

**PRE-QUALIFICATION QUESTIONNAIRE (PQQ)**

**FOR**

**CONTRACT No. SC117**

**Autistic Spectrum Condition (ASC) Service**

**April 2013-March 2018 (5yrs + option to extend up to a further 5yrs)**

**Date: 26 October 2012**



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**PRE-QUALIFICATION QUESTIONNAIRE (PQQ)**

Contract Title: Autistic Spectrum Condition Service (Contract No. SC117)

**General Information**

This Pre-Qualification Questionnaire (“PQQ”) has been issued by the Authority in connection with a competitive procurement conducted in accordance with the Restricted Procedure (Part B service) under the Public Contract Regulations 2006 (“the Regulations”).

**Outline Requirement****Purpose:**

Reading Borough Council has recently sourced a property that they intend to use as a young person’s autistic spectrum condition shared house. This property is located in Reading at 35 Alexandra Road and is expected to accommodate 6 clients with autism. The property will have the latest assisted technology innovations, which is expected to minimise personal intervention where possible.

The objective is to procure a provider by next April that will cater for all support needs for the 6 young people (aged 18+) that will be moved into the shared house around their 18<sup>th</sup> birthday.

At this time there are just 4 clients expected to be living at the property by next April and any support arranged prior to the award of this contract will be issued on a spot contract basis and then transferred over to the successful tenderer. The successful tenderer is expected to start the service on 1<sup>st</sup> April 2013, although the contract may commence prior to this date as it may be subject to TUPE regulations.

A specific requirement will be that the staff have specialist training and will be Team Teach or SCIPr trained. The successful tenderer will be CQC registered to deliver personal care in a supported living setting, to enable the service to be flexible enough to meet a range of client needs. They will have a minimum of 3 years experience of supporting people with an autistic spectrum condition, demonstrable experience in working with outcome measurement tools and will hold current or recent contracts with other Local Authorities for this service type.

The contract will be demand led and have no guarantee of contracted care and support hours to be provided; rather care and support hours will be commissioned on a ‘spot’ purchase arrangement dependent on the assessed needs of the Clients (in order to facilitate personalisation and choice for each client), taking into account the need for any background cover. However, the initial contracted hours at the commencement of the service are expected to be approximately 243 hours per week (as detailed below).

The initial service will be available 24 hours a day, 7 days a week (daytime hours



falling between 7 am to 10 pm and night time hours 10 pm to 7 am for waking night staff). The 243 hours at the commencement of the service are expected to be delivered in the following way: Weekdays - 2 staff 7 am - 9 am + 3 pm - 10 pm (just 1 staff: 9 am - 3 pm). Weekends - 2 staff 7 am - 10 pm. Night cover - Waking night 7 nights a week. There may be additional 1:1 hours arranged for each Client depending on their needs. Any additional support tasks within the home are expected to be provided by the core service provider but clients will have the choice to use other providers when out in the community. However, there is an expectation that over time the Clients' will be enabled and require a reduction in their total support hours.

The contracting authority anticipates that the Transfer of Undertaking (Protection of Employment) Regulations (2006 TUPE) may apply to this contract.

Service Specification attached herewith.

### **Notes for completion:**

Please answer every question. Many procurements generate a great deal of interest from potential suppliers, so please ensure that you complete the questionnaire as requested. Failure to do so may result in your application being disqualified. If the question does not apply to you please write N/A (not applicable); if you don't know the answer please write N/K (not known).

“Authority” means the purchasing organisation that is seeking to award a contract.

“You”/ “Your” or “Potential Provider” means the business or company which is completing this PQQ.

**Please be sure to read through Appendix X - Evaluation Criteria and Scoring Scheme, and send out three ASC Reference Forms - Appendix Z as early as possible.**

### **Verification of Information Provided:**

The higher the risk of the procurement, the higher the level of verification is likely to be required. Not all questions require supporting documents up front at this stage. **However, the purchasing organisation may ask to see these documents at a later stage, so it is advisable you ensure they can be made available upon request.** You may also be asked to clarify your answers or provide more details about certain issues.

### **Sub Contracting Arrangements**

Where a sub-contracting approach is proposed, all information requested should be given in respect of the prime contractor.

Where sub-contractors will play a significant role in the delivery of the services or products under any ensuing contract, please indicate in a separate annex (by inserting the relevant company/organisation name) the composition of the supply chain, indicating which member of the supply chain will be responsible for the elements of the requirement.

It is recognised that arrangements in relation to sub-contracting may be subject to future change. However, Potential Providers should be aware that where sub-contractors are to play a significant role, any changes to those sub-contracting arrangements may constitute a material change and therefore may affect the ability of the Potential Provider to proceed with the procurement process or to provide the goods and/or services.

### **Consortia Arrangements**

If the Potential Provider bidding for a requirement is a consortium, the following information must be provided:

- full details of the consortium; and
- the information sought in this PQQ in respect of each of the consortium's constituent members as part of a single composite response.

