



## 4 Stage 1 Tender Submission

**Contract Reference**

**T00316HR**

**Contract Title**

**Lot One – Occupational Health Service**

**Lot Two - Face to Face Counselling**

**Lot Three - Employee Assistance Programme**

**Maximum Period of Contract**

**Four (4) years**

**Return Date**

**06 September 2016**

**Return Time**

**12 noon**

**Return To**

**[www.supplyingthesouthwest.org.uk](http://www.supplyingthesouthwest.org.uk)**

**Applicant Name**

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# Stage One – Standardised Pre-Qualification Questionnaire (PQQ)

## Notes for completion

1. “Authority” means the public sector contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable suppliers to participate in this procurement process.
2. “You”/ “Your” or “Supplier” 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 ‘Supplier’ 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.
3. This Pre-Qualification Questionnaire (PQQ) has been designed to assess the suitability of a Supplier to deliver the Authority’s contract requirement(s). If you are successful at this stage of the procurement process, you will be selected for the subsequent award stage of the process.
4. Please ensure that all questions are completed in full, and in the format requested. Failure to do so may result in your submission being disqualified. If the question does not apply to you, please state clearly ‘N/A’.
5. Should you need to provide additional Appendices in response to the questions, these should be numbered clearly and listed as part of your declaration. A template for providing additional information is provided at the end of this document.
6. Please return a completed version of this document electronically via the Portal, in advance of the deadline for submission.

## Verification of Information Provided

7. Whilst reserving the right to request information at any time throughout the procurement process, the authority may enable the Supplier to self-certify that there are no mandatory/ discretionary grounds for excluding their organisation. When requesting evidence that the supplier can meet the specified requirements (such as the questions in section 7 of this PQQ relating to Technical and Professional Ability) the authority may only obtain such evidence after the final tender evaluation decision i.e. from the winning Supplier only.

## Sub-contracting arrangements

8. Where the Supplier proposes 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 that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for.
9. The Authority recognises that arrangements in relation to sub-contracting may be subject to future change, and may not be finalised until a later date. However, Suppliers should be aware that where information provided to the Authority indicates that sub-contractors are to play a significant role in delivering key contract requirements, any changes to those sub-

contracting arrangements may affect the ability of the Supplier to proceed with the procurement process or to provide the supplies and/or services required. Suppliers should therefore notify the authority immediately of any change in the proposed sub-contractor arrangements. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.

### **Consortia arrangements**

10. If the Supplier completing this PQQ is doing so as part of a proposed consortium, the following information must be provided;
  - names of all consortium members;
  - the lead member of the consortium who will be contractually responsible for delivery of the contract (if a separate legal entity is not being created); and
  - if the consortium is not proposing to form a legal entity, full details of proposed arrangements within a separate Appendix.
11. Please note that the Authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that a specific legal form is deemed by the authority as being necessary for the satisfactory performance of the contract.
12. All members of the consortium will be required to provide the information required in all sections of the PQQ as part of a single composite response to the Authority i.e. each member of the consortium is required to complete the form.
13. Where you are proposing to create a separate legal entity, such as a Special Purpose Vehicle (SPV), you should provide details of the actual or proposed percentage shareholding of the constituent members within the new legal entity in a separate Appendix.
14. The Authority recognises that arrangements in relation to a consortium bid may be subject to future change. Suppliers should therefore respond on the basis of the arrangements as currently envisaged. Suppliers are reminded that the Authority must be immediately notified of any changes, or proposed changes, in relation to the bidding model so that a further assessment can be carried out by applying the selection criteria to the new information provided. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.

### **Confidentiality**

15. When providing details of contracts in answering section 6 of this PQQ (Technical and Professional Ability), the Supplier agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.
16. The Authority reserves the right to contact the named customer contact in section 6 regarding the contracts included in section 6. The named customer contact does not owe the Authority any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.
17. The Authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the Public Contract Regulations.

