

PRE-QUALIFICATION QUESTIONNAIRE (PQQ)

FOR

Comprehensive Drug and Alcohol Recovery and Treatment System

1 October 2014 - 30 September 2017

Date: 9 December 2013



Pre-Qualification Questionnaire

Contract No. SC128 Title: Comprehensive Drug and Alcohol Recovery and Treatment System

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Document Classification: UNCLASSIFIED

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PRE-QUALIFICATION QUESTIONNAIRE (PQQ)

Contract Title: **Comprehensive Drug and Alcohol Recovery and Treatment System (Contract No. SC128)**

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

1.1 Existing arrangements:

There are five existing drug and alcohol services delivering treatment and advocacy in Reading, which is provided by one statutory and four non statutory providers.

574 individuals were recorded on the National Drug Treatment Monitoring System (NDTMS) in structured adult drug treatment in Reading during 2012/13. 149 individuals were recorded on the National Drug Treatment Monitoring System (NDTMS) in structured adult alcohol treatment in Reading during 2012/13.

1.2 Proposed arrangements

An integrated drug and alcohol recovery and treatment service will be delivered for the residents of Reading. The value of the contract will be in the range of £5,733,333 to £10,219,333 for the full three year contract of which we have the option to extend for two years (each additional year will be agreed at the end of year 3 and year 4). There are three existing properties available to deliver the service however, please note that this may be subject to change over the duration of the contract.

1.3 Services to be supplied

The Provider will be required to deliver a recovery focused service for drug and alcohol users including all classifications of drugs, those with poly-substance misuse and those using new psychoactive substances (‘legal highs’) as well as those dependent on prescription and over the counter medicines. The integrated drug and alcohol service will be provided to substance misusers with a range of complexities such as poly-drug use, mental health problems, pregnancy and involvement with criminal activity.

Largely, the Service will be provided to those over the age of eighteen with a smaller group of under eighteens who may require a specialist pharmacological service. They will be a resident within or are registered with a GP within Reading Borough.

The Provider must ensure equality of access for all substance and alcohol users including older people, women, black and minority ethnic communities and lesbian, gay, bisexual and transgender (LGBT) communities, disability and mental health and other marginalised groups. Regular reviews of the service's client group must be carried out to ensure that there is appropriate representation of the diversity of Reading's population.

The Provider must deliver an effective, recovery focused drug and alcohol misuse treatment system to enable service users to access appropriate and timely treatment resulting in successful treatment completion. They will provide evidenced based treatment services to address the harms of drugs and alcohol on substance misusers and the impact this has on the local community. This will include the delivery of an effective aftercare and support system.

1.3.1 Essential elements of this service are:

- Assessment, care planning, co-ordination, pathways and review
- Harm reduction, specialist needle exchange and prevention of drug related deaths, injury and overdose
- Psychosocial interventions
- Pharmacological interventions and delivery of a shared care system
- Interventions to reduce crime, re-offending and anti social behaviour
- Freedom from dependence on drugs and alcohol
- Access to residential detoxification, treatment and aftercare
- Focus on children and families, carers and safeguarding
- Recovery and aftercare
- Effective user and carer involvement
- Access to mutual aid and peer support

- Support to access employment, training, education and volunteering
- Support to access sustainable accommodation
- Interventions aimed at improving mental and physical health and wellbeing

The provider must be able to show the ability to work with Service Users and carers to ensure their views are included in the developing, implementation and monitoring the quality of service.

The provider must evidence the ability to create and deliver an implementation plan with appropriate timescales on how they have managed the acquisition of an existing or new service, taking into consideration the existing service users, processes and staff. The Provider must also evidence the ability to undertake and abide by TUPE regulations.

The Provider must evidence and show their ability to develop their own internal clinical governance arrangements and review their process and practice for ongoing effectiveness and relevance on a regular basis.

