

**Pre-Qualification Questionnaire (PQQ)**

**Kitchen and Bathroom Refurbishment and/or General Works**

PAN 2483

01 May 2022 to 30 April 2024

extendable until April 2026

PQQ Return Date:  
**12 noon** on **Monday 10 January 2022**

# INTRODUCTION

## Introduction

Leicester City Council invites expressions of interest for the provision of Kitchen & Bathroom Refurbishments and/or General Works within the Planned (tenanted properties) and Reactive (Void properties) work areas of Housing Department Housing Stock.

The proposed Contract will be for 2 years [with an option to extend for a period or periods totalling no more than 3 years]. We anticipate awarding to three Suppliers].

The Authority wishes to ensure that its procurement opportunities are open to small and micro local enterprises and voluntary and community sector organisations as it appreciates the very important role they play in the local economy. Expressions of interest from these organisations are particularly welcomed.

The Authority is conducting the procurement using [the restricted procedure] the purposes of procuring the works described in the Specification. This Pre-Qualification Questionnaire (PQQ) is designed to give the Authority sufficient information to make an assessment as to the suitability of your organisation in relation to this opportunity. The information you give will be used to help the Authority decide which organisations are invited to tender for the Contract. You should be aware, however, that registering your interest does not guarantee that you will be selected to undertake an Authority Contract.

Your objective in completing the PQQ is to demonstrate that you:

* are technically and professionally capable of meeting the Authority’s needs;
* are able to commit the staff and resources needed to perform the Contract successfully;
* are sound financially; and
* have in place the insurance cover, policies, procedures and business practices required by the Authority.

**In light of the current COVID-19 global pandemic, Suppliers should note there may be an impact upon the delivery of this contract and key milestones identified within the Tender document, including the Procurement Timetable and supporting Specification.**

## Project Background

Leicester City Council started a kitchen and bathroom refurbishment programme in 2005 with the aim of providing every council owned dwelling with either a new kitchen or bathroom (tenants Choice), with the aim of eventually updating facilities to all council housing stock. This programme is ongoing, currently facilitated by four contractors via lots for programme works and reactive works via a framework. This is supplemented by the upgrade to these facilities in properties as they become void. The Housing Department is also responsible for the provision of social service adaptations, level access showers, access provision and major adaptations including extensions. The properties include, but are not limited to

* bungalows,
* houses,
* bedsits,
* flats,
* maisonettes,
* tower blocks
* sheltered housing schemes

The main purpose of this procurement is to award a Contract to one Supplier per Lot for each of the three lots. These providers will support the Authority with their resources and expertise to help deliver the Kitchen and Bathroom Programme, Social Service Adaptations and structural and/or supplementary repairs and maintenances across these properties.

## Overview of Requirement

Leicester City Council invites Tenders for the provision of Kitchen & Bathroom Refurbishments and General Works within the Planned (tenanted properties) and Reactive (Void properties) work areas of Housing Department Housing Stock. The Authority wishes to appoint one Supplier per Lot for Planned / Reactive Works which will be named Lot 1, Lot2 and Lot3.

You are invited to tender for all three of the Lots detailed within this ITT. The Authority has placed a restriction whereby a Supplier can only be awarded one Lot, i.e., from Lot 1, Lot 2 and Lot 3.

Each Supplier will be tendering on the understanding that if they are unable to complete the necessary works allocated within the lot, within the agreed timescale, these works may be offered to the Suppliers in the other Lots regardless of the area in which the project falls. Suppliers will therefore be tendering on the understanding that they may be asked to carry out work in connection with the other Lot for which they have not been appointed.

Supplier should bid for all lots but will only be awarded one lot. Criteria for award of the lots is details in the ITT document in section 2.7.4.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Lot | **Lot Description** | **Anticipated number of Suppliers to be awarded** | **Primary method of work allocation** | **Estimated jobs per annum**  **Kitchen / Bathroom Tenanted and Void** |
| 1 | Planned and reactive work, supplementary social service adaptations and repair works (Area A - Braunstone & Saffron) | 1 | Direct Award, based on criteria below | 250 |
| 2 | Planned and reactive work, supplementary social service adaptations and repair works (Area B - New Parks & Beaumont Leys) | 1 | Direct Award, based on criteria below | 250 |
| 3 | Planned and reactive work, supplementary social service adaptations and repair works (Area C - Central & Humberstone) | 1 | Direct Award, based on criteria below | 250 |
| Note: The volume of work is subject to budgets, (current budget £5 million per annum, over all work areas) and may change. There is no guarantee of volume of work. estimated jobs per annum for the first year may be reduced due to contract implementation. | | | | |

**Lot 1 – Kitchen & Bathroom Refurbishments and/or General Works: - (**Area A - Braunstone & Saffron)**:**

To undertake the planned and reactive refurbishment of kitchens/bathrooms and/or general works, social service adaptations and general repairs within the Authority’s housing stock (as per table above in 1.1), Braunstone & Saffron area, which include dwellings of various types consisting of: bungalows, houses, bedsits, flats, maisonettes, tower blocks and sheltered housing schemes, etc.

**Lot 2 – Kitchen & Bathroom Refurbishments and/or General Works: -** (Area B - New Parks & Beaumont Leys)**:**

To undertake the planned and reactive refurbishment of kitchens/bathrooms and/or general works, social service adaptations and general repairs within the Authority’s housing stock (as per table above in 1.1), New Parks & Beaumont Leys area, which include dwellings of various types consisting of: bungalows, houses, bedsits, flats, maisonettes, tower blocks and sheltered housing schemes, etc.

**Lot 3 – Kitchen & Bathroom Refurbishments and/or General Works: -** (Area C - Central & Humberstone)**:**

To undertake the planned and reactive refurbishment of kitchens/bathrooms and/or general works, social service adaptations and general repairs within the Authority’s housing stock (as per table above in 1.1), Central & Humberstone area, which include dwellings of various types consisting of: bungalows, houses, bedsits, flats, maisonettes, tower blocks and sheltered housing schemes, etc.

