

Schedule 4

Standard Selection Questionnaire (SSQ) Evaluation Method -

**Supporting People to Improve their Health and Wellbeing and
Improving Self-management**

REF: DN399367

1 Introduction

- 1.1.1 The objective of this SSQ is to evaluate responses with a view to selecting Candidates to proceed to the ITT stage of this procurement
- 1.1.2 The Authority may disqualify any Candidate who:
 - 1.1.2.1 fails to comply with the requirements of Regulation 57 of the Public Contracts Regulations 2015 (as amended) and/or fails to certify that it has fulfilled these requirements;
 - 1.1.2.2 fails to supply requested information by the specified timescale set by the Authority. (refer to Schedule 1 paragraph 3)
 - 1.1.2.3 fails to provide a satisfactory response to any questions in the SSQ or inadequately or incorrectly completes any question;
 - 1.1.2.4 submits its completed SSQ after deadline;
 - 1.1.2.5 Declares a conflict of interest as detailed in paragraph 9.1 which cannot be remedied (or a conflict of interest is determined by other means which cannot be remedied).
- 1.1.3 The Authority will fail a Candidate who:
 - 1.1.3.1 Has failed any question annotated as Pass/Fail in Schedule 4 SSQ 'Evaluation Method'
 - 1.1.3.2 Has instigated measures deemed insufficient by the council in the 'self-cleaning' process as defined under paragraph 1.3 of this Schedule.
- 1.1.4 The Candidates who comply with the above grounds; the requirements of Schedule 2 paragraph 13 (Non-Collusion, Canvassing And Anti-Bribery) and pass on the questions annotated as Pass/Fail in this Schedule 4, shall be evaluated on the qualification criteria listed under in this Schedule 4 which takes into account the economic and financial standing and the technical or professional ability of the Candidate and will be evaluated in accordance with Regulations 58 of the Public Contracts Regulations 2015 (as amended).
- 1.1.5 The Authority may seek independent financial and market advice to validate information declared or to assist in the evaluation.
- 1.1.6 Candidates must upload the completed SSQ document and the documentation requested in Question 4 (Economic and Financial Standing) and any other additional information (e.g. self-cleaning evidence in connection with Part 2 of the SSQ; any information requested in Part 3) as their SSQ submission prior to the closing date indicated in this pack.
- 1.1.7 Some supporting documents are not required at this point (for example certificates, statements with this questionnaire). However, the Authority may ask to see these documents later, 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.

- 1.2 **POTENTIAL SUPPLIER INFORMATION: PART 1, PART 2 AND PART 3 (INCLUDING EXCLUSION GROUNDS PART 1 AND PART 2)**
- 1.2.1 The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion¹. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).
- 1.2.2 A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example; these could be parent companies, affiliates, associates, or essential sub-contractors if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Essential sub-contractors that you rely on to meet the selection criteria, must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).
- 1.2.3 When completed, the SSQ form is to be returned via the e-tendering system along with any other required documentation.
- 1.2.4 **Supplier Selection Questions: Part 3:** The suite of documents will provide instructions on the selection questions you need to respond to and how to submit those responses. Schedule 4 SSQ Evaluation Method explains the scoring methodology for the questions. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors (i.e. essential sub-contractors) you should complete all of the selection questions on behalf of the consortium and/or any essential sub-contractors. You must also complete Part 3 Section 5. If you are not bidding on behalf of a group (consortium) or sub-contractors are not being used, you do not need to fill in this Section 5, please insert the words 'Not Applicable' in the box adjacent to 'Name of Organisation'
- 1.2.5 If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay, or the evidence is inaccurate, we reserve the right to disqualify you, amend the shortlist decision and shortlist to the next compliant Candidate.
- 1.2.6 **Consequences of misrepresentation:** If you seriously misrepresent any factual information in filling in the Selection Questionnaire **in relation to any question**, and so induce an authority to enter into a contract, there may be significant consequences. **You may be excluded from the procurement procedure, and from bidding for other**

¹ For the list of exclusion please see

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf

contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you would be excluded from further procurements for five years.

1.3 **‘SELF-CLEANING’**

1.3.1 Any Candidate that answers ‘Yes’ to questions 2.1 (a), 2.2, 2.3, 3.1 (3.2), 8.2. (a) and (b), 8.4.(a), 8.5.(b) should provide sufficient evidence, in a separate Appendix, if necessary, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. The Candidate has to demonstrate it has taken such remedial action, to the satisfaction of the Authority in each case.