The Provider must evidence their ability to work in partnership with other agencies and where they are accountable for partnership outcomes. They will need to evidence the ability to develop and maintain robust joint working agreements and Information Sharing Protocols.

The Provider must show experience of Partnership working and accountability to the governance arrangements already in place in Reading. The provider must have the ability to develop and maintain partnership working using robust joint working agreements and Information Sharing Protocols.

ISO27001/2 is the Information Security Management Standards mandated by Central Government for any of its Public Service ICT Contracts. Reading Borough Council as a Unitary Council is itself committed to Information Security Management and compliance with this standard. Reading Borough Council **will** expect any Third Party providing ICT Services to or on behalf of the Council to provide ICT services **compliant** with the NHS Toolkit or ISO27001/2 standards (i.e. policies, procedures and controls in place in line with this standard although not necessarily certified to the standard unless a specific exemption has been agreed with the Council following a formal risk assessment. If the Provider is **not currently compliant** with ISO27001/2, Reading Borough Council will expect the Provider to **commit to a timeframe** in which they will **achieve compliance (note: Certification is not required)**. See Appendix E - ICT Standards Expected of Third Parties.

The Provider must have the ability to comply with

- The standards contained within *Drug Misuse and Dependence - Guidelines on Clinical Management 2008*
- NICE guidelines
- Public Health England (Formerly National Treatment Agency) guidelines including Models of Care for both drugs and alcohol
- QuADS and DANOS

The proposed contract will be for an initial period of three (3) years commencing in October 2014, with an option to extend for a further period not exceeding 2 years in total.

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

The full service specification for this procurement exercise is attached - see Appendix D

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 “The Provider” means the business or company which is completing this PQQ.

Please ensure you read through Appendix A - PQQ Evaluation Criteria and Scoring Scheme, and **YOU** need to issue three Reference Requests - Appendix B - as early

as possible. Please note a minimum of three references are required to be received by us by the deadline of **21 January 2014** (Pass/Fail).

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 (for example certificates, statements with this questionnaire.) **However, the Authority 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. In this context “significant role” includes delivering all of or a substantial part of a specific service but this definition is not intended to be exhaustive.

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 Comprehensive Drug and Alcohol Recovery and Treatment 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 The Authority are 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: Sally Andersen at SC128@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 Sally Andersen at SC128@reading.gov.uk please clearly mark your request 'Comprehensive Drug & Alcohol Recovery and Treatment System' clarification. 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. PQQ clarification questions and responses will subsequently be uploaded onto the South East Business Portal.

- 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 2.3 below), i.e. all requests for clarification must be received by **12.00 noon on Monday 13 January 2014**. Responses to the questions will be sent out by close of business on **14 January 2014**.
- 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, Adults & Childrens Services
Reading Drug and Alcohol Team
Level 5
Civic Offices
Reading RG1 7AE**

For the attention of Sally Andersen

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 A1.1 and A1.2 of Form A.

Where a maximum word count is stipulated you must include a word count beneath each answer. Any words surplus to the stipulated word count will be disregarded and therefore not evaluated as part of the PQQ submission. Do not include appended information, e.g. leaflets etc, unless it is specifically requested - any additional information that has not been requested will not be scored.

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

2.2 Return Arrangements

Your PQQ should be completed and returned in hard copy - faxed or e-mailed submissions will not be accepted. Please provide three copies of your PQQ submission (individually separated); in addition to three hard copies please also provide an electronic version of the PQQ submission with all requested appendices on an encrypted memory stick (USB) in either Word 97-2003 or pdf. format. The memory stick (USB) must be encrypted and the password for access must be provided in Form A of the PQQ (see page 20: Encrypted Electronic PQQ submission - Password Box).

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

**Reading Borough Council
Education, Adults & Childrens Services
Reading Drug and Alcohol Team
Level 5
Civic Offices
Reading RG1 7AE**

For the attention of Sally Andersen

Please note incomplete PQQ submissions will not be considered.