**Routine Reactive Works**:

Routine Reactive works will be offered via direct award based on the Lot in which the address falls, but confirmation of availability will be sought from all three Suppliers to avoid delays. The Authority reserves the right to use a mini competition for routine works if it so chooses.

**Mini Competition for Non-Routine Reactive Works – One-off large projects**:

One-off large projects are more major projects for the refurbishment/replacement of a kitchen and/or bathroom where there is a significant element of the Works not covered by the Schedule of Rates and therefore a bespoke specification will be produced for the Contractors to price. For example, the project may include significant modernisation or remodelling of the property.

Non-Routine Reactive Works (Large Projects) will be awarded via mini competition awarded on price and Quality submission. This will only be open to the winning providers of all Lots 1, 2 and 3

Contractors will be invited to price a project specific specification and submit a detailed programme of works including available start and completion dates. The evaluation will be based against a price and quality split or 100% price for all compliant submissions.

## TUPE

It is the Authority’s preliminary view that TUPE may apply in respect of this Contract. TUPE refers to the "Transfer of Undertakings (Protection of Employment) Regulations 2006" as amended by the "Collective Redundancies and Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 2014".

Suppliers will, however, need to reach their own conclusion as to whether or not TUPE applies. Suppliers are strongly advised that they should seek independent professional advice on the application, implications and consequences for them about TUPE and pensions should they be successful.

For this purpose, the Authority has obtained from the existing service suppliers’ details about the staff delivering the existing service to the Authority and who may be covered by the application of TUPE. Schedules of information will be made available to Suppliers who are invited to tender once they have signed and returned a Confidentiality Agreement.

The Authority is not in a position to warrant the accuracy of the information provided by the existing service suppliers. You are reminded that this information will be provided on a strictly confidential basis and for the purpose of enabling you to prepare your Tender only.

## Living Wage

Leicester City Council is a Living Wage (LW) Employer, accredited by the Living Wage Foundation (LWF). As part of our commitment to the payment of the LWF’s LW rate, the Contract includes a Living Wage clause. Please refer to the Conditions of Contract (section 4).

This LWF LW rate (currently £9.50) is calculated according to the cost of living in the UK and reviewed annually. As an accredited employer we pay our direct employees the current Living Wage rate. For further information, please see the [Living Wage Foundation](http://www.livingwage.org.uk/) website.

Please note: The LWF LW is different to the National Living Wage (NLW) which is the compulsory government hourly rate (currently £8.72) for all staff aged 25 and over.

Employers can benefit from paying the LWF LW in numerous ways, such as seeing improved productivity, greater staff retention, lower training costs as well as reputational benefits.

In line with its policy, the Authority is committed to incorporating the LWF Living Wage as part of its core values and requires the LWF LW rate to be paid to staff working on the Contract, where applicable. (Please see criteria below).

Criteria for the LWF Living Wage:

Staff (other than apprentices or interns) are eligible to receive the Living Wage if they:

* Are aged 18 or over;
* Are either contracted or sub-contracted by you; and,
* Provide a service to or on behalf of the Authority involving two or more hours of work in any given day in a week, for eight or more consecutive weeks in a year on:
  + The Authority's premises; and/or;
  + Property owned or occupied by the Authority (including where the Authority is a tenant and is provided building-related services through a Lease); and/or
  + Land which the Authority is responsible for maintaining or on which it is required to work.

All qualifying staff must be paid at least the current LWF Living Wage rate of £9.50 per hour and this must also be updated annually in line with any increase in the Living Wage rate, as calculated by the Living Wage Foundation.

Although the payment of the LWF Living Wage is not part of the selection criteria, it will be considered and required as part of the Contract, as per the Authority’s Living Wage commitment.

## Social Value

Like other big cities, Leicester faces challenges to deliver economic growth and new jobs, improve its environment and support people in its communities to be better educated, healthier and happier. Leicester City Council cannot do it alone and we know we are by no means the only organisation that cares about the city. We know that caring about our city, our citizens and our communities is not just the preserve of the public sector but of every person who lives here and of every business which trades in the city.

We do business with and procure from a great many organisations; from large infrastructure works to care contracts, from multinationals to local charities. The range of the Authority’s responsibilities is vast and the range of what we buy and who we buy from reflects this. We spend more than £300 million annually on goods and services, using over 4,000 different suppliers.

Social Value within procurement is the additional benefit generated by a contract, beyond its primary purpose to address these challenges. We have adopted a [Social Value Charter](http://www.leicester.gov.uk/businesswithus) which sets out our strategy. We have also developed a guide for suppliers and contractors, “Delivering Social Value in Leicester”, included with these procurement documents. The guide set out how we want you to use your finances, skills, assets and time to help us in our seven key challenge areas:

* employment (working conditions);
* local economy;
* children and young people;
* adults;
* health;
* communities; and
* the city environment.

The guide provides practical advice on delivering social value and contains details of our nominated delivery partners who can match you to recipients for your social value offer and make the delivery of social value straightforward. The social benefits that are unlocked through these mechanisms will contribute towards making Leicester a better place to live, work and further develop community confidence and pride.

We have carefully considered what social value may be reasonable for us to require/expect of you as part of this contract and included these in the Specification and Quality Questions.

We ask you to be creative and innovative in your consideration of social value and to work with us to help the City over and above the core delivery of the contract requirements. Social Value is important to us and it could be a significant factor in this procurement process. We welcome your response.

