**Invitation to Tender (ITT)**

**for the supply and delivery of:**

**Provision of a Social Care Service in Prisons:**

**HMP Ashfield**

**HMP Eastwood Park**

**HMP Leyhill**

**KE101**

**SCHEDULE 3**

**SUPPLIER SELECTION QUESTIONNAIRE**

**(PARTS 1, 2 & 3)**

**AND TECHNICAL QUESTIONS (PART 4)**

# Supplier Selection Questionnaire

# Notes to Bidders

**Potential Supplier Information and Exclusion Grounds: Part 1, Part 2 & Part 3**

The Supplier Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion[[1]](#footnote-1). 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, Part 2 & Part 3 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1, Part 2 & Part 3. 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).

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

**Supplier Selection Questions: Part 3**

The procurement document will provide instructions on the selection questions you need to respond to and how to submit those responses. 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.

There are some exclusion grounds within Part 3.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay we reserve the right to amend the contract award decision and award to the next compliant bidder.

**Technical Questions: Part 4**

This section is scored based on your responses to demonstrating your commitment to quality management, business continuity, your ability to meet the contract requirements, implementation and quality of service.

**Consequences of misrepresentation**

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences. You may 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.

**Provision of a Social Care Service in Prisons:**

**HMP Ashfield**

**HMP Eastwood Park**

**HMP Leyhill**

**KE101**

**OPEN TENDER**

**Notes for completion**

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. 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.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.
6. All sub-contractors are required to complete Part 1, Part 2[[2]](#footnote-2) and Part 3.
7. For answers to Part 3 & Part 4 -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.

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 regulations, or pursuant to an order of the court or demand made by any

**Part 1: Potential supplier Information**

Please answer the following questions in full. Note that **every organisation** that is being relied on to meet the selection must complete and submit Part 1 & Part 2 and the self-declaration (Section 24). Part 3 & Part 4 should be completed as per notes for completion.

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| **Section 1** | **Potential supplier information** | |
| **Question number** | **Question** | **Response** |
| 1.1(a) | Full name of the potential supplier submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status   1. public limited company 2. limited company 3. limited liability partnership 4. other partnership 5. sole trader 6. third sector 7. other (please specify your trading status) |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office DUNS number (if applicable) |  |
| 1.1(h) | Registered VAT number |  |
| 1.1(i) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | Yes ☐  No ☐  N/A ☐ |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | Yes ☐  No ☐ |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)   1. Voluntary Community Social Enterprise (VCSE) 2. Sheltered Workshop 3. Public service mutual |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[3]](#footnote-3)? | Yes ☐  No ☐ |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[4]](#footnote-4)  - Name;  - Date of birth;  - Nationality;  - Country, state or part of the UK where the PSC usually lives;  - Service address;  - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used);  - Which conditions for being a PSC are met;  - Over 25% up to (and including) 50%,  - More than 50% and less than 75%,  - 75% or more. [[5]](#footnote-5)  (Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company:    - Full name of the immediate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office DUNS number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:  - Full name of the ultimate parent company  - Registered office address (if applicable)  - Registration number (if applicable)  - Head office DUNS number (if applicable)  - Head office VAT number (if applicable)  (Please enter N/A if not applicable) |  |

Please note: A criminal record check for relevant convictions will be undertaken for the preferred suppliers and the persons of significant in control of them. Home Office clearance must be obtained for any staff working within the Prisons.

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

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| **Section 1** | **Bidding model** | |
| **Question number** | **Question** | **Response** |
| 1.2(a) - (i) | Are you bidding as the lead contact for a group of economic operators? | Yes ☐  No ☐  If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.  If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3. |
| 1.2(a) - (ii) | Name of group of economic operators (if applicable) |  |
| 1.2(a) - (iii) | Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure. |  |
| 1.2(b) - (i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | Yes ☐  No ☐ |
| 1.2(b) - (ii) | If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | Name |  |  |  |  |  | | Registered address |  |  |  |  |  | | Trading status |  |  |  |  |  | | Company registration number |  |  |  |  |  | | Head Office DUNS number (if applicable) |  |  |  |  |  | | Registered VAT number |  |  |  |  |  | | Type of organisation |  |  |  |  |  | | SME (Yes/No) |  |  |  |  |  | | The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables |  |  |  |  |  | | The approximate % of contractual obligations assigned to each sub-contractor |  |  |  |  |  | | |

**Contact details and declaration**

I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited to participate further in this procurement.

