

**Pre-Application Questionnaire**

**Development of carbon footprint calculator tools for residents and businesses**

**Notice date: 01/07/2020**

**• Part A – Introduction and guidance to potential suppliers.**

**• Part B - Selection Questionnaire.**

**• Part C - Exclusion Grounds.**

**• Part D - Frequently Asked Questions.**

**Responses must be submitted by email to:** [**Rhona@cafs.org.uk**](mailto:Rhona@cafs.org.uk) **by 9am on 17/07/2020**

# Part A: Introduction

* 1. This Pre-Application Questionnaire (PAQ) has been issued by Cumbria Action for Sustainability (CAfS) as part of a competitive procurement process.
  2. During the Selection stage, the intention is to assess the responses to the PAQ and select a Short List of a minimum of three (where there are three suitably qualified bidders) to proceed to Stage 2 - the formal Invitation to Tender **(ITT)** against the requirement as advertised.
  3. Further details of the selection process are set out in Paragraph 12 below.
  4. Assuming that more than the minimum number of candidates apply, and are not otherwise excluded, we will select the highest scoring candidates up to four in number, subject to a minimum score of 60%.
  5. Scores from this PAQ will not be carried forward to Stage 2 and the answers provided will not count in Stage 2. Bidders should be careful not to include specific pricing or cover details at this stage.
  6. No information contained in this PAQ, or in any communication made between CAfS and any Bidder in connection with this PAQ, shall be relied upon as constituting a contract, agreement or representation that any contract shall be offered in accordance with this PAQ. CAfS reserves the right, subject to the appropriate procurement regulations, to change without notice the basis of, or the procedures for, the competitive tendering process or to terminate the process at any time. Under no circumstances shall CAfS incur any liability in respect of this PAQ or any supporting documentation.
  7. Direct or indirect canvassing of any employee/Trustee of CAfS or any appointed agent by any potential bidder concerning this requirement, or any attempt to procure information from any employee/Trustee of CAfS or appointed agent concerning this PAQ may result in the disqualification of the Bidder from consideration for this requirement.
  8. This PAQ sets out the information which is requested by CAfS in order to assess the suitability of Bidders. In assessing the answers to the following questions, CAfS will be seeking evidence of the Bidder’s suitability to perform the services in terms of technical knowledge and experience, capability/capacity, organisational and financial standing. Qualification criteria will be a combination of both financial and non-financial factors, to demonstrate that you possess the financial ability to deliver the programme;
  9. We will consider any other relevant issues which may arise, including those you consider appropriate to include in your proposal.
  10. CAfS will not reimburse any costs incurred by Bidders in connection with preparation and submission of their responses to this PAQ.

1. **The Requirement**

2.1 CAfS is an award-winning registered charity. Our vision is a zero carbon Cumbria, bringing about a better way of life in balance with our environment. Our mission is to empower and enable people, communities and businesses to live and work more sustainably by sharing our knowledge, practice, skills, networks and practical experience. We want to see a Cumbria where fuel poverty is eradicated in our communities and homes are warm and dry, where communities have the skills to prevent climate change and protect themselves from it and are in control of their own renewable electricity supply. CAfS has a 20-year track record of delivery. We were the architect and founding partner of Community Energy Cumbria and have raised over £500,000 for community energy projects in Cumbria, including the county’s first ever community owned hydroelectric scheme. We have supported around 50 community buildings with energy audits and sustainability improvement measures. In the last three years, we have helped over 600 householders make their homes more resilient to extreme weather. We have supported around 35 communities to develop and implement plans to reduce carbon emissions and improve quality of life.

CAfS is a trusted partner, supporting public sector bodies across Cumbria to adopt zero carbon targets and action plans to achieve this. We co-chair the Zero Carbon Cumbria Partnership – a unique initiative which brings together 60 organisations, including local authorities, businesses, sustainability groups, schools, the NFU, NHS, police, Cumbria Local Enterprise Partnership (LEP), national parks, Natural England, the Environment Agency, Electricity North West and United Utilities and others, to plan the county’s pathway to zero carbon.