## Procurement Timetable

The table below sets out the indicative timetable for this procurement process. It may be subject to change in which case the Authority will, if appropriate, endeavour to notify Suppliers.

| **Activity** | **Date** |
| --- | --- |
| PQQ advertised and PQQ available | 01 December 2021 |
| Deadline for raising clarification questions | 23 January 2021 |
| **PQQ Return Date (12 noon)** | **10 January 2022** |
| Notification of PQQ shortlisting successful/unsuccessful | W/C 24 January 2022 |
| ITT issued | W/C 31 January 2022 |
| Deadline for raising clarification questions | 16 February 2022 |
| **Tender Return Date (12 noon)** | 25 February 2022 |
| Tenders evaluated | 18 March 2022 |
| Award decision approved and communicated to Suppliers | W/C 21 March 2022 |
| End of Standstill Period and award decision confirmed | TBC |
| Mobilisation / Pre-Contract meeting [optional] | TBC |
| Works / Service commencement | 01/05/2022 |

# INSTRUCTIONS TO SUPPLIERS

## Definitions

Throughout the PQQ document the following definitions will apply:

* “Authority”, “we”, “us”, and “our” mean Leicester City Council.
* “Contract” means the binding legal agreement(s) for the Works created following the award process set out in the ITT and on the basis of the ITT and the Supplier’s Tender.
* “Works" means the works to be undertaken/provided/supplied as described in the Specification.
* “ITT” means this document and all associated Appendices and other documents issued to Suppliers before the Tender Return Date.
* “PQQ” means this document and all associated Appendices and other documents issued to Suppliers before the PQQ Return Date.
* “PQQ Period” means from date of advertising to PQQ Return Date.
* “PQQ Response” means the response to the PQQ including all associated documents uploaded to EastMids Tenders portal by the Supplier in advance of the PQQ Return Date, as amended further to section 2.7.7.
* "PQQ Return Date" means the date indicated on the cover page and in the timetable in this document by which date completed PQQ(s) must be uploaded.
* “Supplier", "you”, and “your” mean the body completing these questions i.e. the legal entity responsible for the information provided. The ‘Supplier’ is intended to cover any economic operator as defined by the [Public Contracts Regulations 2015](http://www.legislation.gov.uk/uksi/2015/102/contents/made) and could be a registered company; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
* “Tender Period” means from date of issue of the ITT to selected Suppliers advertising to the Tender Return Date.

In the PQQ, unless explicitly stated otherwise:

* words in the singular include the plural and words in the plural include the singular;
* references to appendices refer to the appendices to the Invitation to Tender;
* references to staff include all employees (including part time staff, trainees, volunteers and apprentices)
* references to any law, statute or other similar instrument shall be construed as a reference to the law, statute or instrument as amended by any subsequent law, statute or instrument as subsequently amended or re-enacted.

## Process

This procurement process is being undertaken as a two-stage Restricted Tender process. This PQQ relates to the first stage. Suppliers will be shortlisted following the process and criteria set out below and only these shortlisted Suppliers will be invited to submit their response to the ITT.

The responses that the successful Supplier provides may form part of the Contract.

This procurement process will be carried out in accordance with the Authority’s Contract Procedure Rules, part 4G of [the Authority’s Constitution](http://www.leicester.gov.uk/your-council/how-we-work/our-constitution). You must submit your PQQ Response in accordance with and subject to the terms of these instructions and as set out elsewhere in this document. PQQ Responses not complying with any mandatory requirement (where the word “shall” or “must” is used) may be rejected.

## Instructions

Please read all the sections of the PQQ carefully to fully understand the requirements. You have been given access to the other procurement documents in the [EastMidsTenders](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) portal to inform you of the detailed Authority’s requirements and procurement process; however these documents may be subject to change. Please note, you are **not** required to complete or submit these documents at this stage.

Please do not make any changes or deletions to the PQQ. Only complete the boxes asking for your responses. Any changes or deletions made to the documents will be disregarded.

Please complete section 3 accurately, concisely and in the format provided. Please supply all the required supplementary information, clearly labelled and cross-referenced to the relevant question. 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’ and explain why you consider it does not apply. Please upload all documents that comprise your PQQ Response separately and do not embed documents in your submission.

Any stated word limits are provided as guidance only as an indication of the length of response the Authority expects to provide a good quality but concise answer. Should you need to provide additional appendices in response to the questions, these should be numbered and cross-referenced clearly. A template for providing additional information is provided at Appendix 1.

The PQQ Response and supporting documents must be in English.

## Bidding Model (Consortia and Sub-contracting)

The Authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the Authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The Authority will make a revised assessment of the submission based on the updated information.

For Part 1 and Part 2 every organisation that is being relied on to meet the selection criteria must complete and submit the self-declaration. All sub-contractors are required to complete Part 1 and Part 2.

For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/or any sub-contractors, providing one composite response and declaration.

## Procurement eTendering Portal

The Authority is using the [EastMidsTenders](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) portal to conduct this exercise. The use of this system allows a full audit trail of communication with Suppliers to ensure fair treatment as well as to maintain full confidentiality of PQQ Responses and Tenders until the Tender Return Date.

If you require assistance in using the [EastMidsTenders](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) portal please read the [reference guides](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) available on the portal. If after reading these [reference guides](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) you are still unable to resolve your issue and require support please contact EastMids Tenders Technical Support by email: [procontractsuppliers@proactis.com](mailto:procontractsuppliers@proactis.com); telephone: 0330 005 0352 (lines open from 8.30am - 5pm Monday to Friday, excluding English public holidays).

Please note the Technical Support Team will not be able to answer any contract opportunity specific enquiries.

If you experience any technical difficulties when uploading your PQQ Response, please also notify the Procuring Officer in the following section. Please ensure this notification is made before the closing deadline.

## Questions during the PQQ Period

A clarification question and answer process will operate during the PQQ Period as explained below. You should submit any clarification questions via the EastMidsTenders portal by the deadline indicated in the procurement timetable.

In order to treat Suppliers fairly, the Authority will provide an anonymised copy of any clarification questions received and the answers to those questions, to all Suppliers via the [EastMidsTenders](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) portal. Where a question is raised which is specific to one Supplier or may reveal commercially sensitive information to other Suppliers if published to all Suppliers, the Authority may, at its discretion, respond directly to the Supplier raising the question only.

If for any reason, it is not possible to raise a question or view previous answers via the [EastMidsTenders](https://www.eastmidstenders.org/procontract/emp/supplier.nsf/frm_home?openForm) portal, you should contact the Procuring Officer for support.

|  |  |
| --- | --- |
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Any responses to questions not raised via the EastMidsTenders portal will be formally answered via the portal and Suppliers must not rely on any other communication from the Authority. The Authority will not respond to any clarification questions received by any other method, to any other e-mail address or in any other format.