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

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

**Part 2: Exclusion Grounds**

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1, Part 2 & Part 3 self-declaration (Section 23)

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| **Section 2** | **Grounds for mandatory exclusion** | |
| **Question number** | **Question** | **Response** |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [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 five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). | |
|  | Participation in a criminal organisation. | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Corruption. | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Fraud. | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | Yes ☐  No ☐  If Yes please provide details at 2.1(b) |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.  Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,  Identity of who has been convicted  If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.2 | If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning) | Yes ☐  No ☐ |
| 2.3(a) | **Regulation 57(3)**  Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | Yes ☐  No ☐ |
| 2.3(b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

Please Note: The 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.

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| **Section 3** | **Grounds for discretionary exclusion** | | | |
|  | **Question** | | **Response** | |
| 3.1 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [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. | | | |
| 3.1(a) | Breach of environmental obligations? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1 (b) | Breach of social obligations? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1 (c) | Breach of labour law obligations? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(e) | Guilty of grave professional misconduct? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | | Yes ☐  No ☐  If yes please provide details at 3.2 | |
| 3.1(j)  3.1(j) - (i)  3.1(j) - (ii)  3.1(j) –(iii)  3.1(j)-(iv) | Please answer the following statements  The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.  The organisation has withheld such information.  The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.  The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | | Yes ☐  No ☐  If Yes please provide details at 3.2  Yes ☐  No ☐  If Yes please provide details at 3.2  Yes ☐  No ☐  If Yes please provide details at 3.2  Yes ☐  No ☐  If Yes please provide details at 3.2 | |
| 3.2 | If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning) |  | |

**Part 3: Selection Questions**

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| **Section 4** | **Economic and Financial Standing** | | |
|  | **Question** | **Response** | |
| 4.1 | Are you able to provide a copy of your audited accounts for the last two years, if requested?  If no, can you provide **one** of the following: answer with Y/N in the relevant box. | | Yes ☐  No ☐ |
| (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | | Yes ☐  No ☐ |
| (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | | Yes ☐  No ☐ |
|  | (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | | Yes ☐  No ☐ |
| 4.2 | Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering ‘Yes’ or ‘No’ that you meet the requirements set out. | | Yes ☐  No ☐ **N/A** |

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| **Section 5** | **If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:** | | |
| Name of organisation | |  | |
| Relationship to the Supplier completing these questions | |  | |
| 5.1 | Are you able to provide parent company accounts if requested to at a later stage? | | Yes ☐  No ☐ |
| 5.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | | Yes ☐  No ☐ |
| 5.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | | Yes ☐  No ☐ |

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| **Section 6** | **Technical and Professional Ability** |
| **6.1** | **Relevant experience and contract examples**   Please provide BRIEF details of up to five contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.  The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.  Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).  Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.  If you cannot provide examples see question 6.3 |

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|  | **Contract 1** | **Contract 2** | **Contract 3** | **Contract 4** | **Contract 5** |
| **Name of customer organisation** |  |  |  |  |  |
| **Point of contact in the organisation** |  |  |  |  |  |
| **Position in the organisation** |  |  |  |  |  |
| **E-mail address** |  |  |  |  |  |
| **Telephone number of contact person** |  |  |  |  |  |
| **Brief Description of contract** *(You are required to provide further details in Q11)* |  |  |  |  |  |
| **Contract Start date** |  |  |  |  |  |
| **Contract completion date** |  |  |  |  |  |
| **Estimated contract value** |  |  |  |  |  |

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| **6.2** | If you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s)  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries) |
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| **6.3** | **If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. you have provided services in the past but not under a contract.** |
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| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015[[6]](#footnote-6)** | |
| **7.1** | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes ☐  N/A ☐ |
| **7.2** | If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes ☐  Please provide relevant the url …  No ☐  Please provide an explanation |

