoing – e.g., in instances of a conflict of interest arising, or a distortion of competition from prior involvement.

3.4.8 You should be aware that grounds for exclusion may be applied at any point in the procurement process up to the award of contract.

3.5 **Section 4 – Economic and Financial Standing**

3.5.1 The financial assessment of your SQ submission will be undertaken in a proportionate and flexible manner, whilst nevertheless ensuring that taxpayer value and safety are protected and compliant with the Regulations.

3.5.2 Your organisation’s turnover requirement will be capped at twice the contract value and you will not be deselected on the basis of the size of turnover alone. The financial standing of your organisation will be considered in the context of the overall selection criteria rather than as a discrete criterion on the ability to deliver the service.

3.5.3 Where your organisation is bidding as part of a consortium, the **lead** partner in your consortium must be able to demonstrate an annual turnover that meets the minimum set out for the contract that is deemed appropriate to deliver the service requirements.

3.5.4 Your financial submissions in the SQ that are valid, complete and not already excluded by failing the Mandatory and / or Discretionary exclusion questions referred to in paragraphs 3.2 and 3.3 will be assessed as follows:

3.5.4.1 A credit check using a reputable agency will be carried out and a “high risk” rating may result in your organisation not progressing to the next stage.

3.5.4.2 We will also perform a financial ratio analysis using the information that you have supplied in the Financial Appraisal Form, your trading accounts and / or other information in your financial submissions, in conjunction with the credit check. This will cover the following accountancy ratios:-

1. Pre- Tax Profit Margin (%)
2. Current Ratio
3. Sales/ Net working capital
4. Gearing %
5. Equity in %
6. Creditor Days
7. Debtor Days
8. Acid Test (Liquidity)
9. Return on Capital Employed
10. Return on Total Assets Employed
11. Current debt ratio
12. Total debt ratio
13. Stock turnover
14. Return on Net Assets Employed

3.5.4.3 Your organisation may also be excluded from participating further in the tender process where the Council requests a banker’s reference that is subsequently refused by your bank.

3.5.4.4 Based on our assessment of the financial submissions made by you, the Council will determine whether your organisation’s economic and financial standing can satisfactorily meet the requirements for this procurement. As indicated above (3.5.4.1), your credit rating is an important deciding factor in the assessment.

3.5.4.5 For the avoidance of doubt, if your organisation’s economic and financial standing is deemed not satisfactory in the eyes of the Council’s finance advisors using the factors described in 3.5.4.1 and 3.5.4.2, this will be equivalent to a “Fail” and your organisation will be excluded from further participation in this procurement.

3.6 **Section 5 – Wider Group / Parent Company**

3.6.1 Where your organisation is a subsidiary in a group, please provide details for the organisation with overall responsibility for the group.

3.7 **Section 6 – Technical and Professional Ability**

3.7.1 The Technical and Professional Ability sectionwill account for the overall total score of the SQ as detailed in the table under 2.18.5 and 2.18.6.

3.7.2 The Council shall request details of up to three (3) contracts, from either the public or private sector, to assess your organisation’s experience, professional competence and technical expertise that are relevant to the service requirements. Contracts for supplies or services must have been performed in the past three years and works contracts in the last five years.

3.7.3 As part of this section you will be asked to provide a brief description of the contract delivered, including evidence as to your technical capability in this market. You must ensure that the named Contract Manager is prepared to provide confidential written evidence that corroborates the accuracy of the information which you provide, with an evaluation of your organisation’s overall performance

3.7.4 Providers bidding as a consortium should provide relevant examples where the consortium has operated similar contracts. If this is not possible – e.g., it is a newly formed consortium – then three separate examples should be provided between the principal members.

3.7.6 Providers who cannot provide at least one example must provide an explanation for this under 6.3 of the SQ. This will be for information only.

3.7 **Section 7 – Modern Slavery Act 2015**

3.7.1 Since 1 October 2015, commercial organisations that carry on a business or part of the business in the UK, supply goods or services and have an annual turnover of £36 million or more (“relevant commercial organisations”) have been required under Section 54 of the Act to prepare a slavery and human trafficking statement as defined by section 54 of the Act. Use this section to declare if you fall under this category.

3.8 **Section 8 – Additional SQ Questions**

3.8.1 There may be a number of relevant, project-specific questions that are designed to test your organisation’s technical and professional ability as part of the selection. You must ensure that you answer every question in this section as each of the responses will be scored and, in aggregate, will account towards the overall total score of the SQ.