The Authority may defer answering detailed questions on the Specification or Conditions of Contract until the Tender Period if it does not believe they are significant during the PQQ Period.

## Evaluation of PQQ Responses

* + 1. **Potential Supplier Information and Exclusion Grounds: Parts 1 and 2.**

The standard Selection Questionnaire (SQ) is a self-declaration, made by you, that you do not meet any of the grounds for exclusion. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusion grounds. Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example, these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration). A fail from any organisation required to submit Part 1 and Part 2 will lead to a fail for the whole group submission.

* + 1. **Selection Questions: Part 3**

If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the SQ is not provided upon request and without delay we reserve the right to amend the Contract award decision and award to the next compliant Supplier.

* + 1. **Evaluation**

The table below sets out how each question will be evaluated.

| **Question Number** | **Scoring Criteria** | **How scored** | **Weighting** |
| --- | --- | --- | --- |
|  | **ORGANISATION DETAILS** | | |
| 1.1 | Potential Supplier Information provided | Not scored |  |
| 1.2 | Bidding Model provided | Not scored |  |
| 1.3 | Contact Details provided | Not scored |  |
|  | **GROUNDS FOR MANDATORY EXCLUSION** | | |
| 2.1 | All ‘No’ = Pass, Any ‘Yes’ = Potential Fail\* | Pass/Fail |  |
| 2.2 | Please see below | Not scored |  |
| 2.3 | ‘No’ = Pass, ‘Yes’ = Potential Fail\* | Pass/Fail |  |
|  | **GROUNDS FOR DISCRETIONARY EXCLUSION** | | |
| 3.1 | All ‘No’ = Pass, Any ‘Yes’ = Potential Fail\* | Pass/Fail |  |
| 3.2 | Please see below | Not scored |  |
|  | **ECONOMIC AND FINANCIAL STANDING** | | |
| 4.1 | Answered  Please see section 2.7.5 below | Pass/Fail |  |
| 4.2[-4.3] | ‘Yes’ = Pass, ‘No’ = Potential Fail\*  Please see section 2.7.5 below | Pass/Fail |  |
|  | **PARENT COMPANY** | | |
| 5.1-5.3 | The Authority may use the responses to these questions and information referred to in consideration of the Supplier’s economic and financial standing as described at section 2.7.5 below. | Not Scored |  |
|  | **RELEVANT EXPERIENCE AND CONTRACT EXAMPLES** | | |
| 6.1 & 6.3 | The Authority will use the information from these questions including any references received to verify that the Supplier has a proven track record of successfully delivering services similar to those in this Contract. | Scored | 60% |
| 6.2 | Does your company have previous experience of working collaboratively on a similar contract within the planned/reactive maintenance building sector? | Pass/Fail |  |
| 6.4 | Please provide evidence in the form of one case study that describes your company’s experience of working collaboratively on a similar contract within the planned / reactive maintenance building sector. The case study you provide should be one that you feel is closest to delivering the objectives outlined in the specification documents.  Your response should not exceed six sides of A4 (3000 words) (font Arial Size 12). A response provided exceeding this will only be evaluated up to the prescribed limit.  Please provide comprehensive information on each of the following:   1. Nature of work undertaken 2. Volume of contract 3. Form of contract used 4. Mobilisation issues and how you overcame them 5. Design responsibility 6. How the supply chain is managed 7. Mechanisms used to control and manage quality 8. Cost model used and any incentives/shared savings 9. How you have demonstrated value for money 10. Details of Key Performance Indicators (KPIs) including those relating to customer satisfaction, and the levels of performance achieved against target 11. Added value that you have brought to the contract 12. Your approach to identifying skills gaps and providing training | Scored | 40% |
| 6.5 | Do you hold the relevant accreditation and memberships to?   * Constructions Skills Certificate Scheme (CSCS), * HSE Approved Codes of Practices (ACOPs),      * National Inspections Council for Electrical Installations Contracting (NICEIC)   Gas Safe Registration | Pass/Fail |  |
|  | **MODERN SLAVERY ACT 2015** | | |
| 7.1 | Answered | Not Scored |  |
| 7.2 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
|  | **INSURANCE** | | |
| 8.1 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
|  | **HEALTH & SAFETY** | | |
| 9.1 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
| 9.2 | ‘No’ = Pass, ‘Yes’ = Potential Fail\* | Pass/Fail |  |
| 9.3 | ‘Yes’ = Pass, ‘No’ = Potential Fail\*  If not proposing to sub-contract = Pass | Pass/Fail |  |
|  | **BUSINESS CONTINUITY** | | |
| 10.1 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
|  | **DATA PROTECTION & INFORMATION GOVERNANCE** | | |
| 11.1 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
| 11.2 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
|  | **QUALITY ASSURANCE** | | |
| 12.1 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
|  | **SAFEGUARDING** | | |
| 13.1 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
| 13.2 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |
|  | **ENVIRONMENTAL MANAGEMENT** | | |
| 14.1 | ‘No’ = Pass, ‘Yes’ = Potential Fail\* | Pass/Fail |  |
| 14.2 | ‘Yes’ = Pass, ‘No’ = Potential Fail\* | Pass/Fail |  |

The answers which lead to a ‘Potential Fail’ have been coloured in red in the SQ. If you select a red answer you must provide additional information. The additional information should include a summary of the circumstances and any remedial action that has taken. In order for the evidence referred to above to be sufficient, the Supplier shall, as a minimum, prove that it has (as appropriate):

* 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/or
* taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The Authority will consider this, including where necessary seeking further clarification from the Supplier, and may pass any Supplier where it feels the response satisfies any concerns raised by the “Potential Fail” response as to the Supplier’s suitability and ability to deliver the Services as required by the Contract taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the Authority does not consider the response to satisfy the concerns raised by the “Potential Fail”, the Tender will fail against the criterion in question, be rejected and the Supplier shall be given a statement of the reasons for that decision. Where the Supplier will not be shortlisted due to other criteria/scores, the Authority reserves the right not to consider/reach a decision on a Potential Fail as it will not impact the outcome of the procurement process.