1. Supplier Information			
1.1. Supplier Details	Answer		
Full name of the Supplier completing the PQQ			
Registered company address			
Registered company number			
Registered charity number			
Registered VAT number			
Name of immediate parent company			
Name of ultimate parent company			
Please mark 'X' in the relevant box to indicate your trading status	i) a public limited company	<input type="checkbox"/>	Yes
	ii) a limited company	<input type="checkbox"/>	Yes
	iii) a limited liability partnership	<input type="checkbox"/>	Yes
	iv) other partnership	<input type="checkbox"/>	Yes
	v) sole trader	<input type="checkbox"/>	Yes
	vi) other (please specify)	<input type="checkbox"/>	Yes
	vii) Voluntary, Community and Social Enterprise (VCSE)	<input type="checkbox"/>	Yes
	viii) Small or Medium Enterprise (SME) <sup>1</sup>	<input type="checkbox"/>	Yes
	ix) Sheltered workshop	<input type="checkbox"/>	Yes
	x) Public service mutual	<input type="checkbox"/>	Yes
1.2. Bidding Model			
Please mark 'X' in the relevant box to indicate whether you are:			
a) Bidding as a Prime Contractor and will deliver 100% of the key contract deliverables yourself	<input type="checkbox"/>	Yes	
b) Bidding as a Prime Contractor and will use third parties to deliver <u>some</u> of the services	<input type="checkbox"/>	Yes	
If yes, please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for			

<sup>1</sup> See EU definition of SME: <http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/>

<p>c) Bidding as the Prime Contractor but will operate as a Managing Agent and will use third parties to deliver <u>all</u> of the services</p> <p>If yes, please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for</p>	<input type="checkbox"/>	Yes
<p>d) Bidding as a consortium but not proposing to create a new legal entity.</p> <p>If yes, please include details of your consortium in the next column and use a separate Appendix to explain the alternative arrangements i.e. why a new legal entity is not being created.</p> <p>Please note that the Authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that it is necessary for the satisfactory performance of the contract.</p>	<input type="checkbox"/>	Yes  <u>Consortium members</u>  <u>Lead member</u>
<p>e) Bidding as a consortium and intend to create a Special Purpose Vehicle (SPV).</p> <p>If yes, please include details of your consortium, current lead member and intended SPV in the next column and provide full details of the bidding model using a separate Appendix.</p>	<input type="checkbox"/>	Yes  <u>Consortium members</u>  <u>Lead member</u>  <u>Name of Special Purpose Vehicle</u>
<b>1.3. Contact Details</b>		
<p align="center"><b>Supplier contact details for enquiries about this PQQ</b></p> <p align="center"><i>Please note – all communication to the named contact will be undertaken electronically through the e-tendering portal and therefore through the individual who has expressed an interest in this opportunity.</i></p>		
Name		
Postal address		
Country		
Phone		
Mobile		
E-mails		
<b>1.4. Licensing and Registration</b>		
(Please mark 'X' in the relevant box):		

1.4.1	<b>Registration with a professional body</b>  If applicable, is your business registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in Annex XI of directive 2014/24/EU) under the conditions laid down by that member state).	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
		<input type="checkbox"/>	N/A
		If yes please provide the registration number in this box:	
1.4.2	<b>Is it a legal requirement in the state where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement?</b>	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
		If Yes, please provide additional details within this box of what is required and confirmation that you have complied with this:	

## 2. Grounds for Mandatory Exclusion

You will be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).

If you have answered “yes” to question 2.2 on the non-payment of taxes or social security contributions, and have not paid or entered into a binding arrangement to pay the full amount, you may still avoid exclusion if only minor tax or social security contributions are unpaid or if you have not yet had time to fulfil your obligations since learning of the exact amount due. If your organisation is in that position please provide details using a separate Appendix. You may contact the authority for advice before completing this form.