3.8.2 You are also required to respond in full to the other modular questions which form part of this SQ. Where a module is marked for “Self-Certification”, checks on your answers will only be carried out on the successful bidding organisation at contract award stage.

3.8.2.1 **Insurance** (Self-Certification)

The type of insurance specified in the SQ is typical for the nature of the work involved and the level of cover is deemed to be proportionate and reflective of the risk level. You should self-certify that:

(i) your organisation either already carries the required insurance; or

(ii) give an undertaking that, in the event of your organisation being awarded the contract, you will secure additional insurance to the level of cover required.

(iii) If you are not prepared to raise your insurance cover to the level required, your organisation will fail this section of the SQ and it may not progress any further in respect of this procurement process.

3.8.2.2 **Further project-specific questions to assess Technical and Professional Ability**

This section may contain any further project-specific questions to assess the technical and professional ability of providers. This section will be scored as outlined in paragraph 2.18 and will account towards the overall score of the Additional SQ Modules section.

3.8.2.3 **National Living Wage**

Although not presently required by law, the Council, as a licence holder of the Centre for Civil Society, supports the paying of a National Living Wage to staff and encourages our contractors to do likewise. You are asked to set out your organisation’s remuneration policy in this section.

3.8.2.4 **Health and Safety**

All employers in the United Kingdom with more than five (5) employees – or fewer as applicable to this procurement – are obliged to have a Health & Safety policy that is signed, dated and regularly updated.

(i) You should self-certify that you have such a policy in place if the above circumstances are applicable to your organisation;

(ii) you must also declare on the SQ if the Health & Safety Executive has issued Enforcement / Remedial Orders to any of your Directors and / or Executive Officers within the last three (3) years.

(iii) You should be aware that in those circumstances, the Council is obliged by law to exclude your organisation from participating further in the procurement process unless you are able to demonstrate to our satisfaction that remedial actions have been taken and procedural changes adopted to prevent future breaches.

(iv) Please be aware also that the Council reserves the right to seek clarification to contract-specific questions where relevant – e.g., induction and training of staff, COSSH policy, drugs and alcohol misuse, risk assessment, etc.

3.8.2.5 **Compliance with Equality Legislation** (Self-Certification)

The Council has a legal obligation to comply with Equality legislation and, as a public sector buyer, to ensure that our equality policies are promoted throughout the procurement.

(i) You are asked to self-certify that your organisation complies with the requirements of the Equality Act 2010;

(ii) you must give a detailed account of any reported breach(es) of the legislation and the remedial action(s) subsequently taken, if any, to address the breach(es).

(iii) You should be aware that, in the event of your organisation being awarded the contract, the Council reserves the right to explore with you at award stage additional equality requirements that are service-specific – e.g., engaging with particular ethnic or hard to reach groups.

(iv) The compliance with equality requirements will be continuously assessed throughout the lifetime of the contract.

3.8.2.6 Sustainability (Self-Certification)

The Council has an obligation, under the terms of the Public Services (Social Value) Act 2012, to have regard to the economic, social and environmental wellbeing of Leicestershire County citizens when procuring public contracts.

(i) You are asked to self-certify that your organisational policies and service delivery would have a beneficial economic, social and environmental impact on service users and the wider community in Leicestershire, in the event of your organisation being awarded the contract.

3.9 **Declaration**

3.9.1 Before submitting the completed SQ, please check through the document to ensure that you have answered all the questions and provided additional information, where required, using the Appendices template included at the end of this document as a guide

3.9.2 Complete, date and sign the Declaration form, listing any appendices with their corresponding SQ section and question numbers

3.9.3 Submit / Upload the **full, complete** SQ to the East Mids Tenders portal by, or before, the submission deadline falls due.

**Part 1: Potential supplier Information**

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 1 | Potential supplier information | |
| Question number | Question | Response |
| 1.1(a) | Full name of the potential supplier submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status   1. public limited company 2. limited company 3. limited liability partnership 4. other partnership 5. sole trader 6. third sector 7. other (please specify your trading status) |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office DUNS number (if applicable) |  |
| 1.1(h) | Registered VAT number |  |
| 1.1(i) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | Yes ☐  No ☐  N/A ☐ |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | 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? | Yes ☐  No ☐ |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)   1. Voluntary Community Social Enterprise (VCSE) 2. Sheltered Workshop 3. Public service mutual |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[1]](#footnote-1)? | Yes ☐  No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[2]](#footnote-2)  - 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;  - Over 25% up to (and including) 50%,  - More than 50% and less than 75%,  - 75% or more. [[3]](#footnote-3)  (Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company:    - Full name of the immediate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office DUNS number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:  - 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 enter N/A if not 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.