**8. Additional Questions**

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

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| **Section 8** | **Additional Questions** | | | |
| **8.1** | **Insurance Pass/Fail** | | | |
| a. | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:  Employer’s (Compulsory) Liability Insurance = £5m  Public Liability Insurance = £10m Professional Indemnity Insurance = as required  \*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 |
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| **8.2** | **Compliance with Equality Legislation** | | | |
| **a.** | For organisations working outside of the UK please refer to equivalent legislation in the country that you are located.  In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | Yes ☐  No ☐ | | |
| **b.** | In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds or alleged unlawful discrimination?  If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.  If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.  You may be excluded if you are unable to demonstrate to the Council’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring. | Yes ☐  No ☐ | | |
| **c.** | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | Yes ☐  No ☐ | | |

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| **8.3** | **Environmental Management** | |
| **a.** | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)?  If your answer to 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.  The Council will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last 3 years, unless the Council is satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches. | Yes ☐  No ☐ |
| **b.** | If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation? | Yes ☐  No ☐ |
| **c** | The Council’s Environmental Policy sets out an objective to procure services from sustainable sources. We are committed to improving our understanding and management of the impacts of our supply chains both on the local South Gloucestershire environment as well as on the wider global environment.  Please describe below how you would progress the Council’s environmental objectives in the delivery of the contract.  If a response is relevant to more than one objective then please state it in both places.  We would encourage you to think creatively, but if you believe there is no way a particular objective can be furthered by this contract then please enter “N/A”.  MAX 500 words   |  |  | | --- | --- | | **Objective** | **Method Statement** | | Reduce carbon dioxide (CO2) emissions |  | | Reduce energy use |  | | Increase the development and use of renewable energy |  | | Reduce transport emissions |  | | Reduce waste and increase reuse and recycling |  | | Use water efficiently, and sustainably manage the water environment (including flood risk management, taking into account projected impacts of climate change) |  | | Use materials efficiently and procure materials and services from sustainable sources |  | | Prevent pollution of land, water and air |  | | Protect and enhance biodiversity |  | | |

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| **8.4** | **Health & Safety** | |
| **a.** | Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements. | Yes ☐  No ☐ |
| **b.** | Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?  If your answer to this question was “Yes”, please provide details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.  The Council will exclude bidder(s) that have been in receipt of enforcement/remedial action orders unless the bidder(s) can demonstrate to the Council’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches. | Yes ☐  No ☐ |
| **c.** | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | Yes ☐  No ☐ |