2.3 Deadline

Your PQQ must be returned by no later than **12.00 noon on Tuesday 21 January 2014**. 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 **three** references. **Please make sure you are aware of the following:**

- a. The standard reference template for this PQQ can be found on the South East Business Portal (please refer to Appendix B) which **you** must issue to the three organisations you have listed in your PQQ response. Each of the three referees you have nominated will need to be asked to respond directly to Reading Borough Council and provide a score relating to your performance. You will be awarded an overall score for each reference we receive.
- b. It is your organisation's responsibility to issue, chase and ensure that Reading Borough Council receives the completed reference templates by the PQQ submission date of **12.00 noon on Tuesday 21 January 2014**. The reference template must be returned to Reading Borough Council directly from the referees that you have nominated and **must not** be received via your organisation. References received from referees not nominated in your PQQ will not be assessed or scored. The reference must be relevant to the Council's requirements to which this PQQ relates. If a reference is provided which is not relevant, the Council will score that 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 your references by the PQQ submission date of **12.00 noon on Tuesday 21 January 2014** you will score zero for this section for this reference. 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 deadline.

Please note that references will be confidential. In feedback we will only give you the overall score for all references combined, 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 **three** references 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 five organisations to tender for the contract should at least five candidates meet the minimum requirements.
- 3.2 We will evaluate the PQQs using the appended document Appendix A Comprehensive Drug and Alcohol Recovery and Treatment Service Pre-Qualification Questionnaire Evaluation Criteria and Scoring Scheme, and Appendix C Pre-Qualification Questionnaire Scoring Sheet.
- 3.3 We are under no obligation to invite any interested organisation to participate in a tender for these services.
- 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 e-mail by 14 February 2014.

4. Timetable

	Event	Date
1	OJEU Notice/Contracting Opportunity submitted for publication	9 December 2013
2	Deadline for return of PQQ	21 January 2014 at 12.00 noon
3	Deadline for return of references	21 January 2014 at 12.00 noon
4	Shortlisted/unsuccessful applicants informed	14 February 2014
5	Dispatch of Invitation to Tender (ITT)	24 February 2014
6	Return of Tenders	7 April 2014
7	Notification of result of evaluation and intention to award	28 April 2014
8	Standstill Period	29 April 2014 to 12 May 2014
9	Expected contract award date	19 May 2014
10	Mobilisation Period	June 2014 to September 2014
11	Contract Start	<i>1st October 2014</i>

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>

7. Insurance Requirements

Specific coverage identified in Form D.

8. Scoring

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

PQQ Weighting				
	Section	Pass/Fail Sections	Score	
	A	Organisation details	Not scored	
	B	Grounds for Mandatory Rejection	Pass/Fail	
	C	Grounds for Discretionary Rejection	Pass/Fail	
	D1	Economic and Financial Standing	Pass/Fail	
	D2.1 - D2.6	Insurance	Pass/Fail	
	E	Minimum Number of References	Pass/Fail	
	E9	CQC Compliance	Pass/Fail	
	Section	Scored Sections	Max score	Maximum Weighted Score
	E1.1- E1.4	Contract experience - References	8	<i>Fail / 8%</i>
	E1.1 - E1.4	Contract Performance	12	<i>Fail / 12%</i>
	Sub Total	Contract experience and performance	20	20%
	E	Technical and Professional Expertise		
	E1.5	Contract Penalties and termination	6	6%

	E2	Staffing	Not scored	
	E3	Business Continuity	4	4%
	E4	Quality Assurance	4	4%
	E5.1-E5.5	Health and Safety Procedures (Part A)	2	2%
	E5.6-E5.7	Health and Safety Infringements (Part B)	2	2%
	E6	Environmental management	2	2%
	E7.1-7.3	Equalities - Policy & compliance	2	2%
	E7.4	Equalities - Training	1	1%
	E7.5-E7.7	Equalities - Procedures against discrimination & Harassment	3	3%
	E7.8-E7.9	Equalities - Convictions	2	2%
	E8	Safeguarding	2	2%/ Fail
	Sub - Total	Technical and Professional Expertise	30	30%