The Authority will normally request reasonable written evidence from the highest scoring Supplier(s) to verify some or all of the responses to the SQ prior to contract award but reserves the right not to do so. Please only provide the information upon request. Failure to provide satisfactory information when requested may lead to the PQQ Response being rejected.

The Authority will normally request reasonable written evidence from the highest scoring Supplier(s) to verify some or all of the responses given prior to Contract award. Please only provide the information upon request. Failure to provide satisfactory information when requested may lead to the submission being rejected.

* + 1. **European Single Procurement Document (ESPD)**

The Authority will accept your self-certification of the exclusion grounds (Part 2 of the SQ) via any EU ESPD template (i.e. not in the format below). Should you wish to submit an ESPD, you may do so, but please note, you also need to complete the questions that are required in the other parts of the SQ below. So long as all of the requested information is provided, the provision of an ESPD will not impact on the evaluation scoring. If you have any questions in this regard, please contact the Procuring Officer.

* + 1. **Financial Assessment**

In response to question 4.1, if there is no requirement for your organisation to have your accounts audited, you may supply unaudited accounts if audited accounts are not available along with the explanation as to why your accounts are not required to be audited.

The Authority sets out below its requirements for Suppliers in terms of financial and economic standing:

**Medium/High Risk category**

The table at the end of this section sets out the requirements that should be met and confirmed in response to question 4.2 of the SQ. For any statement not true, you must use the template at Appendix 1 to provide an explanation of the circumstance and/or any mitigating action and/or additional guarantees offered to provide the Authority with assurance of your ability to deliver the Contract (linked with response to question 5.1 to 5.3 where applicable).

The Authority intends to run (where available) a Limited Company Creditsafe report and consider the score and risk level to assess the Supplier’s economic and financial standing. Where the Limited Company Creditsafe report gives the Supplier a score of 50 or less (moderate, high or very high risk of failing in the next 12 months) or any one or more of the criteria in the table below are not met, the Authority reserves the right to seek further information, such as that in question 4.1, on the economic and financial standing of the Supplier to ensure you have the resources and stability to deliver the Contract over its duration. A Supplier will not be failed or rejected without first being given the opportunity to do this and explain any concerns. Where a Limited Company Creditsafe report is not available, the Authority will assess the economic and financial standing of the Supplier based on the information in question 4.1 and any further information the Supplier is able to provide (if necessary) or that is publicly available (e.g. other forms of Creditsafe report).

Even, where all of the criteria in the table below are met, the Authority will examine the information in question 4.1[and response to 4.3] and (if necessary/appropriate) any further information the Supplier is able to provide or that is publicly available, alongside the Full Limited Company Creditsafe report to assess the economic and financial standing of the Supplier and may reject the Supplier if this is not proven to its satisfaction at its sole discretion. A Supplier will not be failed or rejected without first being given the opportunity to do this and explain any concerns.

As part of its overall assessment of a company’s financial standing, the Council will use an external organisation (Creditsafe) to provide a risk score. The Creditsafe risk score predicts the likelihood of a company failing within the next 12 months. The model which produces the risk score was developed by looking at companies that failed over the last 12 months and assessed the commonalities within these failures. Each one of the 1 to 100 ratings directly correlates to a relational level of risk.

The main areas which Creditsafe assess in determining the risk score are outlined below:

* Financial data: liquidity and leverage ratios, trends in other key financial figures including levels of cash held compared to short term bank borrowings, adequacy of a company’s net worth to all its liabilities;
* Payment performance: describing the late (or not) payment behaviour of a company;
* Industry analysis: looking at the industry the business trades in as certain industries have a greater risk of insolvencies than others;
* Directors: e.g. the difference in the number of directors today and in the past as well as any previous associated failures of a company’s directors;
* County Court Judgments: CCJ’s are a sign of bad debt and can be an indicator of companies struggling financially;
* Ultimate holding company (UHC) performance: for example, if the UHC is creditworthy or is insolvent.

When Creditsafe applies a risk score to a company it first identifies the size of the business based on the criteria set by Companies House. This is so that all companies will be rated on a module which is used for other companies of a similar size.

The Creditsafe risk scores are banded to allow risks to be described in an easily understandable way.

|  |  |
| --- | --- |
| **CreditSafe Score** | **Risk Band** |
| 71-100 | Very Low Risk |
| 51-70 | Low Risk |
| 30-50 | Moderate Risk |
| 21-29 | High Risk |
| 1-20 | Very High Risk |

For more information, please follow this link: <https://www.creditsafe.com/gb/en/scorecard.html>

|  | **Requirements for Question 4.2** |
| --- | --- |
|  | Your turnover for the latest accounts is more than £3,500,000 |
|  | Your latest accounts have not been qualified by the auditor or contain an “emphasis of matter” (if they are subject to audit). |
|  | The year-end date of your latest accounts is less than 20 months before the date of completion of this Questionnaire and your company accounts (if required to be submitted to Companies House) are not overdue. |
|  | If you are part of a group of companies, none of the group companies is in, or has a realistic possibility of going into, a Voluntary Creditors’ Arrangement, Administration, a Creditors’ Voluntary Liquidation or Compulsory Liquidation in the next 12 months. |
|  | You have not been refused credit by a supplier or a loan/overdraft facility by a bank or finance company in the last six months. |
|  | You have not been involved in, party to, or the beneficiary of, any major restructuring in the last 12 months. |
|  | Your net worth for the latest accounts (i.e. total assets – excluding any intangible elements, less total liabilities) is positive. |

* + 1. **Scored Questions**

The Authority will evaluate Suppliers’ responses to the scored questions (indicated in the table above) to assess the Supplier’s ability to deliver the requirements of the Contract as set out in the Overview of Requirements and other documents issued to Suppliers as part of the PQQ.