2.2 Over the last 15 months, CAfS has been supporting the community of Ambleside in their ambition to become a zero carbon community. We have had high level carbon footprints produced for the town for residents and a sectoral breakdown of carbon emissions for Ambleside businesses in order to understand a headline level what the carbon emissions are of the whole community and to inform areas that could be prioritised for action to reduce emissions.

This provides information at a strategic level, but we recognise the need for individuals to understand the personal impact they are having on carbon emissions in order to change decisions and behaviours to reduce this. We also undertook an assessment of existing online carbon footprint calculators for residents and businesses and were unable to find any that delivered everything that was needed for Ambleside, or other settlements in Cumbria that are adopting a whole place approach to become zero carbon communities.

2.3 We require 2 online carbon footprinting calculator tools to be developed, one for residents and one for businesses that will be piloted and tested in Ambleside with a view to these being rolled out elsewhere in Cumbria. The following elements will need to be included in the development and operation of both tools:

* Clear methodology, including identification of robust data sets and metrics, using scope 3 for carbon measurement, common/ different elements to each tool, how the needs of different business sectors will be dealt with and how the tools can link to existing carbon footprint calculators in use in Cumbria.
* Working with CAfS and Ambleside to Zero group members in the development and testing of the tools.
* Testing of the tools during their development with both residents and businesses.
* Contributing to training of facilitators to support businesses and resident in using the tools
* The tools will need to be as accessible as possible, be available online, in formats that balance being attractive and informative for users. Essential will be the ease of navigation, data input, presentation of results and saving and sharing of these.
* Data inputs and results will need to be able to be easily saved by each resident and business individually, but also shared so they can be easily collated across Ambleside/a community and updated to track changes across Ambleside/a community as it works towards becoming a zero carbon community.
* The data inputs will need to have explanations of their importance in terms of carbon/CO2e and there will need to be tailored actions identified that residents and businesses can take to address their carbon emissions, dependent upon their results.
* How the tools can inform/contribute to existing Environmental/Carbon Management systems and consideration if the tools can be accredited.
* The tools will need to be future proofed, so that any future updates in data and metrics will be applied to the tools, together with updates on actions that can be taken to ensure the longevity of the tools.

The proposed timescale for developing and testing of the residents and business carbon footprint calculator tools will be September to December 2020, with training of facilitators planned for January 2021 and roll out from February 2021.

The total budget available for delivery of both carbon footprint calculators is £16,000.

1. **Timetable**
   1. Set out below is the proposed procurement timetable. This is intended as a guide and, whilst CAfS does not intend to depart from the timetable, it reserves the right to do so at any time.

|  |  |
| --- | --- |
| **Pre-Application Questionnaire** | |
| * Issued | 01/07/2020 |
| * Deadline for Bidders to confirm interest in submitting | 08/07/2020 |
| * Deadline for submission in response to this PAQ | 9am 17/07/2020 |
| * Notification to tenderers selected for Stage Two ITT | 24/07/2020 |
| **Stage Two (ITT) – Invitation To Tender** | |
| * Publish final Invitation to Tender Documents | 24/07/2020 |
| * Deadline for final clarifications | 31/07/2020 |
| * Final tender proposals return due | 9am 17/08/2020 |
| * Interviews (if needed) | w/c 24/08/2020 |
| * Selection of successful tenderer | 28/08/2020 |
| * Formal appointment of successful tenderer | 04/09/2020 |

**4 Instructions For Completion**

4.1 Bidders intending to submit a response to the PAQ should confirm their intention to submit by email to [Rhona@cafs.org.uk](mailto:Rhona@cafs.org.uk) by **9am 08/07/2020.**

4.2 Bidders are invited to complete the PAQ below and to submit it, together with any requested supporting information, in accordance with the procedures set out in the paragraph 10.5 below entitled “Submission of Completed Selection Questionnaires”.

4.3 Bidders should follow the instructions outlined below when completing this PAQ.

4.4 Bidders should answer all questions as accurately and concisely as possible in the same order as the questions are presented. Where a question is not relevant to the Bidder’s organisation, this should be indicated, with an explanation.

4.5 The information supplied will be checked for completeness and compliance with the instructions before responses are evaluated.

4.6 Failure to provide the required information, make a satisfactory response to any question, or supply documentation referred to in responses, within the specified timescale, may mean that a Bidder will not receive the full scores available. In the event that none of the responses are deemed satisfactory, CAFs reserves the right to terminate the procurement and where appropriate re-advertise the procurement.