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

1.3.3 In order for the evidence referred to above to be sufficient, the Candidate shall, as a minimum, prove that it has:

1.3.3.1 paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct or breach;

1.3.3.2 clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and

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

1.3.4 The measures taken by the Candidate shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct or breach. Where the measures are considered by the Authority to be insufficient, the Candidate will fail the question and be given a statement of the reasons for that decision. If the Candidate fails the question then the whole submission will fail (refer to paragraph 1.5 below). Should you need to provide additional information in response to any of the questions, please submit a clearly identified annex.

1.4 **TAKING ACCOUNT OF CANDIDATES’ PAST PERFORMANCE**

1.4.1 In accordance with question 3.1(j), the Authority may assess the past performance of a Candidate (through a Certificate of Performance provided by a Customer or other means of evidence). The Authority may take into account any failure to discharge obligations under the previous principal relevant contracts of the Candidate completing the SSQ. The Authority may also assess whether specified minimum standards for reliability for such contracts are met.

1.4.2 In addition, the Authority may re-assess reliability based on past performance at key stages in the procurement process (i.e. Candidate selection, tender evaluation, contract award stage etc.). Candidates may also be asked to update the evidence they

provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

1.5 **PASS/FAIL CRITERIA**

1.5.1 **Where the 'SSQ Evaluation Method' (Schedule 4) states that a question is Pass/Fail, this means that if a Candidate has deemed to fail the question, they have failed the complete SSQ process and will NOT be shortlisted. Where questions request validation or proof of self-cleaning, and the evidence provided is not deemed adequate, then the council may fail that Candidate and they will take no further part in the procurement process (refer also to paragraphs 1.1, 1.2 and 1.3 above).**

2 **Evaluation of SSQ**

2.1.1 This document sets out the scoring and evaluation methodology to be used by the Authority in evaluating the Standard Selection Questionnaire (SSQ) (Schedule 3). The methodology is designed to ensure that each Candidate receives equal and non-discriminatory treatment which is proportionate to the Contract and Service provision.

2.1.2 To pass the SSQ, Candidates must:

- Comply with all requirements of this SSQ, and provide all information and responses required;
- Self-certify their organisations eligibility and suitability to participate in the procurement and fulfil the requirements,
- Sign and fully complete all declarations to Parts 1, 2 & 3 of the SSQ, and submit the response via the portal by the specified deadline.
- Pass all of the sections as indicated in this Schedule 4: SSQ Evaluation Method as required within the SSQ (Schedule 3).
- Not be disqualified (where the Authority has an express right to disqualify a Candidate in accordance with the terms of this SSQ).
- achieve the minimum score of 60% in the financial standing assessment.

2.1.3 Only the successful Candidate(s) will be required to provide to the Authority, upon successful completion of the shortlisting stage but prior to formal tender issue, all necessary evidence in support of self-certification(s) made; and evidence (in relation to additional questions).

2.1.4 Evidence required in accordance with paragraph 2.1.3 should be provided to the Authority within the timeframe specified within the Procurement Timetable (Schedule 1, paragraph 3).

2.1.5 The evaluation criteria for this SSQ are based on a combination of both financial and non-financial factors in accordance with Regulations 57 and 58 of the 2015 Regulations.

2.1.6 The Authority may seek independent financial and other advice and information to assist in the evaluation process.

- 2.1.7 The Authority may seek clarification from Candidates following submission of their SSQ Responses and take any response to such clarifications into account when evaluating the SSQ Responses.

2.2 **SSQ ASSESSMENT**

- 2.2.1 The SSQ is assessed as follows:

1. Pass/Fail criteria as set out in this Schedule 4
2. Scoring Mechanism as set out in this Schedule 4

- 2.2.2 Candidates who fail on **any** Pass/Fail criteria will **not** be assessed under the Scoring Mechanism.

- 2.2.3 The Scoring Mechanism will be used to shortlist Candidates.