The questions will be scored using the marking scheme set out in the table below.

| **UNWEIGHTED SCORE** | **DESCRIPTION** |
| --- | --- |
| 0 | **poor or unsatisfactory** response giving rise to serious concerns about the Supplier’s ability to deliver the works |
| 1 | **weak** response suggesting there are shortcomings of a less serious nature in the Supplier’s ability to deliver the works |
| 2 | **adequate** response suggesting that the Supplier is likely to be able to deliver the service, albeit only just, or with minor shortcomings that will not be critical to delivery of the works |
| 3 | **good** response giving confidence that the Supplier is able to deliver the works in all relevant respects |
| 4 | **very good** response giving a very high level of confidence that the Supplier is able to deliver the works |

Supplier’s PQQ Responses will be evaluated by the Authority’s evaluation panel and a score given for each of the scored questions, by the panel members agreeing a consensus score.

Any Tender scoring 0 for any question will be considered to not meet the Authority’s requirements and will be rejected regardless of how well they score against the other method statements.

A minimum overall score threshold of 70%. Any Supplier not meeting this minimum overall score will be rejected.

* + 1. **Completeness of Tender and Clarification**

It is the Supplier’s responsibility to ensure that all information is included within their PQQ Response. Evaluation will be based upon the PQQ Response submitted in accordance with the instructions set out in the PQQ.

The Authority may at its discretion request a Supplier to clarify any of the information within its PQQ Response or provide information to remedy minor omissions. The information provided by Suppliers at this stage will be considered by the evaluation panel when scoring/evaluating the PQQ Response. Failure to respond to requests for clarification may lead to the PQQ Response being rejected or scored unfavourably/rejected.

In practice, if there are significant omissions the Authority is likely to exercise its discretion to disqualify and reject the entire PQQ Response. The evaluation panel may choose to not seek clarification if it is clear the response will not impact on the outcome of the evaluation process.

* + 1. **Total Scores**

A weighted score for each question will be calculated by applying the formula below:

|  |  |  |
| --- | --- | --- |
| Unweighted Score | x | Weighting (as per table in 2.7.3 above) |
| Maximum Unweighted Score (4) |

A total weighted score is then calculated by adding together the weighted scores of each question.

The Authority intends to shortlist the top 12 scoring Suppliers to be invited to tender. However, the Authority reserves the right to vary this number should it deem appropriate.

## Notification

Successful and unsuccessful Suppliers will be notified via the EastMids Tenders portal of the final outcome of the PQQ evaluation process. Notification to unsuccessful Suppliers will include reasons for the Supplier being unsuccessful. Successful Suppliers will be invited to complete the Invitation to Tender and other procurement documents, and the timetable for Tender submission will be confirmed.

## Conditions of Participation

All information supplied is intended to help you complete the PQQ and you must satisfy yourself of the accuracy of information and requirements. It is your responsibility to ensure that all information is included within your PQQ Response.

Whilst the information in the PQQ has been prepared in good faith, it does not purport to be comprehensive or to have been independently verified. The Authority does not accept any liability or responsibility for the accuracy, adequacy or completeness of any of the information or opinions contained within the PQQ or any information made available during the procurement process.

Any liability is hereby expressly excluded and no costs or expenses incurred for preparing or producing the PQQ Response will be accepted by the Authority. The PQQ does not constitute an offer.

The Authority reserves the right to amend or adjust the procurement process or to terminate this procurement process at any stage, in which case it will notify all interested parties as soon as it is reasonably able to. The Authority reserves the right to subsequently re-invite tenders on the same or any alternative basis.

All Suppliers undertake to protect and keep confidential all data and information provided and undertake to protect the data and information from unauthorised access and unauthorised use.

Suppliers shall not discuss the Tender they intend to make other than with professional advisers or joint Suppliers/consortium members/sub-contractors who need to be consulted. Under no circumstances are competing Suppliers permitted to communicate or collaborate concerning the Contract. If the Authority discovers evidence of possible collusion in two or more separate PQQ Responses, the Authority reserves the right to investigate the issues and take any action the Authority considers appropriate in relation to any suspected collusion by Suppliers. Such action may include automatic exclusion of the Supplier(s) from the procurement process and/or reporting the matter to the Competition and Markets Authority.

Suppliers are responsible for ensuring no conflicts of interest exist between themselves, other suppliers and their advisers. Any Supplier who fails to comply with this requirement may be disqualified from the procurement process at the discretion of the Authority. This responsibility includes ensuring that, if you use a professional bid writer to assist with your PQQ Response, you must seek positive and clear confirmation from them that will not duplicate answers or responses from your PQQ Response or from other Suppliers’ responses in this procurement. If the Authority discovers identical/very similar information within two or more separate PQQ Responses, then the Authority reserves the right to investigate the issues and take any action the Authority considers appropriate in relation to any suspected collusion by Suppliers as stated above.

In submitting your PQQ Response, you undertake that the conditions described in this section have been, or will be, brought to the attention of all consortium members, sub-contractors, and associated companies.

Suppliers are not permitted to make any public announcement about this procurement without prior written approval of the Authority during the procurement process.

Any personal data you provide to the Authority will be processed under current data protection legislation as per the Authority’s current Privacy Notice.

When providing details of contracts in answering question 6.1 of the Selection Questionnaire (Relevant Experience and Contract Examples), the Supplier agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.

The Authority reserves the right to contact the named customer contacts in question 6.1 regarding the contracts included in question 6.1. The Authority confirms that it will keep confidential and will not disclose to any third parties (except those contracted to the Authority to support this procurement process) any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the Authority is under a legal or regulatory obligation to make such a disclosure.

If you seriously misrepresent any factual information in your PQQ Response, and so induce an authority to enter into a contract, there may be significant consequences. You will be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years.

## Freedom of Information

The Authority is committed to being open and transparent and meeting its legal responsibilities under the Freedom of Information Act 2000 and Environmental Information Regulations. All information submitted to the Authority may need to be disclosed in response to a request under this legislation. The Authority may also decide to include certain information in the publication scheme which the Authority maintains.