4.7 Bidders should try to be explicit and comprehensive in their responses to this PAQ as this is designed to be the single source of information on which responses will be scored and ranked. Bidders are advised neither to make any assumptions about their past or current supplier relationships with CAfS nor to assume that such prior business relationships will be taken into account in the evaluation procedure.

4.8 Any questions about the procurement should be submitted to [Rhona@cafs.org.uk](mailto:Rhona@cafs.org.uk) . Any questions or requests for clarification and the response will be sent to all Bidders who have confirmed an interest in submitting a PAQ response by 08/07/2020 by email.

4.9 All responses received and any communication from Bidders will be treated in confidence but will be subject to the above paragraph.

4.10 No approach of any kind in connection with this PAQ should be made to any person within or associated with CAfS other than as described in Paragraph 4.8.

4.11 This PAQ is being provided on the same basis to all Bidders.

4.12 Bidders are asked to include a single point of contact in their organisation for their response to this PAQ. CAfS will not be responsible for contacting the Bidder through any route other than the nominated contact. The Bidder must therefore undertake to notify any changes relating to the contact promptly.

4.13 CAfS reserves the right to request that a Bidder provide additional information supplementing or clarifying any of the information provided in response to the requests set out in this PAQ. CAfS may seek independent financial and market advice to validate information declared, or to assist in the evaluation.

4.14 CAfS is contracting this work through funds provided by South Lakeland District Council. For the purposes of this work, CAfS is also subject to FOIA and so information related to this contract may therefore be subject to FOIA. Suppliers will need to ensure they will comply with any FOIA requests relating to this work.

**5 Submission of completed PAQs**

5.1 Bidders are requested to complete all parts of this PAQ.

5.2 Copies of Insurance Policies and supporting information should not be included with a submission. Any such Policies will not be evaluated nor considered in any short-listing exercise at PAQ stage. Similarly, advertised material and promotional literature will not be evaluated nor considered.

5.3 Bidders should answer all questions as accurately and concisely as possible. Where a question is not relevant to your organisation, this should be indicated, with an explanation.

5.4 Supporting information should be presented in the same order and should be referenced to the relevant question.

5.5 Bidders shall complete and submit their PAQs electronically to [Rhona@cafs.org.uk](mailto:Rhona@cafs.org.uk) by 9am 17/07/2020**.**

5.6 Any PAQs or other supporting documents received after such time and date will not be considered for acceptance by CAfS.

5.7 Responses will be evaluated in accordance with the procedures set out in this PAQ. In the event that none of the responses are deemed satisfactory, CAfS reserves the right to consider alternative procurement options.

**6 Acceptance of PAQs**

6.1 CAfS reserves the right to accept any PAQ submitted.

6.2 CAfS shall not be bound to accept any PAQ and reserves to itself the right at its absolute discretion to accept or not accept any PAQ submitted.

6.3 CAfS may in its absolute discretion refrain from considering a PAQ if either:

i. it does not comply in any respect with the requirements of the tender; or

ii. it contains any significant omissions.

## **7 Bidder Selection**

7.1 The objective of the PAQ process is firstly to assess the responses to the PAQ to confirm which Bidders meet CAfS minimum standards and secondly to select Bidders to be invited to tender, each by reference to the mandatory and non-mandatory ineligibility criteria and the Bidder’s economic and financial standing and technical and professional ability. CAfS will evaluate responses to this PAQ based on your stated ability to provide the range of services that we consider suitable and relevant for the service provision.

7.2 Selection and selection criteria will be a combination of both financial and non-financial factors.

7.3 PAQs will be assessed to ascertain whether they pass the relevant thresholds as set out below and the minimum overall pass mark of 60%. The weightings and thresholds described below will be applied to the evaluation criteria. In the event that a “fail” mark is awarded to a Bidder for any of these questions, CAfS reserves the right to disqualify that Bidder from the process.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Question Reference** | **Topic** | **Pass / Fail / Weighting** |
| Part 1 | Section 1 | Potential Supplier Information | Information |
| Part 2 | Section 2 | Grounds for Mandatory Exclusion | Pass/Fail |
| Part 2 | Section 3 | Grounds for Discretionary Exclusion | Pass/Fail |