	Section	Scored Sections	Max score	Maximum Weighted Score
	E10	Technical Capability	50	50%
	E10.1	Please explain how your organisation has the ability to deliver successful outcomes as stipulated in the Outline Requirement (Service users who leave treatment and do not return for six months)	10	10%
	E10.2	Please explain your organisations complaints, comments and compliments procedure. How does your organisation engage with service users, families and carers to encourage their input into these procedures and how do you deal and respond to this procedure?	5	5%
	E10.3	Please explain your organisations experience and approach to clinical governance arrangements. How do you adhere to these arrangements and review your practice and process on a regular basis?	10	10%
	E10.4	Please explain your organisations experience and approach to positive multiagency partnership work with statutory and non-statutory agencies and all other stakeholders. You will need to evidence the ability to develop and maintain robust joint working agreements and Information Sharing Protocols	5	5%
	E10.5	Please explain your organisations understanding and ability to manage Information Security Management including evidence of ICT Standard ISO27001/2. Reading Borough Council will expect the Provider to <i>commit to a timeframe</i> in which they will <i>achieve compliance (note: Certification is not required)</i>	5	5%
	E10.6	Please explain your organisations experience of their ability to create and deliver an implementation plan with appropriate timescales on how they have managed the acquisition of	10	10%

		an existing or new service, taking into consideration the existing service users, processes and staff. The Provider must also explain how their organisation has previously undertaken and abided by TUPE regulations.		
	E10.7	Please explain how your organisation continually develops the workforce to ensure staff are able to deliver a service that achieves its targets, aims and objectives at all times.	5	5%
	Sub - Total	Technical Capability	50	50%
		Total Score	100	100.00

PRE-QUALIFICATION QUESTIONNAIRE (PQQ)

Contract Title: **Comprehensive Drug and Alcohol Recovery and Treatment System (Contract No. SC128)**

FORM A: ORGANISATION AND CONTACT DETAILS

(NOT SCORED)

Full name of organisation tendering (or of organisation acting as lead contact where a consortium bid is being submitted)		
<u>Company House Number</u>		
ORGANISATION DETAILS		
Registered office address	Company or charity registration number	
	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)	

Encrypted Electronic PQQ Submission Enter Password here in the box provided:	<u>Password:</u>
CONTACT DETAILS	
Contact details for enquiries about this PQQ	
Name	
Address	
Post Code	
Country	
Phone	
Mobile	
Email	

Consortia 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	
<p>If your answer is (b) or (c) 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 (which may include the Potential Provider solely or together with other providers) will be responsible for the elements of the requirement.</p>		

QUESTIONS A1.1 and A1.2 FOR COMPLETION BY NON-UK BUSINESSES ONLY		
A1.1	<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</i></p>	

	2004/18/EC) under the conditions laid down by that member state).	
A1.2	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.	

FORM B - GROUNDS FOR MANDATORY REJECTION

(PASS/FAIL)

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.		Answer
(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

(PASS/FAIL)

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) 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.

Is any of the following true of your organisation?	
(a) being an individual, 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	Yes / No

procedure under the law of any other state;	
(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
Has your organisation	
(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

FORM D - ECONOMIC AND FINANCIAL STANDING (Regulation 24) (PASS/FAIL)**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 indicate which of the following you would be willing to provide:- (please indicate which one by ticking the relevant box)	
	<i>A copy of your audited accounts for the most recent two years</i>	
	<i>A statement of your turnover, profit & loss account and cash flow for the most recent year of trading</i>	
	<i>A statement of your cash flow forecast for the current year and a bank letter outlining the current cash and credit position</i>	
	<i>Alternative means of demonstrating financial status if trading for less than a year</i>	

D2 INSURANCE

Please provide evidence that you already have or can obtain the following levels of insurance.

e.g. Insurance certificate, Brokers letter or quotation

Please Note: Failure to provide one of the above, will result in the PQQ being rejected.