If you consider that any of the information included in your PQQ Response is commercially sensitive, you should identify this, explain any harm that may result from disclosure, and the time period applicable to that sensitivity. Suppliers should be aware that, even where they have indicated that information is commercially sensitive, the Authority might be required to disclose it if a request is received. Any such disclosure would be in line with the legislation and applicable exemptions.

# Pre-Qualification Questionnaire

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PART 1: POTENTIAL SUPPLIER INFORMATION** | | | | | | | | | |
|  | **POTENTIAL SUPPLIER INFORMATION** | | | | | | | | |
|  | Potential Supplier Information | | | | | | | | |
| (a) | Full name of the potential supplier submitting the information | | |  | | | | | |
| (b)(i) | Registered office address (if applicable) | | |  | | | | | |
| (e) | Company registration number (if applicable) | | |  | | | | | |
| (k) | Trading name(s) that will be used if successful in this procurement | | |  | | | | | |
| (l) | Are you a Voluntary Community Social Enterprise (VCSE)? | | | | | | | Yes  No | |
| (m) | Are you a Small, Medium or Micro Enterprise (SME)? | | | Large  Medium | | Small  Micro | | | |
| (o) | Details of immediate parent company:  - Full name of the immediate parent company  - Registered office address (if applicable)  - Registration number (if applicable) | | |  | | | | | |
| (p) | Details of ultimate parent company:  - Full name of the ultimate parent company  - Registered office address (if applicable)  - Registration number (if applicable) | | |  | | | | | |
|  | Bidding Model | | | | | | | | |
| (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. | | | | | | | | |
| (a)(ii) | Name of group of economic operators (if applicable) | | |  | | | | | |
| (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. | | |  | | | | | |
| (b)(i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | | | | | | | Yes  No | |
| (b)(ii) | If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor: we may ask them to complete this form as well. | | | | | | | Yes  No | |
|  | Name | | |  | | | | | |
|  | Registered Address | | |  | | | | | |
|  | Company Registration Number | | |  | | | | | |
|  | 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 | | | | | | | | |
| (a) | Contact name | | |  | | | | | |
| (b) | Name of organisation | | |  | | | | | |
| (c) | Role in organisation | | |  | | | | | |
| (d) | Phone number | | |  | | | | | |
| (e) | E-mail address | | |  | | | | | |
| (f) | Postal address | | |  | | | | | |
| **PART 2: EXCLUSION GROUNDS** | | | | | | | | | |
| 1. **3** | **GROUNDS FOR MANDATORY EXCLUSION** | | | | | | | | |
|  | Regulations 57(1) and (2) | | | | | | | | |
| (a) | 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.  If Yes please provide details at 2.1(b) | | | | | | Yes  No | | |
|  | Corruption  If Yes please provide details at 2.1(b) | | | | | | Yes  No | | |
|  | Fraud  If Yes please provide details at 2.1(b) | | | | | | Yes  No | | |
|  | Terrorist offences or offences linked to terrorist activities  If Yes please provide details at 2.1(b) | | | | | | Yes  No | | |
|  | Money laundering or terrorist financing  If Yes please provide details at 2.1(b) | | | | | | Yes  No | | |
|  | Child labour and other forms of trafficking in human beings  If Yes please provide details at 2.1(b) | | | | | | Yes  No | | |
| (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. | | | | | | | | |
|  |  | | | | | | | | |
|  | Self-Cleaning | | | | | | | | |
|  | 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? | | | | | | Yes  No | | |
|  | Regulation 57(3) | | | | | | | | |
| (a) | 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 | | |
| (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 Authority 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. | | | | | | | | |
| 1. **3** | **GROUNDS FOR DISCRETIONARY EXCLUSION** | | | | | | | | |
|  | Regulation 57(8) | | | | | | | | |
|  | The detailed grounds for discretionary exclusion of an organisation are set out on this [web page](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. | | | | | | | | |
| (a) | Breach of environmental obligations?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (b) | Breach of social obligations?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (c) | Breach of labour law obligations?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (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?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (e) | Guilty of grave professional misconduct?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (f) | Entered into agreements with other economic operators aimed at distorting competition?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (h) | Been involved in the preparation of the procurement procedure?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (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?  If Yes please provide details at 3.2 | | | | | | Yes  No | | |
| (j) | Please answer the following statements | | | | | | | | |
| (j)(i) | 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. | | | | | | Yes  No | | |
| (j)(ii) | The organisation has withheld such information. | | | | | | Yes  No | | |
| (j)(iii) | The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. | | | | | | Yes  No | | |
| (j)(iv) | 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 negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | | | | | | Yes  No | | |
| * 1. **j** | Self-Cleaning | | | | | | | | |
|  | 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? | | | | | | | | |
|  |  | | | | | | | | |
| **PART 3: SELECTION QUESTIONS** | | | | | | | | | |
|  | **ECONOMIC AND FINANCIAL STANDING** | | | | | | | | |
|  | 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: | | | | | | 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 | | |
|  | 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 (see section 2.6.2 above), please self-certify by answering ‘Yes’ or ‘No’ that you meet the requirements set out. | | | | | | Yes  No | | |
|  | **PARENT COMPANY** | | | | | | | | |
|  | Are you able to provide parent company accounts if requested to at a later stage? | | | | | | Yes  No | | |
|  | If yes, would the parent company be willing to provide a guarantee if necessary? | | | | | | Yes  No | | |
|  | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | | | | | | Yes  No | | |
|  | **TECHNICAL AND PROFESSIONAL ABILITY** | | | | | | | | |
|  | 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. | | | | | | | | |
|  |  | | 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 | |  | |  | | | |  |
|  | Does your company have previous experience of working collaboratively on a similar contract within the planned/reactive maintenance building sector? | | | | | | | | Yes  N/A  No |
|  | If you cannot provide three examples for question 6.1, 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. Your response should not exceed two sides of A4, font Arial Size 12. | | | | | | | | |
|  | Please provide evidence in the form of one case study that describes your company’s experience of working collaboratively on a similar contract within the planned / reactive maintenance building sector. The case study you provide should be one that you feel is closest to delivering the objectives outlined in the specification documents.  Your response should not exceed six sides of A4 (3000 words) (font Arial Size 12). A response provided exceeding this will only be evaluated up to the prescribed limit.  Please provide comprehensive information on each of the following:   1. Nature of work undertaken 2. Volume of contract 3. Form of contract used 4. Mobilisation issues and how you overcame them 5. Design responsibility 6. How the supply chain is managed 7. Mechanisms used to control and manage quality 8. Cost model used and any incentives/shared savings 9. How you have demonstrated value for money 10. Details of Key Performance Indicators (KPIs) including those relating to customer satisfaction, and the levels of performance achieved against target 11. Added value that you have brought to the contract 12. Your approach to identifying skills gaps and providing training | | | | | | | | |
| 6.5 | | Do you hold the relevant accreditation and memberships to?   * Constructions Skills Certificate Scheme (CSCS), * HSE Approved Codes of Practices (ACOPs),      * National Inspections Council for Electrical Installations Contracting (NICEIC) * Gas Safe Registration | | | | | | | Yes  No |
|  | **MODERN SLAVERY ACT 2015** | | | | | | | | |
|  | 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  No | |
|  | 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  No | |
|  | **INSURANCE** | | | | | | | | |
|  | 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:  Employer’s (Compulsory) Liability Insurance = £10,000,000  Public Liability Insurance = £10,000,000  Professional Indemnity Insurance = £5,000,000  Product Liability Insurance = £10,000,000  \*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. | | | | | | | Yes  No | |
|  | **HEALTH AND SAFETY** | | | | | | | | |
|  | Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements. | | | | | | | Yes  No | |
|  | 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 years? | | | | | | | Yes  No | |
|  | 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 | |
|  | **BUSINESS CONTINUITY** | | | | | | | | |
|  | Does your organisation have in place measures that will enable you to maintain your business activities in the event of an emergency situation or unforeseen event? | | | | | | | Yes  No | |
|  | **DATA PROTECTION & INFORMATION GOVERNANCE** | | | | | | | | |
|  | Does your organisation operate a framework of policies, procedures and standards to enable personal information to be kept confidential, protected from loss, theft, damage or destruction and also accessible to those who have a legitimate need to use it? This should typically include:  • evidence of a clear hierarchy responsible for information/data protection within the organisation;  • data protection policy;  • records management policy and retention schedules;  • information and ICT security policies and process for managing information security incidents;  • staff training records and evidence of a process to refresh training regularly;  • guidelines for handling information (clear desk approach, secure offices, storage etc.); and  • any compliance with ISO27001, or equivalent certifications. | | | | | | | Yes  No | |
|  | Please self-certify that prior to Contract award you will have completed the Government’s Cyber Essentials Scheme by undertaking a validated self-assessment of your cyber security system, followed by verification by an Independent Certification Award. | | | | | | | Yes  No | |
|  | **QUALITY ASSURANCE** | | | | | | | | |
|  | Please confirm your organisation applies documented quality management procedures. | | | | | | | Yes  No | |
|  | **SAFEGUARDING** | | | | | | | | |
|  | Does your organisation apply a safeguarding policy? | | | | | | | Yes  No | |
|  | Where work to be undertaken is regulated or controlled under the Safeguarding Vulnerable Groups Act 2006 (SVGA), please confirm:  (a) That you understand and will undertake the relevant responsibilities and duties under the SVGA;  (b) That members of your organisation have not been convicted or been the subject of any adverse finding under any offence under the SVGA;  (c) That you have policies, procedures and conditions in place as part of the employment of persons in regulated work under SVGA;  (i) To make appropriate pre-employment checks;  (ii) To make appropriate checks during employment;  (iii) To monitor anyone subject to any conditions in the conduct of regulated activity;  (d) That you follow the guidance issued by relevant authorities in the management of controlled activity under the SVGA; and  (e) That you will accept and comply with the Authority’s safeguarding requirements pursuant to the Authority’s policies and procedures in relation to safeguarding and the SVGA | | | | | | | Yes  No | |