7.4 Bids will then be scored in accordance with the following weightings:

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Question Reference:** | **Topic** | **Pass / Fail / Weighting** |
| Part 3 | Section 3 | Economic & Financial standing | Pass/Fail |
| Part 3 | Section 4 | Wider Group | Information |
| Part 3 | Section 5 | Technical & Professional Ability | 30% |
| Part 3 | Section 6 | Modern Slavery Act 2015 | Pass/Fail |
| Part 3 | Section 7 | Additional Questions | |
|  | 7.1 | Insurances | Pass/Fail |
|  | 7.2 | Business Activities | 50% |
|  | 7.3 | Quality Management | 20% |
|  | 7.4 | Health & Safety | Pass/Fail |
|  | 7.5 | GDPR | Pass/Fail |

7.5 Failure to provide a satisfactory response to any of the questions may result in the Bidder not being awarded full scores and CAfS therefore not proceeding further with the Bidder. Where a Bidder has a valid reason for being unable to provide the information requested in relation to economic, financial and insurance matters, the other information considered appropriate by CAfS will be accepted.

7.6 The information supplied will be checked for completeness and compliance before responses are evaluated. Responses will be reviewed by a team, comprising CAfS staff and Ambleside to Zero group members Each **scored** question will be marked out of 5 on the basis of the table set out below.

|  |  |  |
| --- | --- | --- |
| **Comment** | **Judgement** | **Marks available** |
| The response / evidence exceeds expectations and demonstrates clear and strong evidence of delivery as part of an integrated team and how this has become part of a continuous improvement process | Excellent | 5 |
| The response / evidence provided fully meets the required standard | Good | 4 |
| Meets the majority of the requirements but not all – for instance, where a response deals only with processes and little output evidence is provided – or where evidence provided is acceptable but with some minor reservations. | Satisfactory | 3 |
| Meets some of the requirements but not others | Unsatisfactory | 2 |
| Fails to meet the majority of the requirements but meets some or where the evidence provided is deficient in certain areas where the details of relevant evidence require the assessor to make assumptions. | Poor | 1 |
| Does not meet the requirements at all / evidence is unacceptable or non-existent. | Failed | 0 |

7.7 Each submitted PAQ will be evaluated consistently and objectively according to the selection criteria and weightings defined in the model above.

7.8 Responses to questions, which are for information only, will not be scored. Bidders should note, however, that any PAQ response, which fails to provide the requested information in response to any question, will not receive full scores and may be excluded from selection by CAfS

7.9 The information supplied will be checked for completeness and compliance before responses are evaluated.

7.10 The answers to each question should be succinct and in line with any word counts indicated within or under each section heading. Any part of an answer which exceeds any predetermined word count will be ignored.

7.11 If any Bidder makes a false or misleading statement or fails to provide full information in response to this PAQ their application may at the discretion of CAfS not receive full scores, or in the case of misleading statements may also be disregarded.

7.12 A shortlist of Bidders will be drawn up according to the Rank and Scores achieved against our criteria and those shortlisted will be eligible to participate further in the procurement process.

7.13 As noted in 1.2 above, a Short List of a minimum of three (where there are three suitably qualified bidders) and a maximum of four qualified Bidders will be invited to proceed to the next stage of the procurement.

7.14 We will inform all Bidders of the result, in accordance with the draft timetable outlined in paragraph 3 of this PAQ.

7.15 Evaluation of subsequent stages will be undertaken in accordance with the overall evaluation strategy for the contracts. The high-level evaluation criteria will be set out in the Invitation to Tender.

7.16 The Contract will not necessarily be awarded to the Bidder submitting the lowest total quotation. Steps will be in place in stage 2 of this process to ensure CAfS does not have to automatically accept any abnormally low Tender bids.

**8 Guidance to Potential Suppliers**

8.1 This Selection Questionnaire asks potential suppliers to initially just self-declare their status against the exclusion grounds and selection questions.

8.2 This PAQ is structured in 3 separate parts:

Part 1 of the PAQ covers the basic information about the supplier, such as the contact details, trade memberships, details of parent companies, group bidding and so on.