Please indicate your answer by marking 'X' in the relevant box	Yes	No
<b>2.1 Within the past five years, has your organisation (or any member of your proposed consortium, if applicable), Directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences</b>		
(a) conspiracy within the meaning of section 1 or 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983 where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against		

organised crime;		
(b) corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;		
(c) the common law offence of bribery;		
(d) bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010; or section 113 of the Representation of the People Act 1983;		
(e) any of the following offences, where the offence relates to fraud affecting the European Communities' financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Communities:		
(i) the offence of cheating the Revenue;		
(ii) the offence of conspiracy to defraud;		
(iii) fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;		
(iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;		
(v) fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;		
(vi) an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;		
(vii) destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;		
(viii) fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or		
(ix) the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;		
(f) any offence listed—		
(i) in section 41 of the Counter Terrorism Act 2008; or		
(ii) in Schedule 2 to that Act where the court has determined that there is a terrorist connection;		

(g) any offence under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by subparagraph (f);		
(h) money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002;		
(i) an offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996;		
(j) an offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;		
(k) an offence under section 59A of the Sexual Offences Act 2003;		
(l) an offence under section 71 of the Coroners and Justice Act 2009		
(m) an offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994;		
(n) an offence under section 1, 2 or 4 of the Modern Slavery Act 2015; or		
(o) any other offence within the meaning of Article 57(1) of the Public Contracts Directive—		
(i) as defined by the law of any jurisdiction outside England and Wales and Northern Ireland; or		
(ii) created, after the day on which these Regulations were made, in the law of England and Wales or Northern Ireland.		
<b><u>Non-Payment of Taxes</u></b> <b>2.2 Has it been established 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 your organisation is established (if outside the UK), that your organisation is in breach of obligations related to the payment of tax or social security contributions?</b> If you have answered Yes to this question, please use a separate Appendix to provide further details. Please also use this Appendix to confirm whether you have paid, or have entered into a binding arrangement with a view to paying, including, where applicable, any accrued interest and/or fines?		

### 3. Grounds for Discretionary Exclusion

The Authority may exclude any Supplier who answers 'Yes' in any of the following situations set out in paragraphs (a) to (k);

Please indicate your answer by marking 'X' in the relevant box.	Yes	No
<b>3.1 Within the past three years, please indicate if any of the following situations have applied, or currently apply, to your organisation.</b>		
(a) your organisation has violated applicable obligations referred to in regulation 56 (2) of the Public Contract Regulations 2015 in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Public Contracts Directive as amended from time to time;		
(b) your organisation is bankrupt or is the subject of insolvency or winding-up proceedings, where your 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;		
(c) your organisation is guilty of grave professional misconduct, which renders its integrity questionable;		
(d) your organisation has entered into agreements with other economic operators aimed at distorting competition;		
(e) your organisation has a conflict of interest within the meaning of regulation 24 of the Public Contract Regulations 2015 that cannot be effectively remedied by other, less intrusive, measures;		
(f) the prior involvement of your organisation in the preparation of the procurement procedure has resulted in a distortion of competition, as referred to in regulation 41, that cannot be remedied by other, less intrusive, measures;		
(g) your organisation has 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;		
(h) your organisation— (i) has been guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria; or (ii) has withheld such information or is not able to submit supporting documents required under regulation 59 of the Public Contract Regulations 2015; or		
(i) your organisation has undertaken to		

(aa)	unduly influence the decision-making process of the contracting authority, or		
(bb)	obtain confidential information that may confer upon your organisation undue advantages in the procurement procedure; or		
(j)	your organisation has negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.		
(k)	your organisation (or any member of your proposed consortium, if applicable), Directors or partner or any other person who has powers of representation, decision or control has engaged in any extremist activity or espoused extremist views.		

### **Conflicts of interest**

In accordance with question 3.1 (e), the authority may exclude the Supplier if there is a conflict of interest which cannot be effectively remedied. The concept of 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 context of the procurement procedure.

Where there is any indication that a conflict of interest exists or may arise then it is the responsibility of the Supplier to inform the authority, detailing the conflict in a separate Appendix. Provided that it has been carried out in a transparent manner, routine pre-market engagement carried out by the Authority should not represent a conflict of interest for the Supplier.