# DECLARATION

Re: Pre-Qualification Questionnaire for [PQQ PAN 2438]

To: Leicester City Council

We declare that to the best of my knowledge this PQQ Response is true, complete and accurate in all respects, both as at the date communicated and as at the PQQ Return Date. We 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. We declare that, upon request and without delay we will provide the certificates or documentary evidence referred to in the PQQ or our PQQ Response.

We understand that the Authority may reject this PQQ Response in its entirety if there is a failure to follow the instructions or meet the Conditions of Participation (section 2.9) set out in the PQQ; there is a failure to answer all the relevant questions fully; or if false/misleading information or content is provided in any section; and are aware of the consequences of serious misrepresentation;

We understand no representation or warranty, express or implied, is or will be given by the Authority or any of its agents or advisors with respect to information included in the PQQ;

We certify that we have not or will not (either personally or by anyone acting on our behalf):

* Entered into any agreement or arrangement with any other person/organisation that they shall refrain from submitting a PQQ Response/tendering or as to the amount or terms of any Tender to be submitted by them;
* Canvassed or solicited any member, officer or other employee of the Authority in connection with the award of this or any other Authority contract or tender;
* Offered, given or agreed to give any inducement or reward in respect of this or any other Authority contract or tender.

The PQQ Response must be submitted by the organisation which it is proposed will enter into the formal Contract with the Authority if awarded the Contract. This Declaration must be signed:

* where the Supplier is a partnership, by two duly authorised partners;
* where the Supplier is a company, by two directors or by a director and the secretary of the company, such persons being duly authorised for that purpose.

PQQ Response submitted by

|  |  |  |  |
| --- | --- | --- | --- |
| Signature: |  |  |  |
| Print Name: |  |  |  |
| Date: |  |  |  |
| Role in the Organisation: |  |  |  |

# Appendix 1 QUESTION RESPONSE TEMPLATE

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| --- |
| Template for Your Explanation Response |
| PQQ Section and Question Number |
| Explanation |