Elements of the specification will require different levels of insurance - please see Section 3 of the Specification. These have been split into Type A and Type B. Type A is classed as a 'Medical and Structured Psychosocial' element requiring the higher level of insurance and Type B is 'Non Medical' requiring a lower level of Insurance. Minimum insurance level requirements for Type A for the Provider (and any sub-contractors/consortium constituent members) are detailed in paragraphs D2.2 to D2.6 inclusive below. Minimum insurance level requirements for Type B for the Provider (and any sub-contractors/consortium constituent members) will be detailed in the Terms and Conditions accompanying the Invitation to Tender (ITT).

If the Provider (or any sub-contractors/consortium constituent members) are delivering elements of both Type A and Type B, they will be required to have insurance levels at the levels stipulated below.

The Main Provider is required to have Type A level of insurance at the higher level (see below). The lower levels of insurance will be available at ITT stage and any sub-contractors/consortium constituent members will be required to provide evidence that they have or can obtain the minimum levels required.

Reading Borough Council reserves the right to amend the Types of insurance for any element of the Specification at any time and to require a sub-contractor/consortium constituent members to increase their level of insurance to Type A at any time should the Council deem Type B level of insurance is insufficient.

D2.2 - D2.6 are Type A minimum insurance level requirements.

D2.1	<p>The Council will require the successful Service Provider to ensure its sub-contractors/consortium constituent members comply with the minimum levels of insurance depending on which elements of the specification they sub-contract out.</p> <p>Is your organisation prepared to comply with this requirement and ensure its sub-contractors/consortium constituent members provide evidence of minimum levels of insurance at Invitation to Tender (ITT) stage?</p>	Yes/No
D2.2	Employers Liability = GBP(£) 5 million	Yes / No
D2.3	Public Liability = GBP(£) 10 million	Yes / No
D2.4	Product Liability = GBP(£) 10 million	Yes / No
D2.5	Professional Indemnity = GBP(£) 5 million	Yes / No
D2.6	Clinical negligence/ medical malpractice = GBP (£) 10 million per individual claim	Yes/ No

**FORM E - TECHNICAL AND PROFESSIONAL ABILITY (Regulation 25)
(PASS/FAIL/SCORED)**

(Where the Potential Provider is a special purpose vehicle and not intending to be the main provider of the goods or services, the information requested should be provided in respect of the principal intended provider of the goods or services).

E1	EXPERIENCE AND CONTRACT EXAMPLES			
	Please provide details of up to 3 contracts from either or both the public or private sector, that are relevant to the Authority's requirement. Contracts for the supply of goods or services should have been performed during the past <u>three</u> years. Works contracts may be from the past <u>five</u> years. (The customer contact should be prepared to speak to the purchasing organisation to confirm the accuracy of the information provided below if we wish to contact them).			
		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 150 words) including evidence as to your technical capability in this market.			
<p>If you cannot provide at least one example, please briefly explain why (100 words max)</p>				

E1.5	In the last 3 years, have you had any contracts:	
E1.5.1	That have incurred contract penalties, default notices or payment of liquidated damages	Yes / No
E1.5.2	Terminated by the client earlier than the originally intended due to poor performance?	Yes / No
E1.5.3	Where you have withdrawn from the contract either before or after the award of contract?	Yes / No

E1.5.4	If “Yes” to any of the above, please give details and explain in no more than 300 words what has been rectified in order to avoid this situation arising in the future:
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E2	STAFFING	(NOT SCORED - FOR INFORMATION ONLY)
E2.1	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?	