Potential Providers should provide details of the actual or proposed percentage shareholding of the constituent members within the consortium in a separate Annex. If a consortium is not proposing to form a corporate entity, full details of alternative proposed arrangements should be provided in the Annex. However, please note the Authority reserves the right to require a successful consortium to form a single legal entity in accordance with regulation 28 of the Public Contracts Regulations 2006.

The Authority recognises that arrangements in relation to consortia may (within limits) be subject to future change. Potential Providers should therefore respond in the light of the arrangements as currently envisaged. Potential Providers are reminded that any future proposed change in relation to consortia must be notified to the Authority so that it can make a further assessment by applying the selection criteria to the new information provided.

## INSTRUCTIONS TO INTERESTED ORGANISATIONS

### 1. Introduction

- 1.1 If you intend to complete and return this Pre-Qualification Questionnaire (PQQ) for the Autistic Spectrum Condition Service, please read the following instructions carefully and prepare your PQQ accordingly.
- 1.2 Please ensure that you complete all of the PQQ as failure to do so may result in disqualification.
- 1.3 We will not be responsible for any costs or expenses you incur in preparing, delivering or in the evaluation of the PQQ, or for any costs or expenses incurred during subsequent stages of the procurement should you be invited to tender.

Please note that this PQQ format is standard across the Berkshire Councils and a number of other public bodies based in the Thames Valley area, which means that if a response is completed for one contract, the same response with relevant updates can be provided to other authorities for all non-contract specific questions.

- 1.4 Prior to the date for return of PQQs, we may ask you to clarify, or add to the documents. A copy of each such alteration will be issued by the Council to every respondent and shall form part of the Instructions to Interested Organisations documents.
- 1.5 In order for the authority to be able to keep organisations expressing an interest updated you must register an interest in this contracting opportunity via the South East Business Portal and/or by e-mailing: Jon Richardson at [jon.richardson@reading.gov.uk](mailto:jon.richardson@reading.gov.uk).

The officer responsible for this project will send you confirmation of your expression of interest. If we do not have your contact details we will not be able to send you any amendments to the documents or send you responses to questions that are raised by interested organisations.

- 1.6 Any request for clarification of these documents must be made in writing by e-mail to Jon Richardson at [jon.richardson@reading.gov.uk](mailto:jon.richardson@reading.gov.uk). Copies of the clarifications requested and the responses will be sent to all those organisations expressing an interest. This will not identify the source of the original question. If you believe that your question should not be shared with others who have registered an interest in this contract, please let us know and we will consider this on a case by case basis.

- 1.7 We will respond in writing by e-mail as soon as is practical after receipt of any request for clarification. We will not normally respond to any request for clarification which is received later than 6 working days prior to the PQQ submission date (see paragraph 3 below), i.e. all requests for clarification must be received by **12 noon on Friday 9<sup>th</sup> November 2012**. Responses to the questions will be sent out by close of business on **Tuesday 13<sup>th</sup> November 2012**.
- 1.8 All information contained in the Instructions to Interested Organisations is provided solely for the purpose of organisations intending to submit a pre-qualification questionnaire to prepare their response. Please do not use the information for any other purpose without seeking prior approval from the Council using the contact details below.

**Reading Borough Council  
Education, Social Services & Housing  
Contracts and Commissioning Team  
Level 6 Civic Centre  
Reading  
Berkshire  
RG1 7AE  
For attention of Jon Richardson**

## **2. PQQ Response**

### **2.1 Format**

The PQQ document is designed to be self explanatory and uses plain English.

Please use the format set out in the PQQ document itself.

Please answer all questions in Forms A, B, C, D and E. If you are a non-UK business you will also have to answer parts A3.1 and A3.2 of Form A.

Where a maximum word count is stipulated, you must include a word count beneath each answer and ensure you do not go over. Any words surplus to stipulated word count will be disregarded and therefore not evaluated as part of the PQQ submission.

Please check to make sure you have completed “Form F - Undertaking” and dated the completed questionnaire before returning it.

### **2.2 Return Arrangements**

Three copies of your PQQ (individually separated) should be completed and returned in hard copy - faxed or e-mailed submissions will not be accepted.



Please also provide an electronic version of the PQQ submission on a memory stick or disk in either Word 97-2003 or pdf format.

Please return your completed PQQ by recorded delivery to the following address:-

**Reading Borough Council  
Education, Social Services & Housing  
Contracts and Commissioning Team  
Level 6 Civic Centre  
Reading  
Berkshire  
RG1 7AE  
For attention of Jon Richardson**

Please note incomplete PQQ submissions will not be considered.

### 2.3 PQQ Deadline

Your PQQ must be returned by no later than **12 noon on Friday 16<sup>th</sup> November 2012**. Any PQQ received after this deadline will not be accepted.