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

|  |  |  |
| --- | --- | --- |
| Section 1 | Bidding model | |
| Question number | Question | Response |
| 1.2(a) - (i) | Are you bidding as the lead contact for a group of economic operators? | Yes ☐  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. |
| 1.2(a) - (ii) | Name of group of economic operators (if applicable) |  |
| 1.2(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. |  |
| 1.2(b) - (i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | Yes ☐  No ☐ |
| 1.2(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.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | 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 |  |  |  |  |  | | |

**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 Council 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.

|  |  |  |
| --- | --- | --- |
| Section 1 | Contact details and declaration | |
| Question number | Question | Response |
| 1.3(a) | Contact name |  |
| 1.3(b) | Name of organisation |  |
| 1.3(c) | Role in organisation |  |
| 1.3(d) | Phone number |  |
| 1.3(e) | E-mail address |  |
| 1.3(f) | Postal address |  |
| 1.3(g) | Signature (electronic is acceptable) |  |
| 1.3(h) | Date |  |

**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 | |
| Question number | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), which should be referred to before completing these questions.  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](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | |
|  | Participation in a criminal organisation. | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Corruption. | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Fraud. | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.  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. |  |
| 2.2 | 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) | Yes ☐  No ☐ |
| 2.3(a) | **Regulation 57(3)**  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 security contributions? | Yes ☐  No ☐ |
| 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. |  |

Please Note: The Council 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 | |
|  | Question | Response |
| 3.1 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf), 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. | |
| 3.1(a) | Breach of environmental obligations? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 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? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 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? | Yes ☐  No ☐  If yes please provide details at 3.2 |
| 3.1(j)  3.1(j) - (i)  3.1(j) - (ii)  3.1(j) –(iii)  3.1(j)-(iv) | Please answer the following statements  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.  The organisation has withheld such information.  The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.  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 provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes ☐  No ☐  If Yes please provide details at 3.2  Yes ☐  No ☐  If Yes please provide details at 3.2  Yes ☐  No ☐  If Yes please provide details at 3.2  Yes ☐  No ☐  If Yes please provide details at 3.2 |

|  |  |  |
| --- | --- | --- |
| 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) |  |

**Part 3: Selection Questions**[[4]](#footnote-4)

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| --- | --- | --- |
| **Section 4** | **Economic and Financial Standing** | |
|  | Question | Response |

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| --- | --- | --- |
| **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: answer with Y/N in the relevant box. | Yes ☐  No ☐ |
| (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. | Yes ☐  No ☐ |
| (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | Yes ☐  No ☐ |
|  | (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). | Yes ☐  No ☐ |
| **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. | Yes ☐  No ☐ |

|  |  |
| --- | --- |
| **Section 5** | **If you are a part of a Wider Group** |
| 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** |  |

|  |  |  |
| --- | --- | --- |
| **5.1** | Are you able to provide parent company accounts if requested to at a later stage? | Yes ☐  No ☐ |
| **5.2** | If yes, would the parent company be willing to provide a guarantee if necessary? | Yes ☐  No ☐ |
| **5.3** | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | Yes ☐  No ☐ |

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| **Section 6** | **Technical and Professional Ability** |

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| --- | --- |
| **6.1** | **Relevant experience and contract examples**  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.  The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.  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).  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.  If you cannot provide examples see question 6.3 |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Contract 1** | **Contract 2** | **Contract 3** |
| **Name of customer organisation** |  |  |  |
| **Point of contact in the organisation** |  |  |  |
| **Position in the organisation** |  |  |  |
| **E-mail address** |  |  |  |
| **Description of contract** |  |  |  |
| **Contract Start date** |  |  |  |
| **Contract completion date** |  |  |  |
| **Estimated contract value** |  |  |  |

|  |  |
| --- | --- |
| **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 prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries) |
|  |  |

|  |  |
| --- | --- |
| **6.3** | If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. |
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| --- | --- |
| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015** |

|  |  |  |
| --- | --- | --- |
| **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")? | Yes ☐  N/A ☐ |
| **7.2** | If you have answered yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes ☐  Please provide the relevant URL …  No ☐  Please provide an explanation  N/A ☐ |