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| **8.5** | **Project Specific Questions – Pass / Fail** | | | | |
| **Please note that an answer of “No” to 8.5.1, 8.5.9, 8.5.10 & 8.5.11. 8.5.12 & 8.5.13 or 8.5.14 will result in your organisation being excluded from the procurement process.** | | | | | | |
| Please mark ‘X’ in the relevant box | | **Yes** | | **No** | | |
| 8.5.1 | Is the Firm currently registered with The Care Quality Commission for the provision of Care in the Home regulated services?  State below all the regulated activities that your Firm is registered to provide: |  | | | | |
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| 8.5.2 | Please provide details of the branch of your firm that will be providing services under this contract?  Name of branch:  Address of branch: | | | | | |
| 8.5.3 | What is the date of the latest Care Quality Commission inspection of your Firm for the branch list in 8.5.2  Inspection Date: \_\_\_\_\_\_\_\_\_\_\_\_ Not yet inspected   If the latest inspection report is unpublished please supply a copy clearly marked 8.5.3 | | | | | |
| 8.5.4 | Please supply a copy of the Firm’s current Care Quality Commission registration certificate for the branch listed in 8.5.2 clearly marked 8.5.4  Enclosed Yes | | | | | |
| 8.5.5 | State the name of the Registered Manager who would be responsible for the services provided at the 3 prisons listed in this tender  Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Has the person named above completed their CQC Managers registration? | **Yes** | | **No** | | |
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| 8.5.6 | If NO to question 8.5.5 state the date the application was made to the CQC. Date: | | | | | |
| 8.5.7 | Please provide the Firms latest internal quality monitoring report clearly marked 8.5.7    Enclosed | **Yes** | | **No** | | |
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| 8.5.8 | Please confirm your Firm has the following Policies and Procedures : | **Yes** | **If yes, date last updated** | | **No** | |
| Medication |  |  | |  | |
| Safeguarding Adults |  |  | |  | |
| Health & Safety |  |  | |  | |
| Risk Assessment & Management |  |  | |  | |
| Lone Working |  |  | |  | |
| No Reply |  |  | |  | |
| Equalities & Diversity |  |  | |  | |
| Complaints |  |  | |  | |
| Confidentiality |  |  | |  | |
| Service User’s property moneys and valuables |  |  | |  | |
| Bullying & Harassment |  |  | |  | |
| Recruitment |  |  | |  | |
| Induction |  |  | |  | |
| Supervision |  |  | |  | |
| Staff Development & Training |  |  | |  | |
| Whistle Blowing |  |  | |  | |
| Applicants should note that you will be required to provide copies of any policy on request as a condition of the contract. | | | | | |
| 8.5.9 | Can you confirm that your Firm will offer services in accordance with the South Gloucestershire Council’s Service Specification for provision of Social Care service in prisons? (See Schedule 2) | **Yes** | | **No** | | |
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| 8.5.10 | Is the Firm registered with the Information Commissioner’s Office for Data Protection Purposes:  If YES please advise date of registration and what categories the firm is registered for  Date:  Categories: | **Yes** | | **No** | | |
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| 8.5.11 | If you have answered No to 8.5.10 please confirm that your firm is willing to register prior to commencement of the service. | **Yes** | | **No** | | |
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| 8.5.12 | Please confirm that your organisation will comply with ALL the relevant legal and statutory requirements that relate to provision of the service being tendered | **Yes** | | **No** | | |
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| 8.5.13 | Please confirm that services delivered under the contract will be provided in accordance with all relevant good practice, and that all services will be reviewed regularly to ensure that practice and delivery are updated when required | **Yes** | | **No** | | |
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| 8.5.14 | Can you confirm that your organisation will be approved to obtain Home office clearance for its staff? | **Yes** | | **No** | | |
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**Part 4: Technical Questions – this section will be scored**

Any bidders who score 1 or less in any question may be excluded. Any bidders who score less than 2 or less in 5 or more questions may also be excluded.

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| **Section 9** | **Quality Management (question weighting 1%)** | | |
| 9.1 | Has your Firm achieved a recognised independent certificated **quality** audit standard that demonstrates your organisation’s commitment to quality in all areas of the business (e.g. BS EN ISO 9000)?  If YES, please give details (name of standard, tier achieved etc.) and attach any certification clearly marked question 9.1.  Move to Section 10 (Business Continuity) | **Yes** | **No** |
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| 9.2 | If not, does your organisation have a quality management system (i.e. documented processes and procedures to ensure that your business is conducted well and your legal obligations are met)? | **Yes** | **No** |
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| 9.3 | If yes to 9.2, please provide details below. | | |
| 9.4 | If you do not have quality certification or a quality management system, please explain why *(If additional space required please add as an appendix to application clearly marked 9.4) MAX 300 words* | | |