### 2.4 External Reference Material

If you use any external reference material, such as brochures, specifications and system descriptions, to support your PQQ, we will disregard any statements within the reference material which may allow change to obligations or reduce liability, such as “specifications subject to change without notice”, or other disclaimers.

### 2.5 Cross References

Where a particular section of the PQQ response relates to information given in another section, or in external reference material, you must ensure that the response is clearly cross-referenced.

### 2.6 References

We will be seeking a minimum of two references. **Please make sure you are aware of the following:**

- a. The reference template for this PQQ can be found on the South East Business Portal (refer to ASC Reference Form - Appendix Z) which **you** must issue to the two-three organisations you have listed in sections E1 & E2 of your PQQ response. Each reference you nominate will need to be asked to respond directly to Reading Borough Council and provide a score relating to your performance. You will be awarded a score based on the average of all referees responses



(further details can be found in the ASC Evaluation Criteria and Scoring Scheme - Appendix X).

- b. It is your organisations responsibility to issue, chase and ensure that Reading Borough Council receives the completed reference templates by the **Reference Deadline of 12 noon on the 23rd November 2012**. The reference template must be returned to the Council directly from the referees that you have nominated (in sections E1 & E2) and must not be received via your organisation. References received from referees not nominated in your PQQ will not be assessed or scored. The references received must be relevant to the Council's requirements to which this PQQ relates (and within the last three years). If a reference is provided which is not relevant, the Council will score the reference zero. Incorrectly completed references will not be clarified e.g. the Council is unable to accept or evaluate references submitted in any other format than the template issued i.e. with comments instead of the scores as detailed in the template.
- c. If we have not received a minimum of two references by the **Reference Deadline of 12 noon on the 23<sup>rd</sup> November 2012** your PQQ will be rejected. Please make sure your referees are aware of this and have agreed to provide the reference by the deadline. It is the responsibility of both potential bidder and referee to arrange for the return of references by the given deadline.

Please note that references will be confidential. In feedback we will only give you the overall score for all references as an average score, not the breakdown of scores for each referee.

References will only be accepted from a representative of a contracting organisation or grant funding organisation that has, or had, a direct funding relationship or contract with your organisation. The reference will only consider your organisation's performance under the terms of the contract or funding arrangement.

**Please note failure to provide a minimum of two references (and have them returned by the deadline given) will result in a fail for this section and your application will be rejected.**

### 3. Evaluation of PQQs

- 3.1 We will consider the information supplied with the PQQs and invite no fewer than three organisations to tender for the contract and no more than five organisations to tender for the contract, should they all meet the minimum requirements. Selection of these organisations will be based upon the top five highest scores.

- 3.2 We will evaluate the PQQs using the appended documents; ASC Evaluation Criteria and Scoring Scheme - [Appendix X] and the ASC Reference Form [Appendix Z].
- 3.3 We are under no obligation to invite any interested organisation to participate in a tender for this service.
- 3.4 You may be asked to answer further questions on your PQQ submission and/or to submit further evidence to support the information contained in the PQQ.
- 3.5 We will inform all successful and unsuccessful candidates via email by the **10th December 2012**.

#### 4. Timetable

	Event	Date
1	Contracting Opportunity advertised	26 <sup>th</sup> October 2012
2	Deadline for return of PQQ	16 <sup>th</sup> November 2012
3	Deadline for References	23 <sup>rd</sup> November 2012
4	Shortlisted/unsuccessful applicants informed	3rd December - 10 <sup>th</sup> December 2012
5	Dispatch of Invitation to Tender (ITT)	11 <sup>th</sup> December 2012
6	Return of Tenders	8 <sup>th</sup> January 2013
7	Interviews with Tenderers	22 <sup>nd</sup> January - 24 <sup>th</sup> January 2013
8	Successful/unsuccessful tenderers informed (10 day standstill period)	1 <sup>st</sup> February - 11 <sup>th</sup> February 2013
9	Award of Contract	12 <sup>th</sup> February 2013
10	Contract Signed and Sealed	28 <sup>th</sup> February 2013
11	Mobilisation / TUPE Consultation (if applicable)	1 <sup>st</sup> March 2013
12	Service Provision Start	1 <sup>st</sup> April 2013

**Please note that whilst we shall endeavour to adhere to this timetable it may be subject to change.**

## 5. Canvassing

Any Interested Organisation who directly or indirectly canvasses any member or official of the Council concerning the evaluation of the PQQs, or who directly or indirectly obtains, or attempts to obtain, information from a member or official concerning any other PQQ will be disqualified. If at any stage during the process we discover canvassing has taken place, we will be entitled to disqualify that organisation from the process.

## 6. Whistleblowing Policy

Your attention is drawn to our Whistleblowing Policy which can be found on the Council Website at:

<http://www.reading.gov.uk/council/corporate-complaints-comments-and-compliments/whistleblowing/how-to-report-council-misconduct/>

## 7. Insurance Requirements

Specific points to be reflected in Form D, Part 3 of the PQQ.