**8. Additional Questions**

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

|  |  |
| --- | --- |
| **Section 8** | **Additional Questions** |
| **8.1 Insurance** | |

|  |  |
| --- | --- |
| a. | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:  Y/N  Employer’s (Compulsory) Liability Insurance = £10 million  Public Liability Insurance = £10 million  Professional Indemnity Insurance = £5 million  \*It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders. |

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| **8.2 Skills and Apprentices[[5]](#footnote-5) – (please refer to supplier selection guidance)** |

|  |  |  |
| --- | --- | --- |
| **a.** | Public procurement of contracts with a full life value of £10 million and above and duration of 12 months and above should be used to support skills development and delivery of the apprenticeship commitment. This policy is set out in detail in Procurement Policy Note 14/15.Please confirm if you will be supporting apprenticeships and skills development through this contract. | Yes ☐  No ☐ |
| **b.** | If yes, can you provide at a later stage documentary evidence to support your commitment to developing and investing in skills, development and apprenticeships to build a more skilled and productive workforce and reducing the risks of supply constraints and increasing labour cost inflation? | Yes ☐  No ☐ |
| **c.** | Do you have a process in place to ensure that your supply chain supports skills, development and apprenticeships in line with PPN 14/15 (see guidance) and can provide evidence if requested? | Yes ☐  No ☐ |