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| **Section 10** | **Business Continuity (question weighting 1%)** | | | |
| 10.1 | | Does your organisation have a business continuity plan?  If “Yes”, please provide a copy.  Please note that if “No”, it is a condition of the contract that a Business Continuity plan is in place for the successful bidder before commencement of service. | **YES** | **NO** |
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| 10.2 | | Is your organisation compliant/accredited to BS 25999 -1:2006 and BS 25999-2007? | **YES** | **NO** |
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| 10.3 | | When was the organisation’s business continuity plan last exercised? Please specify the exact date. | --/--/---- | |
| 10.4 | | What is the exercise timetable for the plan? Please tick appropriate statement:  Once every year  Once every two years  Once every three years | | |
| 10.5 | | Please give details of your exercises and staff training for your business continuity plan?  *If further space is required please add as an appendix to application clearly marked 10.5) MAX 300 WORDS* | | |
| 10.6 | | Has your organisation’s plan been updated in light of training exercises and guidance on emerging threats (for example, fuel shortages, pandemic flu)? | **YES** | **NO** |
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| 10.7 | If you have answered yes to 10.6 above, please state which areas have been updated *(if more space is needed please add as an appendix to application clearly marked 10.7). MAX 300 WORDS* | | |
| 10.8 | Has your organisation identified your critical contractors / suppliers? | **YES** | **NO** |
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| 10.9 | Do these critical contractors / suppliers have business continuity plans in place? | **YES** | **NO** |
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| **Section 11** | **RELEVANT EXPERIENCE (question weighting 8%)**  *(Max 1500 words)* | |
|  | | Please provide a description of each of the contracts listed in 6.1 to demonstrate your technical capability to provide a social care service in prisons, particularly detailing your experience in implementing and establishing a service in all category prison services and of working with offenders with complex and/ or challenging behaviour. |

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| **Section 12** | **UNDERSTANDING SOCIAL CARE WITHIN A PRISON EVIRONMENT (question weighting 8%)**  (*Max 1500 words)* | |
|  | | Please describe your organisation’s understanding of the provision a social care service within prisons and how your organisational experience, ethos and approach to such services will benefit prisoners and stakeholder partners in HMP Ashfield, HMP Eastwood Park and HMP Leyhill.  Please also include:  How the services for this client group will contribute to South Gloucestershire Council’s strategy for Health and Wellbeing.  The positive objectives and benefits your service will provide to enable prisoners to be become more independent and to enable less reliance on social care services upon release, where applicable.  *(if further space required please add as an appendix to application clearly marked 12)* |
| **Section 13** | | **START UP AND IMPLEMENTATION (question weighting 3%)**  *(Max 1000 words, excluding Gantt chart)*  (if further space required please add as an appendix to application clearly marked 13) |
| 13.1 | | Please give details of how the service will be mobilised in a project plan (format Microsoft Word or equivalent) detailing the set-up of the Prisons Social Care service, including timescales, responsibilities, details of constraints, milestones, risks, mitigations and dependencies. |
| 13.2 | | Please provide in Gantt chart format timescales for implementation of the Prisons Social Care Service showing activities required, timescales for completion and any interdependencies. |
| 13.3 | | Who in your organisation (Names & job titles) will be responsible for the implementation, what are their responsibilities and what other departmental or staff support will be available to them? |
| 13.4 | | How will your organisation adapt to the specific challenges of working within a prison environment? |
| 13.5 | | What information may be required from the previous support providers, settings or other stakeholders and how will the transfer of this information be organised and managed? |
| 13.6 | | What contingency arrangements will be in place in the event that the services cannot be set up according to required timescales, bearing in mind a short implementation period? |

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| **Section 14** | **MANAGEMENT AND STAFF CAPACITY (question weighting 3%)**  *(MAX 750 WORDS) (if further space required please add as an appendix to application clearly marked 14)* |
| 14.1 | Please explain by use of a structure chart (marked 14) **all** resources that will be required to deliver the service, detailing management, supervisors, support staff and administrational support. *(please indicate if posts are full time or part time and if part time how many hours per week)* |
| 14.2 | Explain the role of the Registered Manager who will be responsible for the service, his/her responsibilities, the hours that they will be available and to whom he/she reports. |
| 14.3 | How will your organisation ensure sufficient staff capacity for provision of a reliable, consistent care and support service 24 hours a day, 7 days per week for 365 days of the year? Bidders should note that demand can fluctuate considerably at short notice due to changes in the prison population and individual needs. |
| 14.4 | Is your organisation intending to use any agency/bank staff to cover services? If so, how will you ensure that agency/bank staff are fully supported to ensure safe delivery of services? |
| **Section 15** | **RECRUITMENT & RETENTION OF STAFF (question weighting 3%)**  *(MAX 750 WORDS) (if further space required please add as an appendix to application clearly marked 15)* |
| 15.1 | How will you manage recruitment to ensure that sufficient staffing is maintained throughout the term of the contract? |
| 15.2 | What terms and conditions or employee benefits will be available to staff and how will your organisation effectively manage the retention of staff to maintain a consistent and reliable service? |