- 2.2.4 The maximum number of Candidates is five (5) Candidates at tender stage. This will mean those Candidates ranking from 1 to 5 will be invited to submit their tender. The ranking will be determined by their scores for the economic and financial standing assessment. If the final scored submissions are such that the Candidates final score is not within the shortlisted Candidates, they will not be successful in this stage and will **not** be invited to tender. For the avoidance of doubt, candidates that score FAIL in any of the questions in the standard selection questionnaire (SSQ) will not qualify for the ranking regardless of their scores for the economic and financial standing assessment.

- 2.2.5 The Scoring Mechanism for the SSQ is outlined below.

2.3 **SCORING MECHANISM**

- 2.3.1 Responses to Section 4 (Economic and Financial Standing) will be scored in accordance with the mechanism set out in this Schedule 4 Annex 1. A score for each sub-criterion will be awarded, and then such scores aggregated to produce a score out of 100.

- 2.3.2 Providers who score less than **60%** in this financial standing assessment will not proceed further in the evaluation process.

- 2.3.3 The Authority will evaluate financial information made available to them as indicated by the candidate under section 4.1 of the SSQ (Schedule 3). Please ensure that you provide this information.

- 2.3.4 Evaluation of financial information will be based on two-year averages, with the exception where the candidates started trading recently and can only provide the accounts for one year, in which case the data of the accounts for one year will be used at the Authority's full discretion. The Council will obtain an external report on each candidate to verify the accounts submitted by the candidate and to validate the financial calculations made by the Council.

- 2.3.5 A Candidate/Lead Organisation wishing to rely on the capacities of other entities or members in a group or Consortium for the purpose of their financial standing assessment should provide additional details of those capacities and how they will be made available to the Candidate.

- 2.3.6 The financial standing of the ultimate holding/parent company, where this applies, therefore also forms part of the evaluation process – the Authority will evaluate financial information publicly available for the parent organisation. External reports on such entities will also be obtained.
- 2.3.7 Responses to Section 6 (Technical and Professional Ability), Section 7 (Modern Slavery Act ...) and Section 8 (Additional Questions – including Project Specific Questions) will be scored in accordance with the guidance given within the Sections. Each submission will be marked separately by members of the evaluation panel. A moderation process will then be followed to arrive at a consensus score for each question.
- 2.3.8 Responses to each question must be kept to the maximum word limits where written responses are required. Any information that exceeds the word limits stated will be excluded from evaluation. For the avoidance of doubt, this means that evaluators will read the maximum word limit stipulated for each question answered and disregard anything beyond that limit. Unless requested, attachments should not be included as they will not be read or considered as part of the evaluation. This includes any policy and procedures that are referenced in the responses unless these have been explicitly requested in the relevant question to be presented at the point of submission.

Part 1: Potential supplier Information

If you are bidding on behalf of a group (consortium) or where the lead Candidate will be using subcontractors to meet the selection criteria (i.e. essential subcontractors) such consortium members and subcontractors will be required to submit responses to Parts 1 and 2 of the Minimum Standards.

| Section 1 | Potential supplier information | |
|-----------------|--|-------------------------------------|
| Question number | Question | Guidance |
| 1.1 | Company information and Organisational Details | For information only |
| 1.2 | Consortia and Subcontracting | For information only |
| 1.3 | Contact Details and Declaration | Signed Declaration constitutes Pass |

Part 2: Exclusion Grounds

***Note:** Please refer to Paragraph 1.3 of this Schedule ('Self-Cleaning') and paragraph 1.2 ('Potential Supplier Information: Part 1, Part 2 And Part 3 (Including Exclusion Grounds Part 1 And Part 2s': Part 1 And Part 2)') which explains the self-cleaning process.

Part 2 will be scored on a Pass/Fail basis in accordance with Regulations 57-58 of the Public Contracts Regulations 2015 (as amended). **Please note: if you fail on any one section or sub-section of any of the questions in this section, your whole submission will be deemed to have failed and you will not be considered for the next stage in the process.**

Part 3: Selection Questions

If you are bidding on behalf of a group (consortium) or where the lead Candidate intends to use essential subcontractors, you must complete all of the questions on behalf of the consortium and/or any essential subcontractors providing one composite response and declaration.

| Section 4 | Economic and Financial Standing | |
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| Question number | Question | Weighting |
| 4.1 | Are you able to provide a copy of your audited accounts for the last two years? If no, can you provide one of the following: answer with Y/N in the relevant box. | Refer to SSQ Annex 1 for % breakdown score of analysis of information provided in response to this question. |
| | (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | |

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| | (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | |
| | (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | |
| 4.2 | Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out. | Refer to SSQ Annex 1 for assessment |

Please note: if you fail on any one section or sub-section of any of the questions in the following sections 5 and 6 which are annotated as Pass/Fail, your whole submission will be deemed to have failed and you will not be considered for the next stage in the process.