|  |  |  |
| --- | --- | --- |
| 8.3 Specific Scored Technical Questions | | |
| **Pan Regional Transport Model (PRTM) Modelling Services Contract Capability Questions. Maximum 2000 words per response to each question below e.g. 1.1.**   | **Number** | **Question** | **What must be covered** | **%** | | --- | --- | --- | --- | | 1.1 | The Pan Regional Transport Model is a Land-Use & Transport Interaction (LUTI) model. Please describe your capability of using such models. | Describe your experience of LUTI type models and how you have managed and applied them to projects of both, countywide and regional significance. Your response should also discuss:   * Potential applications, * Sense checking, * Project specific remedial measures (e.g. recalibration) | 15 | | 1.2 | Describe your capability for variable demand modelling using EMME software | Describe your experience of variable demand modelling. Your response should also discuss demand modelling as a component within a LUTI environment. | 10 | | 1.3 | Describe your capability for highway supply modelling using Saturn software. | Experience of model creation, sign off as fit for purpose, and successful use thereof is required. | 15 | | 1.4 | Describe your capability for Public Transport Supply Modelling using EMME software. | Experience of model creation, sign off as fit for purpose, and successful use thereof is required | 10 | | 1.5 | Describe your capability to use Environmental Models | Describe your experience in using transport models to generate insights as to the environmental impact of a particular transport proposal. | 10 | | 1.6 | Describe your capability for using transport related economic software. | Describe your experience of using the following software:   * TUBA * WITA * CoBALT | 10 | | 1.7 | Describe your capability regarding land-use modelling | Describe how you have managed a specialist supplier to deliver consultancy services using the DELTA modelling software (or equivalent). | 5 | | 1.8 | Describe your capability to deliver consultancy modelling assignments to schedule and to the agreed timescales | Describe how you have project managed previous consultancy assignments to the satisfaction of the client with staff continuity | 5 | | 1.9 | Please describe your capability to keep staff trained and current on the technology you use and on the differing requirements of disparate client organisations | Describe how you have inducted and trained staff on your systems and on differing client requirements, particularly complex modelling work. Describe how you have ensured that this training and effectiveness persisted within your employees. | 5 | | 1.10 | Please describe your technical and professional capability as regards business continuity | Describe your systematic capability in business continuity and how you have used this to protect client organisations in the event of service/ system outage and how you have maintained staff continuity for key staff | 10 | | 1.11 | Describe your capability in managing stakeholders and clients | Describe you have successfully met client needs to deliver stakeholder engagement to client satisfaction | 5 |   **Framework Lot 1 Capability Questions. Maximum 2000 words per response to each question below e.g. 3.1.**  **Microsimulation Modelling**   | **Number** | **Question** | **What must be covered** | **%** | | --- | --- | --- | --- | | 3.1 | Describe your capability to use PTV VISSIM | Evidence of model creation and application is required. Specify how traffic assumptions have been made (including any Matrix Estimation processes) and then applied within the modelling (possibly via Dynamic Assignment). Elaborate on the Validation/Calibration and convergence processes if applicable. How has model output been reported?    Ideally evidence will be drawn from working with large PTV VISSIM models (500+ links/connectors, 50+ zones). | 20 | | 3.2 | Signal Coding Capability | Describe your capability to code complex signal junctions within PTV VISSIM (via VISVAP or alternative methods). | 15 | | 3.3 | Describe your capability to use other tools within the PTV microsimulation modelling suite such as: VISWALK and COM. | Describe your capability to integrate PTV VISWALK into a PTV VISSIM model. Describe your capability to integrate COM into a PTV VISSIM Model. Elaborate and provide examples of any additional microsimulation modelling expertise you have and can use to enhance a PTV VISSIM model / model outputs (such as 3D videos, data tables, graphs and mapping) | 10 | | 3.4 | Describe your experience in how a Strategic Model and Microsimulation model can influence one another. | Describe your capability in linking the outputs from the strategic model back into the microsimulation model and vice versa in order to influence demand matrices in future years. Describe a relationship between the Strategic and Microsimulation models and how you have used them in tandem during an application. | 10 | | 3.5 | Describe your capability to use Microsimulation Model outputs for environmental models to monitor air quality. | Describe your experience in using microsimulation models to generate insights as to the environmental impact of a particular transport proposal. | 10 | | 3.6 | Describe your capability to use Paramics | Evidence of model creation and application is required. | 5 | | 3.7 | Please describe your capability to keep staff trained and current on the technology you use and on the differing requirements of disparate client organisations | Describe how you have inducted and trained staff on your systems and on differing client requirements, particularly complex modelling work. Describe how you have ensured that this training and effectiveness persisted within your employees. | 10 | | 3.8 | Please describe your technical and professional capability as regards business continuity | Describe your systematic capability in business continuity and how you have used this to protect client organisations in the event of service/ system outage and how you have maintained staff continuity for key staff | 10 | | 3.9 | Describe your capability in managing stakeholders and clients | Describe you have successfully met client needs to deliver stakeholder engagement to client satisfaction | 10 |   **Framework Lot 2 Capability Questions. Maximum 2000 words per response to each question below e.g. 4.1.**  **Rail Policy, Strategy and Modelling**   | **Number** | **Question** | **What must be covered** | **%** | | --- | --- | --- | --- | | 4.1 | Describe your capability:   * in rail testing and modelling | Describe your previous experience in working with third party organisations to deliver rail testing and modelling assignments to the satisfaction of clients. | 24 | | 4.2 | Describe your capability:   * in developing and identifying and presenting rail evidence | Describe your previous experience in generating and presenting (evidence) from modelling work on rail transportation to influence policy makers and funding organisations. | 23 | | 4.3 | Describe your capability:   * in providing support and guidance to clients | Describe your previous experience of influencing and/ or lobbying citing specific examples where your client has been a County Council, Metropolitan Borough, a London Borough or a Unitary Council. | 23 | | 4.4 | Please describe your capability to keep staff trained and current on the technology you use and on the differing requirements of disparate client organisations | Describe how you have inducted and trained staff on your systems and on differing client requirements, particularly complex modelling work. Describe how you have ensured that this training and effectiveness persisted within your employees. | 15 | | 4.5 | Please describe your technical and professional ability as regards business continuity | Describe your systematic capability in business continuity and how you have used this to protect client organisations in the event of service/ system outage and how you have maintained staff continuity for key staff | 15 |   **Framework Lot 3 Capability Questions. Maximum 2000 words per response to each question below e.g. 5.1.**  **Comprehensive Advisory and Support Panel: Transport Planning and Policy, Engineering and Technical Support**   | **Number** | **Question** | **What must be covered** | **%** | | --- | --- | --- | --- | | 5.1 | Describe your capability in   * Quality audits * Project coordination * Project and Programme and management | Describe how you have undertaken this work in the past and the methodology which was used for each element. | 12 | | 5.2 | Describe your capability in Inputs to Business Cases | Describe how you have developed business cases, for potential schemes, to apply for funding | 11 | | 5.3 | Describe your capability in developing insights for inputs into transport plans and policies (strategic and detailed) | Describe how you have developed and supported transport plans, assessments and polices for potential schemes. | 11 | | 5.4 | Describe your capability in scheme design. | Describe how you have successfully met client needs to deliver scheme design to client satisfaction. | 11 | | 5.5 | Describe your capability in the provision of interim staff cover. | Describe how you have successfully met client needs for specialist interim staff to client satisfaction. | 11 | | 5.6 | Describe your capability in stakeholder engagement | Describe you have successfully met client needs to deliver stakeholder engagement to client satisfaction. | 11 | | 5.7 | Describe your capability in public consultation | Describe you have successfully met client needs to deliver public consultations to client satisfaction. | 11 | | 5.8 | Please describe your capability to keep staff trained and current on the technology you use and on the differing requirements of disparate client organisations | Describe how you have inducted and trained staff on your systems and on differing client requirements, particularly complex modelling work. Describe how you have ensured that this training and effectiveness persisted within your employees. | 11 | | 5.9 | Please describe your technical and professional ability as regards business continuity | Describe your systematic capability in business continuity and how you have used this to protect client organisations in the event of service/ system outage and how you have maintained staff continuity for key staff | 11 | | | |
| **8.4** | **National Living Wage** | |
| **a.** | Please self-certify if your organisation pays the staff a National Living Wage as per the levels applying to March 2022 below:-   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |  | **23 and over** | **21 to 22** | **18 to 20** | **Under 18** | **Apprentice** | | **April 2021** | £8.91 | £8.36 | £6.56 | £4.62 | £4.30 | | Yes ☐  No ☐ |
| **b.** | If your organisation does not presently pay staff a National Living Wage, please self-certify if you would consider doing so in the event of your organisation being awarded this contract. | Yes ☐  No ☐ |