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| 15.3 | Will your organisation employ any new staff on a zero hour contract or will all staff be employed on a contract with a guaranteed number of hours? If there is a guaranteed number of weekly hours, please explain.  If your answer is “yes” please confirm whether this tender is based on the employment of any staff on zero hour contracts for the provision of the Social Care Service within the 3 prisons? |
| 15.4 | What opportunities will be available for staff career progression? Please give details of how staff are encouraged to develop their skills? Please give examples of where existing or previous care staff have progressed their careers within your organisation and what roles they have moved into? |
| **Section 16** | **TRAINING & STAFF COMPETENCE (question weighting 3%)**  *(MAX 1000 WORDS)* |
| 16.1 | How do you record staff training that they have received and what process indicates that training or refresher training is required? |
| 16.2 | Ongoing training for staff who have completed their induction   * What training will be provided for current staff, including any standard update training, who will provide the training & by what method of delivery? * What training will be provided for staff to ensure service user’s needs can be met, including complex conditions and challenging behaviour? * How are staff competencies and standards of practise monitored, by whom? * How you would identify a training need and what action would be taken? * Who will be responsible for training and competency assessment? * Do you use any external agencies for specialist training and advice? If so, please give details. |
| 16.3 | New staff   * What training will be provided for staff new to Social Care and those from a Social Care background, including induction and over what duration? * What training are staff required to complete prior to providing care and support to prisoners? * Who will provide the training & by what method? * How the effectiveness of training provided is evaluated? * How the care worker is assessed as being competent as a lone worker to safely provide social care within a prison or custodial setting? |
| 16.4 | Please advise what training and support is provided to both managers and support staff to manage the complexities and challenging behaviour often exhibited by prisoners, who provides the training, how is it provided and how frequently do staff receive refresher training? |
| 16.5 | Please give an example (within the last 12 months) of where specific training has been provided to a group of staff following service concerns? |
| **Section 17** | **REVIEWING SERVICES (question weighting 1%)**  *(MAX 500 WORDS)* |
| 17.1 | How will your organisation ensure that services appropriate to the specific needs of the prisoner are provided at all times? |
| 17.2 | How will your organisation ensure that staff are aware when a prisoners is going to be absent for a period (e.g. hospital admission, court appearance etc.) or when they are due to be transferred to another custodial setting or released? |
| **Section 18** | **QUALITY ASSURANCE AND MONITORING (question weighting 2%)**  *(MAX 600 WORDS)* |
| 18.1 | How will the supervisors/managers in charge of the service know that the social care service provided to prisoners is delivered in accordance with their needs and permissible preferences within a custodial setting? |