### **Taking Account of Bidders' Past Performance**

In accordance with question (g), the authority may assess the past performance of a Supplier (through a Certificate of Performance provided by a Customer or other means of evidence). The authority may take into account any failure to discharge obligations under the previous principal relevant contracts of the Supplier completing this PQQ. The Authority may also assess whether specified minimum standards for reliability for such contracts are met.

In addition, the authority may re-assess reliability based on past performance at key stages in the procurement process (i.e. supplier selection, tender evaluation, contract award stage etc.). Suppliers may also be asked to update the evidence they provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

### **'Self-cleaning'**

Any Supplier that answers 'Yes' to questions 2.1, 2.2 and 3.1 should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively "self cleans" the situation referred to in that question. The supplier has to demonstrate it has taken such remedial action, to the satisfaction of the authority in each case.

If such evidence is considered by the authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.

For Submission

In order for the evidence referred to above to be sufficient, the Supplier shall, as a minimum, prove that it has;

- paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
- clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the Supplier shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Authority to be insufficient, the Supplier shall be given a statement of the reasons for that decision.

## 4. Economic and Financial Standing

The Supplier's financial standing will be assessed by reviewing the following

1. Financial Check - The supplier will be asked to give permission for a financial check to be performed by a credit management agency DNBI. The financial check will relate to the D&B Failure Score, which identifies the level of risk of a business failing.
2. Supplier Turnover Requirement – The supplier will be asked to provide their annual turnover for the previous two trading years.

### Financial Check

The Supplier must yield a Failure Score of 50 or more to demonstrate that they have suitable financial standing.

If the financial check yields a Failure Score of between 30 and 50, or the check yields information that may prove to be of concern, regardless of the financial check score, or a check is unable to be performed, financial information shall be referred to the Authority's Corporate Finance Department for further investigation, who will determine if the supplier's financial standing is suitable.

**Applicants should note:** If the financial check yields a Failure Score of **below 30** the Supplier will be deemed to have failed this section in its entirety, their submission will not be evaluated further and they will be notified accordingly.

### Supplier Turnover Requirement

A Supplier's annual turnover needs to be a minimum of twice the annual contract value to demonstrate they have suitable financial standing. This will be based on the minimum anticipated spend over the life of the contract divided by the length of the contract, including any extensions.

If the turnover is lower than required, or turnover information has not been provided, financial information shall be referred to the Authority's Corporate Finance Department for further investigation, who will determine if the supplier's financial standing is suitable.

### Financial Assessment Undertaken By Corporate Finance Department

If a referral is made, the Corporate Finance department will assess the supplier's financial standing on the information the supplier has provided in question 4.1 below. If this does not provide enough information to assess the supplier's financial standing, further information may be requested. If this still does not provide enough information, the Corporate Finance department may deem that their financial standing is not suitable.

### Outcome of Financial Assessment

Where the Corporate Finance department deems that the Supplier's financial standing is not suitable, the Supplier shall be given a statement of the reasons for that decision.

The Authority may repeat this financial assessment for all Suppliers during the procurement process up to the point of contract award if the need arises.

FINANCIAL INFORMATION	
4.1	Please provide one of the following to demonstrate your economic/financial standing;

	Please indicate your answer with an 'X' in the relevant box.		
	(a) A copy of the audited accounts for the most recent two years		
	(b) A statement of the turnover, profit and loss account, current liabilities and assets, and cash for the most recent year of trading for this organisation.		
	(c) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.		
	(d) 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)		
4.2	Where the authority has specified a minimum level of economic and financial standing and/or a minimum financial threshold within the evaluation criteria for this PQQ, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out here.	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
4.2 (a)	Do you give permission for a financial check to be performed by a credit management agency, DNBi?	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
4.2 (b)	Please provide your turnover for the last two years of trading		
	£		
	£		
	If you cannot provide turnover information, please provide an explanation for this, e.g. your organisation is a new start-up.		
4.3	<b>a) Are you are part of a wider group (e.g. a subsidiary of a holding/parent company)?</b>	<input type="checkbox"/>	Yes
	If yes, please provide the name below:	<input type="checkbox"/>	No
	Name of the organisation		
	Relationship to the Supplier completing this PQQ		
	If yes, please provide ultimate / parent company accounts if available		
	If yes, would the ultimate / parent company be willing to provide a guarantee if necessary?		
	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank?)	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No

## 5. Technical and Professional Ability

### Division of Contract into Lots

**This Contract is being divided into three (3) Lots.**

Lot One: Occupational Health Service.