Part 2 covers a self-declaration regarding whether or not any of the exclusion grounds apply.

Part 3 covers a self-declaration regarding whether or not the company meets the selection criteria in respect of their financial standing and technical capacity

**General Rules for this PAQ**

8.3 Potential suppliers are asked to complete this PAQ and submit a copy alongside the selection evidence (if required at this stage). The PAQ can be found at Part B. The exclusion questions provided in Part 2 of the template should be supplemented with the relevant supplier selection questions listed in Part 3.

8.4 We will check the evidence of the winning bidder before award of the contract.

**9 Guidance on Part 1 and Part 2 (exclusion grounds 1) - key principles**

9.1 It is mandatory for a potential supplier to complete Part 1 and Part 2 of the PAQ, for this procurement.

9.2 Part 1 and Part 2 of this PAQ will provide us with a formal statement that the relevant grounds for exclusion do not apply to the potential supplier completing it. A completed form is required for each organisation the potential supplier will rely on to meet the selection criteria. This means that where the potential supplier is a group of suppliers, including joint ventures and partnerships, each potential supplier in that group must complete Part 1 and Part 2 of the Selection Questionnaire self-declaration.

**10 Guidance on Part 3 of Selection Questionnaire and qualitative selection – key principles**

**Self-declarations**

10.1 We will allow potential suppliers to self-declare that they meet the relevant criteria in the supplier selection stage. Only the winning supplier (and any organisations relied upon to meet the winning supplier's selection criteria) will be required to submit evidence, this being required before the Contract Award.

10.2 If the winning supplier fails to provide the required evidence within set timeframes, or the evidence proves unsatisfactory, the award of the contract will not proceed.

10.3 We can require information from any supplier at any stage if it is necessary to ensure proper conduct of the procurement procedure.

**Group of potential suppliers**

10.4 If the potential supplier is bidding on behalf of a group, for example, a consortium, or intends to use sub-contractors, there are different actions required for completion of Part 3 of the standard PAQ compared to Part 1 and Part 2.

10.5 The consortium lead should complete all of the questions on behalf of the consortium and/or any sub-contractors. The consortium lead should make it clear who the lead member of the group is, and who will be contractually responsible for delivery of the contract.

10.6 All members of the group are required to provide the information required in Part 3 of the PAQ, as part of a single composite response (unless the question specifically directs otherwise).

10.7 If Bidder arrangements change in any way, any updates should be provided to us before the Contract Award stage. This will allow us to request a self-declaration of the exclusion grounds (Part 1 and Part 2 of the PAQ) for any new organisation and carry out a further assessment using the standard selection questions and any specific selection criteria. We reserve the right to deselect a potential supplier or a group prior to any award of contract, based on an assessment of the updated information.

**11 Guidance on supplier selection questions Economic and financial standing**

11.1 We will allow potential suppliers to self-certify that they meet minimum financial requirements when assessing economic and financial standing. Checks against self-certification will only be carried out on the winning supplier.

**12 Technical and professional ability Past Performance**

12.3 We will evaluate the past performance of a potential supplier. Suppliers are required to have sufficient level of experience demonstrated by suitable references.

12.4 We require details of references from either the public or private sector that are relevant to the requirement. Contracts should have been performed during the past three years.

12.5 Potential suppliers are requested to submit details of contracts where the named customer contact is prepared to provide written evidence to confirm the accuracy of the information provided. Customer references should be factual.

12.6 If this is not possible (for example a potential supplier is newly formed or an SPV will be created for the contract) up to three separate examples should be provided from the principal officers or members of the group.

**13 Sub-contractors and supply chains**

13.1 Bids submitted by a potential supplier proposing to use sub-contractors should provide a relevant example where one or more of the essential sub-contractors have delivered similar requirements (separate examples are not required from each sub-contractor).

**14 Modern Slavery Act 2015**

14.1 Since 1 October 2015, commercial organisations that carry on a business or part of business in the UK, supply goods or services and have an annual turnover of £36 million or more ("relevant commercial organisations") have been required under Section 54 of the Act to prepare a slavery and human trafficking statement as defined by section 54 of the Act.