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| 18.2 | Please explain how the manager will monitor the quality and appropriateness of the day to day service delivered and how they ensure they are aware of the views of prisoners and other key stakeholders such as prisons staff, health care staff, social care assessors etc. |
| 18.3 | How does your organisation analyse satisfaction levels from different groups of people (e.g. protected characteristics, those with disabilities, BOME etc.)? |
| 18.4 | Please give an example of when your organisation has used feedback to improve the service provided to a specific individual within the last 12 months? |
| 18.5 | Please give one example of where you implemented changes to the overall service following stakeholder feedback within the last 12 months. |
| **Section 19** | **BUILDING LINKS (question weighting 1%)**  *(MAX 500 WORDS)* |
| 19.1 | Please explain how your organisation will identify and build relationships with prison staff, health care staff and other stakeholders working within the prisons to work towards a seamless service, enabling prisoners to become as independent as possible. Please give an example of where good partnership working has enhanced a service, or provided more opportunities for prisoners to enjoy a greater level of independence or quality of life. |
| 19.2 | Please also explain how your organisation will build links with stakeholders and organisations to assist in the move-on process for prisoners released from custody or being transferred to another prison. |
| **Section 20** | **SERVICE USER INVOLVEMENT (question weighting 1%)**  *(MAX 300 WORDS)* |
|  | Please explain how your organisation will encourage all prisoners to be involved in the development and running of the service and give an example of where this has proved successful. |
| **Section 21** | **STAFF CONVICTIONS (question weighting 1%)**  *(MAX 300 WORDS)* |
|  | What measures would be taken if a member of staff were to receive a conviction during their employment with your organisation that would exclude them from working with vulnerable people or any action that would result in loss of their Home Office security clearance? |
| **Section 22** | **SOCIAL VALUE (question weighting 6%)**  *(MAX 1000 WORDS)* |
|  | The Council will procure its services, where appropriate, in line with the Public Services (Social Value) Act 2012. The Act asks commissioners to think about securing extra benefits for their area when they are buying services. Before they start procurement, commissioners should think about how the services they are going to buy, or the procurement process they are going to use to buy them, could secure the most valuable benefits for their area.  Please give examples of your involvement in each of the following:  • Generating employment and training opportunities for long-term unemployed people;  • Providing training opportunities for young people;  • Commitment to apprenticeships    b. Which of the examples have you cited have been more successful, and which have been less successful, and why? |
| **Section 23** | **CASE STUDY 1 (question weighting 6%)** |
| Case Study 1 | Please describe, in less than 1000 words:  The key differences and challenges of providing a social care service within a prison environment, compared with social care within the community.  This could include:   * What you would need to consider to ensure the service is fully set up and operational by 1st Feb 2020. * What operational considerations do you need to be aware of? * Who you would need to work with and how you would do this. * What information you would need from partners/ stakeholders to ensure the service is successful. * Staffing requirements and how you would meet these.   *(if further space required please add as an appendix to application clearly marked Case Study 1)* |
|  | **CASE STUDY 2 (question weighting 6%)** |
| Case Study 2 | In a routine 1-1 supervision meeting, a care staff member working in the prisons mentions to her manager that she had been chatting about her family to a prisoner on a care visit and had been asked by a prisoner to contact the prisoner’s sister to request that the sister visits the prisoner. The care staff member asked whether it was within her role to do this.  Please explain in less than 1000 words:   * How you would you manage this situation. * What advice/ instruction you would give the care staff member * What additional staff training you might consider * What needs to be considered * Who else should be involved, why and when   *(if further space required please add as an appendix to application clearly marked Case Study 2)* |

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|  | **CASE STUDY 3 (question weighting 6%)** |
| Case Study 3 | A physically impaired prisoner requiring 2 members of care staff to deliver his care (due to his size and mobility issues) has repeatedly complained that his social care visits do not take place at the times they are planned for, that sometimes only one member of care staff is available and that care staff members do not respect his dignity and preferences. The prisoner has demanded that alternative staff deliver his social care, that 2 staff are available at all times, that the staff members are male and that all visits take place on time.  *Please explain in less than 1000 words*   * What actions would need to be taken * Who would need to be contacted and why * What other issues may need to be considered and why * What actions could be taken to avoid this type of situation occurring   *(if further space required please add as an appendix to application clearly marked Case Study 3)* |

**Section 24. Declaration**

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| 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 Council 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 Council’s requirement.  The following appendices form part of the submission;   |  |  | | --- | --- | | **Section of Selection Questionnaire** | **Appendix Number** | |  |  | |  |  |   **SELECTION QUESTIONNAIRE COMPLETED BY**   |  |  | | --- | --- | | NAME |  | | ROLE IN ORGANISATION |  | | DATE |  | | SIGNATURE |  | |

1. For the list of exclusion please see https://www.gov.uk/government/uploads/system/uploads/attachment\_data/file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf [↑](#footnote-ref-1)
2. See PCR 2015 regulations 71 (8)-(9) [↑](#footnote-ref-2)
3. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-3)
4. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-4)
5. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-5)
6. [Procurement Policy Note 9/16 Modern Slavery Act 2015](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-6)