Lot Two: Face to Face Counselling Service.

Lot Three: Employee Assistance Programme (EAP).

Applicants may submit Tenders, for Lot 1 and/or Lot 2, but may only submit a Tender for Lot 3 where they bidding for at least one of the other Lots. Applicants are not limited to the number of Lots they apply for or the number of Lots they may be awarded. Lot 3 will only be awarded to an Applicant who has been successful in Lot 1 and/or Lot 2. The Authority reserves the right not to award Lot 3 if the cost of including this service means the total value of the resultant Contract exceeds the stated budget.

Each Lot will be evaluated separately. A separate Contract will be awarded for each Lot. Should all three Lots be awarded to a single Applicant the Authority reserves the right to issue a single Contract.

**Please confirm which Lots you are submitting a bid for:**

Lot One (1): Occupational Health Services	Lot Two (2): Face to Face Counselling Service	Lot Three (3): Employee Assistance Programme (EAP)
Yes/No	Yes/No	Yes/No

### Relevant experience and contract examples

For the contract examples within the following sections 5.1 to 5.3, Applicants must provide relevant examples for each of the corresponding Lots (One, Two or Three) which they are bidding for.

#### 5.1 Lot One – Occupational Health Services

Please provide details of up to three contracts, in any combination from either the public or private sector, that are relevant to the Authority's requirement. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years, and VCSEs may include samples of grant funded work.

The named customer contact provided should be prepared to provide written evidence to the Authority 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 will 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 principal intended provider(s) or sub-contractor(s) who will deliver the supplies and services.

		Contract 1	Contract 2	Contract 3
5.1.1	Name of customer organisation			
5.1.2	Point of contact in customer organisation Position in the organisation E-mail address			
5.1.3	Contract start date Contract completion date Estimated Contract Value			
5.1.4	In no more than 500 words, please provide a brief description of the contract delivered including evidence as to your technical capability in this market.			
5.1.5 If you cannot provide at least one example for questions 6.1 to 6.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up.				

## 5.2 Lot Two – Face to Face Counselling Service

Please provide details of up to three contracts, in any combination from either the public or private sector, that are relevant to the Authority's requirement. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years, and VCSEs may include samples of grant funded work.

The named customer contact provided should be prepared to provide written evidence to the Authority 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 will 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 principal intended provider(s) or sub-contractor(s) who will deliver the supplies and services.

		Contract 1	Contract 2	Contract 3
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5.2.1	Name of customer organisation			
5.2.2	Point of contact in customer organisation Position in the organisation E-mail address			
5.2.3	Contract start date Contract completion date Estimated Contract Value			
5.2.4	In no more than 500 words, please provide a brief description of the contract delivered including evidence as to your technical capability in this market.			
5.2.5 If you cannot provide at least one example for questions 6.1 to 6.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up.				

### 5.3 Lot Three – Employee Assistance Programme (EAP)

Please provide details of up to three contracts, in any combination from either the public or private sector, that are relevant to the Authority's requirement. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years, and VCSEs may include samples of grant funded work.

The named customer contact provided should be prepared to provide written evidence to the Authority 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 will 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 principal intended provider(s) or sub-contractor(s) who will deliver the supplies and services.

		Contract 1	Contract 2	Contract 3
5.3.1	Name of customer organisation			
5.3.2	Point of contact in customer organisation Position in the organisation			

	E-mail address			
5.3.3	Contract start date Contract completion date Estimated Contract Value			
5.3.4	In no more than 500 words, please provide a brief description of the contract delivered including evidence as to your technical capability in this market.			
5.3.5 If you cannot provide at least one example for questions 6.1 to 6.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up.				
<b>6. Additional PQQ Modules</b>				

For the following questions within sections A1 to A3, Applicants must answer Project Specific Questions to Assess Technical and Professional Ability, for each of the corresponding Lots (One, Two or Three) which they are bidding for.