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| Section 5 | Only to be filled in if you are bidding on behalf of a group (consortium) or if sub-contractors are intended to be used to meet the selection criteria (i.e. essential subcontractors) (if this is not the case fill in 'Not Applicable' against 'Name of Organisation', this will constitute a pass) | |
| Question Number | Question | Response Guidance |
| 5.1 | Are you able to provide parent company accounts if requested to at a later stage? | If yes, proceed to Question 5.2, if no, proceed to Question 5.3 |
| 5.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | Yes = pass; No = proceed to Question 5.3 |
| 5.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | Detail alternative security (e.g. bank guarantee or bond etc.) |

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| Section 6 | Technical and Professional Ability Score | |
| Question Number | Question | Guidance |

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| 6.1 | Relevant experience and contract examples Please provide details of up to two contracts If you cannot provide examples see question 6.3 | At least one relevant experience will be a PASS. |
| | OR | |
| 6.3 | If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract. | PASS will be awarded based on the panel's judgement. |
| | AND | |
| 6.2 | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s) | PASS will be awarded based on the panel's judgement |

| Section 7 | Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 | | |
|------------------------|--|----------------------|--|
| Question Number | Question | Response | Guidance |
| 7.1 | Confirmation of 'commercial organisation' under the Modern Slavery Act | For Information Only | |
| 7.2 | Compliance to annual reporting requirements contained in the act. | Pass/ Fail | Yes constitutes a PASS; No: provide further information in relation to non-compliance with the act which will be assessed by council; if this is deemed to be inadequate then the Candidate will fail |

8. Additional Questions

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

Please note: if you fail on any one section or sub-section of any of the questions in the following Section 8 which are annotated as Pass/Fail, your whole submission will be deemed to have failed and you will not be considered for the next stage in the process.

| Section 8 | Additional Questions | | |
|-----------------|--|--------------------|---|
| Question number | Question | Response/Weighting | Assessment/Scoring guidance |
| 8.1 (a) | Insurance | Pass/Fail | <p>Pass: If the Candidate has all of the insurances in place, pass this stage;</p> <p>Pass: if the Candidate does not have any of the insurances in place but is willing to obtain the relevant insurance if they are successful,</p> <p>Fail: If Candidate does not have any one of the insurances in place and is not willing to obtain the relevant value in any of the insurances</p> |
| 8.2 | Compliance with Equalities Legislation | Pass/Fail | <p>8.2. (a) No = Pass; Yes = Further information required; self-cleaning details required (refer to Paragraph 15 of Schedule 2 Guidance Notes for Completion of SSQ for assessment method and criteria regarding SSQ pass/fail)</p> <p>8.2. (b) No = Pass; Yes = Further information required; self-cleaning details required (refer to Paragraph 15 of Schedule 2 Guidance Notes for Completion of SSQ for assessment method and criteria regarding SSQ pass/fail)</p> |

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| | | | <p>8.2. (d) Yes = Pass; No = proceed to question 8.2. (e) N/A = Pass (if you do not employ sub-contractors please tick 'N/A') (note you may be requested to evidence your direct labour during the validation period)</p> <p>8.2 (e) Yes = Pass No = Fail N/A = Pass (if you do not employ sub-contractors please tick 'N/A') (note you may be requested to evidence your direct labour during the validation period)</p> |
| 8.3 | Environmental Management etc | Pass/Fail | <p>8.4. (a) No = Pass; Yes = Further information required; self-cleaning details required (refer to Paragraph 15 of Schedule 2 Guidance Notes for Completion of SSQ for assessment method and criteria regarding SSQ pass/fail)</p> <p>8.4. (b) Yes = Pass; No = proceed to question 8.4. (c) N/A = Pass (if you do not employ sub-contractors please tick 'N/A') (note you may be requested to evidence your direct labour during the validation period)</p> <p>8.4.(c) Yes = Pass No = Fail N/A = Pass (if you do not employ sub-contractors please tick 'N/A') (note you may be requested to evidence your direct labour during the validation period)</p> |
| 8.4 | Health and Safety | Pass/Fail | <p>8.5. (a) Yes = Pass No = Fail</p> <p>8.5. (b) No = Pass; Yes = Further information required; self-cleaning details required (refer to Paragraph 15 of Schedule 2 Guidance Notes for Completion of SSQ for assessment method); fail if</p> |