## 8. Scoring

The table below shows the overall weightings for each individual section of the PQQ.

PQQ Weighting				
	Section	Pass/Fail Sections	Score	
	A1.1	CQC Registration for Personal Care	Pass/Fail	
	A2.1	Experience of Providing Autistic Spectrum Condition Services (3 years)	Pass/Fail	
	B	Grounds for Mandatory Rejection	Pass/Fail	
	C	Grounds for Discretionary Rejection	Pass/Fail	
	D1	Economic and Financial Standing	Pass/Fail	
	D2	Rates	Pass/Fail	
	D3	Insurances	Pass/Fail	
	E1 & E2	Minimum number of References returned	Pass/Fail	ALSO SCORE
	E3.2	Team Teach or SCIPr Trained	Pass/Fail	
	E3.3	TUPE	Pass/Fail	
	E9.1	Safeguarding Policy	Pass/Fail	

	Section	Scored Sections	Max score	Maximum Weighted Score
	E1.1- E1.4	Experience and Contract examples (Autistic Spectrum Condition)	20	10 %
	E1.5	Contract penalties/termination	5	5 %
	E2	References	25	15 %
	E3.1	Local Office Structure / Organisational Chart	5	5 %
	E4	Business Continuity	7	5 %
	E5	Quality Assurance	5	5 %
	E6	Health and Safety	9	5 %
	E7	Environmental management	5	5 %
	E8	Equal Opportunities	14	5 %
	E9	Safeguarding	14	10 %
	Sub - Total	Technical and Professional Expertise	109	70 %
	Section	Scored Sections	Max score	Maximum Weighted Score
	E10	Technical Capability		
	E10.1	Promotion of social inclusion	7	4.285 %
	E10.2	Delivery of Person Centred Approach	7	4.285 %
	E10.3	Training program in place for new staff	7	4.285 %
	E10.4	Actively enable Clients in developing their service and service evaluation	7	4.285 %
	E10.5	How your services are needs and goals led	7	4.285 %

	<b>E10.6</b>	Outcome measurement tools	<b>7</b>	<b>4.285 %</b>
	<b>E10.7</b>	Ability to assist clients to move on to other housing/support options	<b>7</b>	<b>4.285 %</b>
	<b>Sub - Total</b>	<b>Technical Capability</b>	<b>49</b>	<b>30 %</b>
		<b>Total Score</b>	<b>158</b>	<b>100.00%</b>

## PRE-QUALIFICATION QUESTIONNAIRE (PQQ)

Contract Title: Autistic Spectrum Condition Service (Contract No. SC117)

**FORM A: ORGANISATION AND CONTACT DETAILS**

**(Not Scored)**

**FORM A**

Full name of organisation tendering (or of organisation acting as lead contact where a consortium bid is being submitted)		
Company House Number:		
<b>ORGANISATION DETAILS</b>		
Registered office address	Charity registration number if applicable	
	VAT registration number	
	Name of immediate parent company	
	Name of ultimate parent company	
Type of organisation	i) a public limited co.	
	ii) a limited company	
	iii) a limited liability partnership	
	iii) other partnership	
	iv) sole trader	
	v) other (please specify)	

FORM A

CONTACT DETAILS	
<b>Contact details for enquiries about this PQQ</b>	
Name	
Address	
Post Code	
Country	
Phone	
Mobile	
Email	

Consortia and Sub-Contracting	a) Your organisation is bidding to provide the services required itself	
	b) Your organisation is bidding in the role of Prime Contractor and intends to use third parties to provide some services	
	c) The Potential Provider is a consortium	

If your answer is (b) or (c) please indicate in a separate annex (by labelling as **Appendix1A** and inserting the relevant company/organisation name) the composition of the supply chain, indicating which member of the supply chain (which may include the Potential Provider solely or together with other providers) will be responsible for the elements of the requirement.

A.1	<b>CQC REGISTRATION FOR PERSONAL CARE (PASS/FAIL):</b>																					
A1.1	Has your local office registered with the Care Quality Commission in order to provide personal care? (Personal Care specific registration required)	PASS / FAIL Yes / No																				
A1.2	Care Quality Commission Certificate Number: <i>Please supply certificate and label <b>Appendix2A</b></i>	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																				
A1.3	Name of Registered Manager for local office that will provide services in Reading:																					



A.2	<b>MINIMUM OF 3 YEARS EXPERIENCE OF PROVIDING AUTISTIC SPECTRUM CONDITION SERVICES</b> Note: Minimum of 3 years experience required (PASS/FAIL):	
A2.1	<p><b>Does your organisation have a minimum of 3 years experience of providing Autistic Spectrum Condition Services?</b></p> <p>Please provide a brief history of your business (including parent and subsidiary businesses), with an overview of the business(es) existing business activities and ensure that you provide sufficient details to evidence that your organisation has 3 or more years of experience supporting Clients with Autistic Spectrum Condition Services.</p> <p>Please label this <b>Appendix3A</b></p>	<p>PASS / FAIL Yes / No (Maximum 500 words - include word count)</p>