Section A4 must be answered by all Applicants regardless of which Lots they are bidding for.

Suppliers who self-certify that they meet the requirements for these additional modules will be required to provide evidence of this if they are successful at contract award stage. Please indicate your answer by marking 'X' in the relevant boxes.

**A1. Project Specific Questions to Assess Technical and Professional Ability**  
**Applicable to Lot One – Occupational Health: To be answered by all Applicants bidding for Lot One**

Further project specific questions relating to the technical and professional ability of the supplier.

Please indicate your answer by marking 'X' in the relevant box.		
1.	Please confirm that you currently employ staff who hold the following qualifications (or equivalent):	Yes
		No
	<ul style="list-style-type: none"> <li>Both Occupational Health Physicians and Occupational Health Nurse Advisors must hold qualifications in Occupational Health together with experience in this field.</li> <li>The Occupational Health Physician is required to have or be (or equivalent): <ul style="list-style-type: none"> <li>Member of the Faculty of Occupational Medicine or higher;</li> <li>hold the appropriate General Medical Council (GMC) and United Kingdom Central Council (UKCC) registration.</li> </ul> </li> </ul>	

	<ul style="list-style-type: none"> <li>The Occupational Health Nurse Advisor is required to have or be (or equivalent):             <ul style="list-style-type: none"> <li>Qualified in Occupational Health OHND/BSc Occupational Health;</li> <li>Evidence of continuous professional training/development;</li> <li>RGN with current practising certificate;</li> <li>Hold the appropriate GMC and UKCC registration.</li> </ul> </li> </ul> <p>Please provide example CVs to demonstrate your compliance with this requirement.</p>		
2.	Please confirm that you have experience in providing fully managed Occupational Health processes using a fully on-line system.		Yes
			No

**A2. Project Specific Questions to Assess Technical and Professional Ability**  
**Applicable to Lot Two – Face to Face Counselling Service:**  
**To be answered by all Applicants bidding for Lot Two**

Further project specific questions relating to the technical and professional ability of the supplier.

Please indicate your answer by marking 'X' in the relevant box.			
1.	<p>Please confirm that you currently employ staff who hold the minimum of the recognised Counselling qualification e.g. Post Graduate Diploma in Psychotherapy and Counselling or equivalent that allows for one-to-one counselling support to an individual.</p> <p>Please provide example CVs to demonstrate your compliance with this requirement.</p>		Yes
			No
2.	<p>Please confirm that you currently employ staff who have generalist Counselling background and experience, as well as specialism's e.g. (but not limited to) post traumatic stress, bereavement, relationships etc.</p> <p>Please provide example CVs to demonstrate your compliance with this requirement.</p>		Yes
			No
3.	<p>Please confirm you have experience of undertaking Counselling on a one-to-one basis and suggesting alternative therapies, if short term counselling is not the most appropriate intervention or support mechanism for the individual.</p>		Yes
			No

**A3. Project Specific Questions to Assess Technical and Professional Ability**

**Applicable to Lot Three – Employee Assistance Programme (EAP) – (Please note that Applicants may submit Tenders, for Lot 1 and/or Lot 2, but may only submit a Tender for Lot 3 where they bidding for at least one of the other Lots):**

**To be answered by all Applicants bidding for Lot Three**

Further project specific questions relating to the technical and professional ability of the supplier.