E3	BUSINESS CONTINUITY	(SCORED)
E3.1	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 supply from your critical suppliers?	Yes / No
E3.2	If “Yes”, please include a copy within your return	
E3.3	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. (Maximum 300 words)	
E3.4	Have there been any occasions when your business operation has been disrupted within the last 3 years?	Yes / No

E3.5	If “Yes” what were the circumstances, what was the effect on your customers and how did you overcome it? (Maximum 300 words)	
E3.6	In the event of a disruption, who would be the person responsible for managing your organisations response?	
E3.7	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? (Maximum 150 words)	

E4	QUALITY ASSURANCE (SCORED)	
E4.1	Does the relevant section of your organisation hold a recognised quality management certificate, for example ISO 9001 or equivalent?	Yes / No
E4.2	If “Yes”, please enclose a copy of the certificate	
E4.3	If “No”, please describe any actions you take to ensure quality is consistently monitored and maintained throughout your organisation. (Maximum 300 words)	

E5	HEALTH AND SAFETY (SCORED)	
E5.1	Does the relevant section of your organisation hold a recognised health and safety management systems certificate, for example OHSAS 18001 or equivalent?	Yes / No
E5.2	If “Yes”, please enclose a copy of the certificate.	
E5.3	Do you have a company Health and Safety policy?	Yes / No
E5.4	If “Yes”, please enclose a copy within your response.	
E5.5	If “No”, please briefly describe what arrangements you have made to manage Health and Safety within your organisation. (Maximum 300 words)	

E5.6	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?	Yes / No
E5.7	If “Yes”, please provide details	

E6	ENVIRONMENTAL MANAGEMENT	(SCORED)
E6.1	Does the relevant section of your organisation hold a recognised environmental management systems certificate, for example ISO 14001 or equivalent?	Yes / No
E6.2	If “Yes”, please enclose a copy of the certificate.	
E6.3	If “No”, please describe any actions your organisation currently undertakes to demonstrate a responsible attitude towards environmental management (Maximum 300 words, unless including Environmental policy)	

E7	EQUAL OPPORTUNITIES	(SCORED)
E7.1	Does your organisation have an Equal Opportunities policy?	Yes / No
E7.2	If “Yes”, please enclose a copy of the policy within your response and indicate how this is communicated to employees. (Maximum 200 words)	
E7.3	Briefly describe how your organisation ensures that it remains compliant and up to date with the Equality Act 2010? (Maximum 300 words)	
E7.4	Do you provide staff with training on Equal Opportunities?	Yes / No
E7.5	If “Yes”, please describe how and when this is performed throughout an individual’s employment?	(Maximum 200 words)
E7.6	Does your company have a procedure for employees to raise issues of discrimination or harassment?	Yes / No

E7.7	If “Yes”, please provide details (Maximum 200 words)	
E7.8	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?	Yes / No
E7.9	If “Yes”, please provide details	

E8	SAFEGUARDING POLICIES AND PROCEDURES (SCORED/ PASS/FAIL)	
E8.1	Does your organisation have safeguarding policies and procedures in place that are relevant to the service to be delivered by this contract?	Yes / No
E8.2	If “Yes”, please provide a copy to evidence.	

E9	CARE QUALITY COMMISSION (CQC) COMPLIANCE (PASS/FAIL)	
E9.1	The Council will require the successful provider to register the service with CQC. Is your organisation prepared to comply with this requirement and register this service with CQC as appropriate, no later than 12 weeks prior to contract start date? Evidence of registration must be shown to Reading DAAT upon request. If the Provider fails to gain CQC registration, Reading Borough Council reserve the right to terminate the contract and recover all expenses incurred in re-tendering this contract.	Yes/ No
E9.2	If No, please state reasons why your organisation is unable to register the service with CQC no later than 12 weeks prior to contract start date.	