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| --- |
| **8.5 Health & Safety** |

|  |  |  |
| --- | --- | --- |
| **a.** | Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements. | Yes ☐  No ☐ |
| **b.** | 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 three (3) years?  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(s), or changes to procedures, you have made as a result.  The Council will exclude bidder(s) that have been in receipt of any enforcement / remedial action orders unless the bidder(s) can demonstrate to the Council’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches. | Yes ☐  No ☐ |
| **C.** | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | Yes ☐  No ☐ |

|  |  |
| --- | --- |
|  | If “**Yes**” what were the circumstances, what was the effect on your Customers and how did you overcome it **in no more than 250 words**? |
|  |

|  |  |
| --- | --- |
| **8.6** | **Compliance with Equality Legislation** |

|  |  |  |
| --- | --- | --- |
| For organisations working outside the UK, please refer to equivalent legislation in the country in which you are located. | | |
| **a.** | In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | Yes ☐  No ☐ |
| **b.** | In the last three years, has your organisation 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 or alleged unlawful discrimination?  If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.  If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action, if any, you have taken to prevent unlawful discrimination from reoccurring.  You may be excluded if you are unable to demonstrate to the Council’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring. | Yes ☐  No ☐ |
|  | | |
| **c.** | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | Yes ☐  No ☐ |
| **8.7** | **Sustainability** | |
| The Council has an obligation, under the terms of the Public Services (Social Value) Act 2012, to have regard to the economic, social and environmental wellbeing of its citizens when procuring public contracts. | | |
| **a.** | Please self-certify that your organisational policies and service delivery would have a beneficial economic, social and environmental impact on service users and the wider community in Leicestershire County . | Yes ☐  No ☐ |
| **b.** | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)?  If your answer to this question is “Yes”, please provide details in a separate Appendix of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.  The Council will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last three (3) years, unless it is satisfied that appropriate remedial action has been taken to prevent future occurrences / breaches. | Yes ☐  No ☐ |
|  | | |
| **c.** | If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation? | Yes ☐  No ☐ |

|  |  |
| --- | --- |
| **8.8** | **Lot submission** |

|  |  |  |
| --- | --- | --- |
| If relevant please provide details of which contract and framework lots you are applying for. | | |
| **a.** | |  |  | | --- | --- | | Lot | We are applying for this lot. Yes/ No. | | Modelling Services contract (4+4 years duration) |  | | Framework Lot 1 (2+2 year duration) |  | | Framework Lot 2 (2+2 year duration) |  | | Framework Lot 3 (2+2 year duration) |  | |  |  | |  |

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| **Schedule 1– Template for Appendices** |
| **Appendix number:** |
| **SQ section:** |
| **Question number:** |
|  |

1. See EU definition of SME <https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en> [↑](#footnote-ref-1)
2. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-2)
3. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-3)
4. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-4)
5. [Procurement Policy Note 14/15– Supporting Apprenticeships and Skills Through Public Procurement](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/456805/27_08_15_Skills__Apprenticeships_PPN_vfinal.pdf) [↑](#footnote-ref-5)