**PROCUREMENT PROCEDURE: Open Competition**

**Potential Supplier Information and Exclusion Grounds: Part 1 and Part 2.**

The PAQ is a self-declaration, made by the potential supplier, that you do not meet any of the grounds for exclusion.

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. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

When completed, this form is to be sent back to: [Rhona@cafs.org.uk](mailto:Rhona@cafs.org.uk) by 9am 17/07/2020

**Supplier PAQ: Part 3**

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

**Consequences of misrepresentation**

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

**Notes for completion**

1. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified Part.
2. For Part 1 and Part 2 every organisation that is being relied on to meet the selection must complete and submit the self-declaration.
3. For answers to Part 3 -If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

**Part 1: Potential supplier Information**

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

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

Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

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

**Section 1: Bidding Model**

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

**Contact details and declaration**

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

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

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

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

I am aware of the consequences of serious misrepresentation.

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

**Part 2: Exclusion Grounds**

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

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| **Section 2** | **Grounds for mandatory exclusion** | |
| **Question number** | **Question** | **Response** |
| 2.1(a) | Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below | |
|  | Participation in a criminal organisation. | Yes ☐ No ☐  If Yes please provide details at 2.1(b) |
|  | Corruption. | Yes ☐ No ☐  If Yes please provide details at 2.1(b) |
|  | Fraud. | Yes ☐ No ☐  If Yes please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | Yes ☐ No ☐  If Yes please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | Yes ☐ No ☐  If Yes please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | Yes ☐ No ☐  If Yes please provide details at 2.1(b) |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.  Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction, Identity of who has been convicted  If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.2(a) | **Regulation 57(3)** Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | Yes ☐ No ☐ |
| ﻿2.2(b) | If you have answered yes to question2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

Please Note: The authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

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| **Section 3** | **Grounds for discretionary exclusion**  Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. | |
| **Question number** | **Question** | **Response** |
| 3.1(a) | Breach of environmental obligations? | Yes ☐ No ☐  If yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations? | Yes ☐ No ☐  If yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations? | Yes ☐ No ☐  If yes please provide details at 3.2 |
| 3.1(d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | Yes ☐ No ☐  If yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes ☐ No ☐  If yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes ☐ No ☐  If yes please provide details at 3.2 |

**Part 3: Selection Questions**

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| **Section 3** | **Economic and Financial Standing** | |
| **Question number** | **Question** | **Response** |
| 3.1 | Are you able to provide a copy of your audited accounts for the last two years, if requested?  If no, can you provide **one** of the following: answer with Y/N in the relevant box. | Yes ☐ No ☐ |
|  | (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | Yes ☐ No ☐ |
|  | (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | Yes ☐ No ☐ |
|  | (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | Yes ☐ No ☐ |
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| **Section 4** | | | **If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:** | |
| Name of organisation | | |  | |
| Relationship to the Supplier completing these questions | | |  | |
| 4.1 | Are you able to provide parent company accounts if requested to at a later stage? | | | Yes ☐ No ☐ |
| 4.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | | | Yes ☐ No ☐ |
| 4.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)? | | | Yes ☐ No ☐ |
| **Section 5** | | **Technical and Professional Ability, scored – 30% Weighting** | | |
| 5.1 | | **Relevant experience and contract examples**  Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.  These contracts must be performed under to contract to outside organisations. They should provide details of work relevant to this commission and delivered to a high standard that includes:   The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.  Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).  Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.  If you cannot provide examples see question 5.3  *Higher marks will be available where you are able to demonstrate recent evidence of successfully delivering relevant services and the quality of any testimonials provided, please use information described in the Requirement section to assist in your selection of relevant work; CAfS may also request that you provide references to support your answer*  **Split of 30%-30%** | | |

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|  | **Contract 1** | **Contract 2** | **Contract 3** |
| **Name of customer organisation** |  |  |  |
| **Point of contact in the organisation** |  |  |  |
| **Position in the organisation** |  |  |  |
| **E-mail address** |  |  |  |
| **Description of contract** |  |  |  |
| **Contract Start date** |  |  |  |
| **Contract completion date** |  |  |  |
| **Estimated contract value** |  |  |  |

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| **Section 6** | Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 | |
| 6.1 | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes ☐ N/A ☐ |
| 6.2 | If you have answered yes to question 6.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes ☐  Please provide the relevant url to view the statement …  No ☐  Please provide an explanation |