E10	TECHNICAL CAPABILITY (SCORED)
	<p>Please attach a summary, which demonstrates your organisation's relevant experience and capability to carry out the role of providing a comprehensive drug and alcohol recovery and treatment system as described in the outline requirement.</p> <p>The summary should be specific to this requirement and not general. The summary should be no more than 2550 words in length.</p> <p>You must observe the word limit for each point. They are a maximum, you can provide shorter answers if you wish. For any response which exceeds the stipulated word count, any words over the word limit will be disregarded and therefore not evaluated as part of the PQQ submission.</p> <p>Please break down your answers according to the different points below. As a minimum, the summary should include details of:</p>
E10.1	<p>Please explain how your organisation has the ability to deliver successful outcomes as stipulated in the Outline Requirement (Service users who leave treatment and do not return for six months).</p> <p>(Maximum 450 words) Please include the word count in your response</p>
E10.2	<p>Please explain your organisations complaints, comments and compliments procedure. - How does your organisation engage with service users, families and carers to encourage their input into these procedures and how do you deal and respond to this procedure?</p> <p>(Maximum 300 words) Please include the word count in your response</p>
E10.3	<p>Please explain your organisations experience and approach to clinical governance arrangements. How do you adhere to these arrangements and review your practice and process on a regular basis?</p> <p>(Maximum 450 words) Please include the word count in your response</p>
E10.4	<p>Please explain your organisations experience and approach to positive multiagency partnership work with statutory and non-statutory agencies and all other stakeholders. You will need to evidence the ability to develop and maintain robust joint working agreements and Information Sharing Protocols</p> <p>(Maximum 300 words) Please include the word count in your response</p>

E10.5	<p>Please explain your organisations understanding and ability to manage Information Security Management including evidence of ICT Standard ISO27001/2. Reading Borough Council will expect the Provider to <i>commit to a timeframe</i> in which they will <i>achieve compliance (note: Certification is not required)</i>. Please refer to <i>Appendix E</i> ICT Standards Expected of Third Parties document.</p> <p>(Maximum 300 words) Please include the word count in your response</p>
E10.6	<p>Please explain your organisations experience of their ability to create and deliver an implementation plan with appropriate timescales on how they have managed the acquisition of an existing or new service, taking into consideration the existing service users, processes and staff. The Provider must also explain how their organisation has previously undertaken and abided by TUPE regulations.</p> <p>(Maximum 450 words) Please include the word count in your response</p>
E10.7	<p>Please explain how your organisation continually develops the workforce to ensure staff are able to deliver a service that achieves its targets, aims and objectives at all times.</p> <p>(Maximum 300 words) Please include the word count in your response</p>

F	UNDERTAKING (NOT SCORED)	
	<p>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</p>	
	FORM COMPLETED BY	
F1	Name:	
F2	Date:	
F3	Signature:	
F4	Job Title:	

DOCUMENT RETURN CHECKLIST

Throughout this Pre-qualification Questionnaire, the following documents have been requested.

Please ensure you annex a copy of all requested documentation to your completed Questionnaire (please indicate by placing a tick in the appropriate box).

	✓ / N/A
Financial Information (Section D1.1)	
Relevant Insurance Certificates, Broker's letters or Quotations (Section D2)	
Business Continuity / Disaster Recovery / Risk Management Plan (Section E3)	
Recognised Quality Management Certificate (Section E4)	
Health and Safety Management Systems Certificate (Section E5)	
Health and Safety Policy (Section E5)	
Environmental Management Systems Certificate (Section E6)	
Equal Opportunities Policy (Section E7)	
Safeguarding Policy (Section E8)	
A summary which demonstrates your organisation's relevant experience and capability to carry out the role of providing a Comprehensive Drug and Alcohol Recovery and Treatment Service (Section E10)	
ICT Standards Expected of Third Parties - Appendix 3 - Confirmation of Acceptance Form (Appendix E)	
Encrypted memory stick (USB) enclosed	

Please remember:

It is the Provider's responsibility to ensure their three nominated referees return the completed references (Appendix B) to the Council by **12.00 noon** on **Tuesday 21 January 2014**. The Authority will not be responsible for chasing references that we have not received. If three completed references are not received this will result in a fail.

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	