**Please indicate your answer by marking 'X' in the relevant box.**

1.	In relation to the EAP please confirm you currently employ staff who are suitably experienced and qualified in providing advice and support through an EAP, to include: <ul style="list-style-type: none"> <li>• generalist Counselling background and experience</li> <li>• specialism's e.g. (but not limited to) post traumatic stress, bereavement, relationships</li> </ul> Please provide example CVs to demonstrate your compliance with this requirement.	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
2.	Please confirm you have experience in providing a free phone, telephone helpline for use by the customer's employees which will have unlimited use 24 hours a day, 365 days per year.	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No
		<input type="checkbox"/>	

**A4 – Project Specific Questions to Assess Technical and Professional Ability – Short listing questions – applicable to all Lots (as above)**

The following are **scoreable Selection questions** and are applicable for both Lot 1 Lot 2 and Lot 3 (as detailed above) and are **for ALL Applicants to answer**. As these questions are not Lot specific Applicants are only required to submit one response regardless of the number of Lots they are bidding for. Each response will be scored in line with the 'One to Ten Scoring' Award criteria, as detailed in section 2.6.2 of Volume 2 – Information. Please note that of the 100% Selection scoring criteria available, Applicants must score a minimum of 50% for each response to progress to Stage Two – Award of this Tender process.

1.	<b>Customer Service</b> - Please evidence how your company seeks to achieve excellence in terms of the services delivered to its customers. Please include in your response how customer liaison and complaints are dealt with.  <b>Word Limit: 500 words</b>	Weighting of 25%
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**Response:**

2.	<b>Continuity of Service Provision</b> – Please describe what key activities you undertake or put in place to ensure that there is a continuity of service when you are running a contract, in the light of staff turnover, sickness, holidays or taking over a new contract.  <b>Word Limit: 500 words</b>	Weighting of 30%
<b>Response:</b>		
3.	<b>Contract Start Up</b> - Please describe what key activities you undertake when you take on a new contract in order to prepare for when the contract starts to ensure a smooth transition from one provider to another. Please explain why these are the most important.  <b>Word Limit: 500 words</b>	Weighting of 20%
<b>Response:</b>		
4.	<b>Contract Management</b> - Please describe what key activities you undertake when managing a Contract and explain why these are the most important.  <b>Word Limit: 500 words</b>	Weighting of 25%
<b>Response:</b>		

B. Insurance		
1.	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:  Employers (Compulsory) Liability Insurance* = £10,000,000 Public Liability Insurance = minimum £5,000,000 Professional Indemnity Insurance = minimum £5,000,000 Product Liability Insurance = not applicable *It is a legal requirement that all companies hold Employers (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.	Yes
		No

### C. Compliance with Equality Legislation

For organisations working outside of the UK please refer to equivalent legislation in the country that you are located.

1.	In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an	Yes
		No

	Employment Appeal Tribunal or any other court (or in the comparable proceedings in any jurisdiction other than the UK)?		
2.	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 of alleged discrimination?		Yes
			No
<p>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.</p> <p>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.</p> <p>You may be excluded if you are unable to demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.</p>			
3	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

#### D. Environment Management

1.	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)?		Yes
			No
<p>If your answer to the 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.</p> <p>The Authority will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last 3 years, unless the Authority is satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches.</p>			
2.	If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had notice served upon them for infringement of environmental legislation?		Yes
			No

#### E. Health and Safety

1.	Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements.		Yes
			No
2.	Has your organisation or any of its Directors or Executive Officers been		Yes

	<p>in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?</p> <p>If your answer to this question is “Yes”, please provide details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.</p> <p>The Authority will exclude bidder(s) that have been in receipt of enforcement/remedial action orders unless the bidder(s) can demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.</p>	<input type="checkbox"/>	No
3.	If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?	<input type="checkbox"/>	Yes
		<input type="checkbox"/>	No

## 7. Declaration

I declare that to the best of my knowledge the answers submitted to these questions are correct. 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, and I am signing on behalf of..... (**Insert name of supplier**).

I understand that the Authority may reject my submission if there is a failure to answer all relevant questions fully or if I provide false/misleading information. I have provided a full list of any Appendices used to provide additional information in response to questions.

I also declare that there is no conflict of interest in relation to the Authority’s requirement.

The following appendices form part of our submission:

Section of PQQ	Appendix Number

PQQ COMPLETED BY		
8.1	Name	
8.2	Role in organisation	
8.3	Date	
8.4	Signature	

PQQ – Template for Appendices
Appendix Number -
PQQ Section -
Question Number –