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

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| Section 7 | Additional Questions |
| 7.1 | Insurance |
| a | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:  **Yes/No**  Employer’s (Compulsory) Liability Insurance = £5,000,000 (five million pounds sterling) for each and every event with the number of events unlimited.  Public Liability Insurance = £5,000,000 (five million pounds sterling) for each and every event with the number of events unlimited.  Professional Indemnity Insurance = £2,000,000 (two million pounds sterling) for each and every event with the number of events unlimited.  Product Liability Insurance = £5,000,000 (five million pounds sterling) for each and every event with the number of events unlimited.  *It is a condition of contract / framework participation that if successful you must have insurances at the levels stated.*  *It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.* |

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| 7.2 | Business Activities, Scored – 50% Weighting |
| a. | What are the main business activities of your organisation? Please include a brief history of the your organisation, detailing any parent and associated companies and any changes of ownership over the last 5 years including details of significant pending developments, changes in financial structure or ownership, prospective take-over bids, buy-outs and closures, etc which are currently in the public domain.  *This answer will be used by CAfS to understand what services your organisation provides.*  *(Split of the 50% Weighting - 10%)* |
|  |  |
| b. | Please provide a one-page chart illustrating the ownership structure of the bidder, including relations to any parent or other group or holding Organisations.  This answer will be used by CAfS to understand how your organisation is structured.  *(Split of the 50% Weighting – information only)* |
|  |  |
| C. | Is your organisation:  a) bidding to provide the service required itself;  b) bidding in the role of Prime Contractor and acts as a Managing Agent  If you are bidding in the role of Prime Contractor and act as a Managing General Agent or Managing General Underwriter for some or all services  Please give a brief outline on the extent to which it is envisaged they may be used in any contract and whether alternative markets are available through the Bidder for the stated classes of insurance.  *Where a Bidder becomes aware of the intention to subcontract at later stages in the procurement they are required to notify CAfS of this and provide the information requested below at that time.*  *(Split of the 50% Weighting – information only)* |
|  |  |
| d | Please describe and illustrate any issues that you have experienced in delivering similar projects and how you resolved these issues. Please refer to the Requirement of the contract described in paragraph 2.3 in answering this question.  ***(Split of the 50% Weighting - 25%)*** |
|  |  |
| e | Do you have the necessary numbers of experienced and qualified staff to service the requirement? Please describe your assessment of the service staffing requirement and provide details of the key staff proposed to fulfil these roles. Please include a single page chart showing the staffing structure you propose to service the requirement.  *Higher marks will be awarded where you can demonstrate that you have appropriately qualified and experienced personnel who will be dedicated to servicing the requirement, and that you have sufficiently robust arrangement in place for business continuity and succession planning should a team member not be available.*  *(Split of the 50% Weighting - 15%)* |
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| **7.3** | **Quality Management, Scored – 20%** |
| **a.** | Do you operate in accordance with a Quality Management System that is certified by a UKAS-accredited (or national equivalent) third party against ISO 9001 or an equivalent standard? If you are successful you must be in a position to provide evidence prior to contract award and without delay.  ***Higher marks will be awarded where you can demonstrate that you have an appropriate system for making sure that the quality of the product or service you deliver is consistent.***  ***(If you confirm Yes and provide satisfactory detail in response to this question 7.4a, you will be awarded the full 20% available)*** |
|  |  |
| **b.** | Do you have a formal quality management policy, linked to your business plan and customer needs, that is understood and followed by all employees?  ***Higher marks will be awarded where you can demonstrate that you have an appropriate system for making sure that the quality of the product or service you deliver is consistent.***  ***If you answered "yes" to question 7.4.a. you do not need to answer this question.***  *If you answer "no" to this question you may be excluded from tendering. If you are successful you must be in a position to provide evidence prior to contract award and without delay. Please ZIP documents together if necessary.*  ***(If you confirm Yes to this question 7.4b and provide satisfactory detail, you will be awarded up to 10% of the available marks for Question 7.4)*** |
|  |  |