<b>QUESTIONS A3.1 and A3.2 FOR COMPLETION BY NON-UK BUSINESSES ONLY</b>		
A3.1	<p>Registration with professional body</p> <p>Is your business registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in <i>Annexes IX A-C of Directive 2004/18/EC</i>) under the conditions laid down by that member state).</p>	<p>NOT SCORED / INFO ONLY COMPLETE IF APPLICABLE</p>
A3.2	<p>Is it a legal requirement in the State where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement? If yes, please provide details of what is required and confirm that you have complied with this.</p>	<p>NOT SCORED / INFO ONLY COMPLETE IF APPLICABLE</p>



**FORM B - GROUNDS FOR MANDATORY REJECTION****(FAIL/PASS)****Important Notice:**

In some circumstances the Authority is required by law to exclude you from participating further in a procurement. If you cannot answer 'no' to every question in this section it is very unlikely that your application will be accepted, and you should contact us for advice before completing this form.

Please state 'Yes' or 'No' to each question.

Has your organisation or any directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences as defined within Section 23 of the Public Contract Regulations 2006 (SI 5/2006):  Answer "Yes" only if they have been convicted. Please supply details and label <b>Appendix4A</b>		Answer  FAIL / PASS
(a)	Conspiracy	Yes / No
(b)	Corruption	Yes / No
(c)	Bribery	Yes / No
(d)	Fraud (including not paying taxes or social security contributions)	Yes / No
	(i) the offence of cheating the Revenue;	Yes / No
	(ii) the offence of conspiracy to defraud;	Yes / No
	(iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;	Yes / No
	(iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985 or section 993 of the Companies Act 2006;	Yes / No
	(v) defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994;	Yes / No
	(vi) an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; or	Yes / No
	(vii) destroying, defacing or concealing of documents or procuring the extension of a valuable security within the meaning of section 20 of the Theft Act 1968;	Yes / No
(e)	money laundering within the meaning of the Money Laundering Regulations 2003 or Money Laundering Regulations 2007; or	Yes / No
(f)	any other offence within the meaning of Article 45(1) of Directive 2004/18/EC as defined by the national law of any relevant State	Yes / No

**FORM C - GROUNDS FOR DISCRETIONARY REJECTION****(FAIL/PASS)****Important Notice.**

The Authority is entitled to exclude you from consideration if any of the following apply but may decide to allow you to proceed further. If you cannot answer 'no' to every question it is possible that your application might not be accepted. In the event that any of the following do apply, please set out (in a separate Annex - please label **Appendix5A**) full details of the relevant incident and any remedial action taken subsequently. The information provided will be taken into account by the Authority in considering whether or not you will be able to proceed any further in respect of this procurement exercise.

Please state 'Yes' or 'No' to each question.

<b>Is any of the following true of your organisation?</b>	
(a) <u>being an individual</u> , is bankrupt or has had a receiving order or administration order or bankruptcy restrictions order made against him or has made any composition or arrangement with or for the benefit of his creditors or has not made any conveyance or assignment for the benefit of his creditors or appears unable to pay or to have no reasonable prospect of being able to pay, a debt within the meaning of section 268 of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate, or is the subject of any similar procedure under the law of any other state;	Yes / No
(b) <u>being a partnership constituted under Scots law</u> , has granted a trust deed or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of its estate; or	Yes / No
(c) <u>being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002</u> has passed a resolution or is the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company's business or any part thereof or is the subject of similar procedures under the law of any other state?	Yes / No
<b>Has your organisation</b>	
(a) been convicted of a criminal offence relating to the conduct of your business or profession;	Yes / No
(b) committed an act of grave misconduct in the course of your business or profession;	Yes / No
(c) failed to fulfil obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which you are established;	Yes / No
(d) failed to fulfil obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which you are established; or	Yes / No
(e) been guilty of serious misrepresentation in providing any information required of you under Regulation 23 of the Public Contracts Regulations 2006?	Yes / No

**D1. FINANCIAL INFORMATION**

If, for some reason, your organisation is not required to produce Audited Accounts or an Annual Report then the Council's Finance Section will need to have visibility of your management accounts.

The Council will seek more information from independent credit reference agencies as part of the evaluation and reserves the right to undertake credit checks at each stage of the procurement process.