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| | | | <p>inadequate (refer to Schedule 1 SSQ question 8.5.(b))</p> <p>8.5. (c) Yes = Pass; No = Fail N/A = Pass (if you do not employ sub-contractors please tick 'N/A') (note you may be requested to evidence your direct labour during the validation period)</p> |
| 8.5 | Project Specific Questions | <p>8.5 (1) – 8.5 (3) will be scored out of 60%</p> <p>8.5 (4) – 8.5 (17) will be through self-clearance – see any note of the question for further information.</p> | Scores given in accordance with panel judgement. |

Annex 1 – Section 4 (Economic and Financial Standing) Scoring Details

| No. | Assessment Used | % | Scoring Mechanism |
|-----|--|----|--|
| a) | <p><u>Suitable Trading Level (STL)</u></p> <p>As part of the process of financial standing assessment of providers, the Authority has calculated a Suitable Turnover Limit (STL) of £341,422</p> <p>This is based on the following consideration:</p> <ul style="list-style-type: none"> (i) The STL should be set at no more than two times annual contract/project value. (ii) The figure of two times contract value may be lowered subject to the results of a risk analysis on the adverse impacts should the successful provider fail to fulfil the contract. If the adverse impacts were assessed to be low, the STL could be lowered. (iii) The purpose of a risks assessment is to establish a STL that reflects the risks and impacts of a potential contract failure and avoid applying the maximum of two times annual contract/project value as the STL without due consideration to the risks of each specific contract. | 40 | <p>If bidder's actual turnover meets or exceeds STL then the maximum 40% score will be allocated.</p> <p>The 40% maximum score will be reduced by 2% for each percentage point that the actual annual turnover falls below the STL.</p> <p>i.e. a provider with 90% of the required STL will score 20% and a provider with 80% or less of the requested STL will score 0%.</p> |
| b) | <p><u>Gearing</u></p> <p>(long-term borrowings + short term loans + overdraft) / shareholders fund</p> | 12 | <p>Percentage scores will be allocated as follows:</p> <p>Ratio of <20% = 12%</p> <p>Ratio of >20% but <30% = 9.6%</p> <p>Ratio of >30% but <40% = 7.2%</p> <p>Ratio of >40% but <50% = 4.8%</p> <p>Ratio of >50% but <60% = 2.4%</p> <p>Ratio of >60% = 0%</p> |

| | | | |
|----|--|----|--|
| c) | <u>Liquidity Ratio</u> <u>(current assets – stock) / current liabilities</u> | 12 | Percentage scores will be allocated as follows: Ratio of >1.5 = 12% Ratio of 1.2 – 1.5 = 9.6% Ratio of 1.0 – 1.2 = 7.2% Ratio of 0.8 – 1.0 = 4.8% Ratio of 0.6 – 0.8 = 2.4% Ratio of <0.6 = 0% |
| d) | <u>Return on Capital Employed (ROCE)</u> <u>profit before tax / (total assets – current liabilities) x 100%</u> | 12 | Percentage scores will be allocated as follows: Ratio of >15% = 12% Ratio of >12.5% but <15% = 9.6% Ratio of >10% but <12.5% = 7.2% Ratio of >7.5% but <10% = 4.8% Ratio of >5% but <7.5% = 2.4% Ratio of <5% = 0% |
| e) | <u>Positive Net Shareholders Fund at date Accounts Signed</u> | 12 | Percentage scores will be allocated as follows: Yes, 2 accounts positive = 12% 1 sets a/c's negative = 6% 2 sets a/c's negative = 0% |
| f) | <u>Net Profit Margin</u> <u>(profit before tax / turnover) x 100%</u> | 12 | Percentage scores will be allocated as follows: Ratio of >7.5% = 12% Ratio of >6.0% but <7.5% = 9.6% Ratio of >5.0% but <6.0% = 7.2% Ratio of >3.5% but <5.0% = 4.8% Ratio of >2.5% but <3.5% = 2.4% Ratio of <2.5% = 0% |