| **c.** | Do you regularly review performance through internal audits and meetings, and keep a record of the results?  ***Higher marks will be awarded where you can demonstrate that you have an appropriate system for making sure that the quality of the product or service you deliver is consistent.***  ***If you answered "yes" to question 7.4.a. you do not need to answer this question.***  *If you answer "no" to this question you may be excluded from tendering. If you are successful you must be in a position to provide evidence prior to contract award and without delay. Please ZIP documents together if necessary.*  ***(If you confirm Yes to this question 7.4c and provide satisfactory detail, you will be awarded up to 10% of the available marks for Question 7.4)*** |
|  |  |
| **d.** | Has your organisation had a contract cancelled, or not renewed, for breach of contract or failure to meet requirements within the last three years?  If you answered “yes”, please provide details including name of customer, **reasons for cancellation (including where a contract has been cancelled as a result of a merger or similar change in business entity)** and any action taken to avoid this happening again.  *CAfS will use this information to determine whether you have a record of successful delivery of contracts. If you answer "yes" to this question and fail to provide convincing evidence that you have taken appropriate action to ensure the problems will not be repeated you will receive a lower score.* |
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| **7.4** | **Health & Safety** |
| **a.** | Please confirm that your company has a Health and Safety Policy which has been reviewed within the last 2 years, and which includes the following:   * a Policy Statement signed & dated. * The Organisation and Responsibilities - how Health and Safety requirements are implemented.   The Arrangements – standards and procedures adopted in practice.  *All companies with more than five employees must have a Health and Safety Policy. CAfS requests you to confirm that you have reviewed your Health and Safety Policy within the past two years. Failure to provide the adequate information may result in you not being selected to tender. Please ZIP documents together if necessary.* |
|  |  |
| **b.** | Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?  *CAfS may not select you to tender if your company has been prosecuted or served notice under health and safety legislation unless there is clear evidence that decisive and comprehensive action has been taken to remedy the situation. CAfS may check the HSE database to confirm the accuracy of the information provided. Failure to provide accurate information may result in you not being selected to tender.* |
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| **7.5** | **Data Protection/GDPR**  Please note where documents are requested these will only be required at Stage 2 ITT stage if you are the preferred Bidder prior to appointment. | |
| a | Is your business registered with the Information Commissioner’s Office (ICO)? | Yes ☐ No ☐  If yes, please give registration number. If no, give explanation. |
| b | Does your business adhere to any relevant information security standards? | Yes ☐ No ☐  If yes, please provide details |
| c | Does your business have a Data Protection Policy? If yes, please supply if requested at ITT stage. | Yes ☐ No ☐  If yes, please supply if requested at ITT stage |
| d | Does your business have an Information Security Policy? If yes, please supply if requested at ITT stage. Otherwise provide a document outlining how you keep information secure. | Yes ☐ No ☐  If yes, please supply if requested at ITT stage. If no, please provide if requested at ITT stage a document outlining how you keep information secure. |
| e | Does your business have a privacy notice for customers? | Yes ☐ No ☐  If yes, please supply if requested at ITT stage. |
| f | Have you and/or your employees received training in data protection awareness in the past 2 years? | Yes ☐ No ☐  If yes, please provide names of those who have been trained and provide evidence of the training at ITT stage if requested. |
| g | Have you and/or employees received training in information security in the past 2 years? | Yes ☐ No ☐  If yes, please provide names of those who have been trained and evidence of the training at ITT stage if requested. |
| h | Has your business conducted an information audit to map data flows within and without the business? | Yes ☐ No ☐ |
| i | Do you hold any personal data on cloud storage based outside the European Union (EU) or otherwise transfer personal data outside the EU? If yes, please provide evidence of how you do this lawfully. (evidence will only be requested at ITT stage if needed). | Yes ☐ No ☐  If yes, please provide evidence of how you do this lawfully at ITT stage if requested. |
| j | If awarded the contract, do you agree to only process data on the documented instructions of CAfS? | Yes ☐ No ☐ |

# Part D Frequently Asked Questions

**What about sub-contractors?**

If a potential supplier proposes to sub-contract part of a contract, and in doing so they rely on the capacity of that sub-contractor to fulfill the selection criteria then a separate completed PQQ Part 1 and Part 2 is required from that sub-contractor. **For Insurance Brokers, you should provide details of the Insurers that you expect to participate in the proposed programme of Insurance.**