**NB** We will not accept applications from more than one company forming part of the same Group

D1.1	Please provide the following information set out below and label as <b>Appendix6A:-</b>	
	1) <i>A copy of your audited accounts for the most recent two years</i>	PASS / FAIL  Based on Credit Check Findings
	&  2) <i>A statement of your turnover, profit &amp; loss account and cash flow for the most recent year of trading (if period not covered above)</i>	

<b>D2</b>	<b>RATES</b>	
	<b>Please Note:</b> Failure to answer YES to all 3 questions, will result in the PQQ being rejected	
D2.1	Are you willing to charge for services based on a consolidated pro rata hourly rate? i.e. 15/30/45/60 minute calls charged as a direct proportion of the hourly rate, and no premiums for evenings, weekends or bank holidays?	PASS / FAIL Yes / No
D2.2	Are you willing to charge for services purchased from RBC service users in receipt of direct payments the same pro rata hourly rate that is agreed with RBC?	PASS / FAIL Yes / No
D2.3	Would you accept using an approved RBC electronic monitoring system to invoice the Council for the actual duration of care visits, at no extra charge to yourselves?  Please note: You are required to agree to use the	PASS / FAIL Yes / No

	RBC approved electronic monitoring system if it is introduced. This will enable RBC to have full access to the data extracted from this system and carers will be required to book in and out when carry out visits for RBC service users.	
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<b>D3</b>	<b>INSURANCE</b>	
<p>Please <u>provide evidence</u> that you already have or can obtain the following levels of insurance (and label as <b>Appendix7A</b>).</p> <p>e.g. Insurance certificate, Brokers letter or quotation</p> <p><b>Please Note:</b> Failure to provide one of the above, will result in the PQQ being rejected</p>		
D3.1	Employers Liability = GBP(£) 5 million minimum	PASS / FAIL Yes / No
D3.2	Public Liability = GBP(£) 10 million minimum	PASS / FAIL Yes / No
D3.3	Medical Malpractice Insurance = GBP(£) 10 million minimum (unless Public Liability extended to cover)	PASS / FAIL Yes / No

**FORM E - TECHNICAL AND PROFESSIONAL ABILITY (Regulation 25)**

(The information requested should be provided in respect of the principal intended provider of the service)

E1		EXPERIENCE AND CONTRACT EXAMPLES (AUTISTIC SPECTRUM CONDITION) (Scored or PASS/FAIL)		
		<p>Please provide details of up to three contracts from other Local Authorities that are relevant to the provision of autistic spectrum condition services. Contracts for the supply of services should have been performed during the past <u>three</u> years.</p> <p>The contract examples provided in this section should be the same as the references provided in E2 and will only be accepted if they name a representative of the Local Authority who is authorised to give references on behalf of that organisation.</p> <p><b>NOTE: Of these three contracts; a minimum of two references must be received back by the stated deadline or your PQQ will be rejected.</b></p>		
		Contract 1	Contract 2	Contract 3
E1.1	Customer Organisation (name):			
E1.2	Customer contact name, phone number and email			
E1.3	Contract start date Contract completion date Contract Value			
E1.4	Brief description of contract (max 250 words each) to evidence your experience and technical capability in the provision of autistic spectrum condition services.			
		Word Count:	Word Count:	Word Count:



E1.5	<b>In the last 3 years, have you had any contracts:</b> (Scored)	
	Note: Answers will also be checked against referee responses that come back (and scored accordingly)	
E1.5.1	That have incurred contract penalties, default notices or payment of liquidated damages	SCORED Yes / No
E1.5.2	Terminated by the client earlier than the originally intended due to poor performance?	SCORED Yes / No
E1.5.3	Where you have withdrawn from the contract either before or after the award of contract?	SCORED Yes / No
E1.5.4	If “Yes” to any of the above, please give details and explain in no more than 200 words what has been rectified in order to avoid this situation arising in the future (please include word count):	

E2	<b>REFERENCES - Appendix Z</b> (Scored or PASS/FAIL)	
	<p><b>Please Note: If we do not receive a minimum of two relevant references by the deadline given (12 noon on Friday 23rd November 2012), your PQQ will be rejected.</b></p> <p>These must be Local Authorities that the proposed local office has provided supported living services to, for Clients with an Autistic Spectrum Condition (within the last three years).</p>	
E2.1	Minimum of two references required = PASS    Less than two references = FAIL	
E2.2	<b>Referee 1</b>	
	Name of customer	
	Name of referee	
	Email address of referee	
	Telephone number of the referee	
	<b>Referee 2</b>	
	Name of customer	
	Name of referee	
	Email address of referee	



	Telephone number of the referee	
	<b>Referee 3</b>	
	Name of customer	
	Name of referee	
	Email address of referee	
	Telephone number of the referee	
<b>Providing two or more relevant references are received; they will be scored inline with PART A &amp; PART B of Appendix Z (Reference Form)</b>		
<b>Please ask referees to return to Jon Richardson: jon.richardson@reading.gov.uk</b>		

<b>E3</b>	<b>STAFFING</b>	
E3.1	<p>How many staff does your organisation (including consortia members or named sub-contractors where appropriate) employ relevant to the carrying out of services and/or delivery of goods similar to those required under this contract?</p> <p>Please supply a copy of the proposed local office structure, including organisational charts and the number of employees (including vacancies). Job titles, hourly rates paid and salaries should also feature in structure/s and chart/s. The structures should evidence the office links into parent and subsidiary companies if applicable. Please label as <b>Appendix8A</b>.</p>	Scored
E3.2	<p>The Council has stipulated that provider only uses staff that have been Team Teach or SCIPr trained on this contract and that training refreshers are conducted regularly.</p> <p>Do you agree to this requirement?</p>	PASS / FAIL Yes / No
	<b>TUPE</b>	
E3.3	<p>The Council believes that TUPE applies in this case but bidders are advised to make their own enquiries (at invitation to tender stage) as to the true position.</p> <p>If TUPE is deemed to apply, do you accept your responsibilities as the transferee in respect of the existing staff that currently provide the service, as set out under the TUPE Regulations 2006?</p>	PASS / FAIL Yes / No

E4	<b>BUSINESS CONTINUITY</b>	
E4.1	Does your organisation have a Business Continuity / Disaster Recovery / Risk Management plan that ensures that services described within the Outline Requirement are delivered in the event of a disruption affecting your business, ensuring continuity of service provision and supply from your critical suppliers?	SCORED Yes / No
E4.2	If “Yes”, please include a copy within your return and label as <b>Appendix9A</b> .  SCORED	
E4.3	If “No”, briefly describe what key actions your organisation will take to ensure continued provision to customers should there be a major event; for example, should there be adverse weather, or a pandemic flu which results in loss of staff or a fire or utility failure resulting in loss of your building.  SCORED - (Maximum 500 words - include word count)	
E4.4	In the event of a disruption, who would be the person responsible for managing your organisations response?	INFO ONLY
E4.5	In the event of a disruption, what would be the trigger point for you to contact the authority, and how would you keep the authority updated?  SCORED - (Maximum 300 words - include word count)	

E5	<b>QUALITY ASSURANCE</b>	
E5.1	Does the relevant section of your organisation hold a recognised (and valid) quality management certificate, for example ISO 9001 (or equivalent) and/or a Quality Assurance scheme in place?	SCORED Yes / No
E5.2	If “Yes”, please enclose a copy of the certificate and/or provide details to sufficiently evidence that you have a robust systematic Quality Assurance scheme in place and label as <b>Appendix 10A</b> .  SCORED - (Maximum 300 words - include word count)	
E5.3	If “No”, please describe any actions you take to ensure quality is consistently monitored and maintained throughout your organisation.  UNSCORED - (Maximum 300 words - include word count)	



E6	<b>HEALTH AND SAFETY</b>	
E6.1	Does the relevant section of your organisation hold a recognised health and safety management systems certificate, for example OHSAS 18001 or equivalent?	SCORED Yes / No
E6.2	If “Yes”, please enclose a copy of the certificate and label as <b>Appendix 11A</b> . SCORED	
E6.3	Do you have a company Health and Safety policy?	SCORED Yes / No
E6.4	If “Yes”, please enclose a copy within your response and label as <b>Appendix 12A</b> . SCORED	
E6.5	If “No”, please briefly describe what arrangements you have made to manage Health and Safety within your organisation.  SCORED - (Maximum 200 words - include word count)	
E6.6	Have you been the subject of any Improvement or Prohibition Notice or prosecution or been a defendant in any case brought under Health and Safety legislation within the last three years?	SCORED Yes / No
E6.7	If “Yes”, please provide details UNSCORED - (Maximum 200 words - include word count)	

E7	<b>ENVIRONMENTAL MANAGEMENT</b>	
E7.1	Does the relevant section of your organisation hold a recognised environmental management systems certificate, for example ISO 14001 or equivalent and/or an appropriate Environmental Policy?	SCORED Yes / No
E7.2	If “Yes”, please enclose a copy of the certificate and/or Environmental Policy and label as <b>Appendix 13A</b> . SCORED	
E7.3	If “No”, please describe any actions your organisation currently undertakes to demonstrate a responsible attitude towards environmental management  UNSCORED - (Maximum 250 words - include word count)	

E8	<b>EQUAL OPPORTUNITIES</b>	
E8.1	Does your organisation have an Equal Opportunities policy?	UNSCORED Yes / No
E8.2	If “Yes”, please enclose a copy of the policy within your response (and label as <b>Appendix14A</b> ) and indicate how this is communicated to employees.  (Policy + Maximum 200 words - include word count)	
E8.3	Briefly describe how your organisation ensures that it remains compliant and up to date with the Equality Act 2010?  (Maximum 200 words - include word count)	
E8.4	Do you provide staff with training on Equal Opportunities?	SCORED Yes / No
E8.5	If “Yes”, please describe how and when this is performed throughout an individual’s employment?	(Maximum 200 words - include word count)
E8.6	Does your company have a procedure for employees to raise issues of discrimination or harassment?	SCORED Yes / No
E8.7	If “Yes”, please provide details  (Maximum 200 words - include word count)	
E8.8	Have any Industrial Tribunal or other Legal cases (pending or otherwise) relating to equality issues been brought against your organisation within the last three years?	SCORED Yes / No
E8.9	If “Yes”, please provide details  UNSCORED - (Maximum 200 words - include word count)	

<b>E9</b>	<b>SAFEGUARDING - SCORED</b>	
E9.1	Does your organisation have a Safeguarding policy?	PASS / FAIL Yes / No
E9.2	<p>If “Yes”, please enclose a copy of the policy within your response (and label as <b>Appendix15A</b>) and indicate how this is communicated to employees.</p> <p>(Policy + Maximum 250 words - include word count)</p>	
E9.3	<p>Please supply the proposed local office’s safeguarding log for the last 3 years. This should include any safeguarding incidents and/or investigations (irrespective of outcome) that have taken place within the last three years.</p> <p>The log entries should include: date of the incident, the nature of incident, what happened during the investigation, outcome of the investigation, changes to your service based on the incident/investigation.</p> <p>Please provide this on a separate document and label <b>Appendix16A</b> - being sure to anonymise all personal details of clients.</p> <p><i>NB Reading Borough Council will ask for additional evidence from other involved professionals if deemed appropriate.</i></p>	

<b>E10</b>	<b>TECHNICAL CAPABILITY - SCORED</b>	
	<p>Please attach a summary, which demonstrates your organisation’s relevant experience and capability to carry out the role of providing an Autistic Spectrum Condition Service.</p> <p>The summary should be specific to this requirement and not general. The summary should be no more than a <b>total of 1200 words</b> in length across all 7 headings below. Any words surplus to stipulated word count will be disregarded and therefore not evaluated as part of the PQQ submission.</p> <p>Please break down your answers clearly underneath each heading, according to the headings given below: (provide word count under each heading)</p>	
<b>E10.1</b>	Promotion of social inclusion	
<b>E10.2</b>	Delivery of Person Centred Approach	
<b>E10.3</b>	Training & Recruitment program in place for new staff	
<b>E10.4</b>	Actively enable Clients in developing their service and service evaluation	
<b>E10.5</b>	How your services are needs and goals led	
<b>E10.6</b>	Outcome measurement tools	
<b>E10.7</b>	Ability to assist clients to move on to other housing/support options	

<b>F</b>	<b>UNDERTAKING</b>	
	I declare that to the best of my knowledge the answers submitted in this PQQ are correct. I understand that the information will be used in the process to assess my organisation’s suitability to be invited to tender for the Authority’s requirement and I am signing on behalf of my organisation. I understand that the Contracting Authority may reject this PQQ if there is a failure to answer all relevant questions fully or if I provide false/misleading information	
	<b>FORM COMPLETED BY</b>	
F1	Name:	
F2	Date:	
F3	Signature:	
F4	Job Title:	

### Marketing Information

To assist us in determining the most effective way to advertise our contracting opportunities in future could you please advise us in which publication you saw this contracting opportunity (please tick box(es) as appropriate) -

Publication	
Official Journal of the European Union (OJEU)	
Government Opportunities - Contrax Weekly	
South East Business Portal	
Reading Borough Council Website	
Contracts Finder	
Other Publication - please specify details in box below	



**Appendix Check List - Fill in and return with PQQ**

Appendix No	Document	Reason Required	Included
Appendix 1A	Further details of Consortia or Sub-contractors	Clarification on the composition of any supply chain between any Consortia or Sub-contractors and yourselves.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 2A	CQC Certificate for personal care	Show that you are legally permitted to provide this service.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 3A	Company History	To provide us with information to support 3 years relevant experience in ASC Services and some background knowledge of your organisation	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 4A	Mandatory Rejection	Mandatory Rejection	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 5A	Discretionary Rejection	Discretionary Rejection	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 6A	Financial position	To undertake a credit check and determine the financial risk to the Council	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 7A	Insurance documentation	To ensure that you are adequately covered to provide this service	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 8A	Local office structure, including organisational charts and employee numbers.	Clear picture of how your organisation functions	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 9A	Business Continuity / Disaster Recovery / Risk Management plan	To ensure you have alternative plans in place to cover the service should there be a problem	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>

Appendix 10A	recognised quality management certificate	To ensure you have a quality management process in place	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 11A	Recognised health and safety management systems certificate	To ensure you comply with mandatory health and safety regulations	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 12A	Health and safety policy	To ensure you comply with mandatory health and safety regulations	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 13A	Environmental management systems certificate	It is good practice to be environmentally friendly	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 14A	Equal Opportunities policy	To ensure service users and staff are treated fairly and equally - without discrimination	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 15A	Safeguarding Policy	To ensure service users are safeguarded from abuse	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
Appendix 16A	Safeguarding Log	Clear picture of how your organisation deals with safeguarding issues within the past 3 years	Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>