

Community Task Force - Phase Two (CTF2)

Pre-Qualification Questionnaire

Instructions for Bidders

December 2009

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Pre-Qualification Questionnaire Instructions for Bidders for CTF Phase 2.

SECTION 1 - BACKGROUND INFORMATION

1. Prime Supplier – Roles and Responsibilities

- 1.1 DWP is looking for Prime Suppliers who can provide services across entire contract package areas either directly or indirectly.
- 1.2 There are specific questions in the PQQ which are designed to establish your credentials as a potential Prime Supplier.
- 1.3 DWP will enter into contracts with a single lead entity who will deliver Community Task Force in one of the following ways:
 - i. Direct delivery of a proportion of the provision and subcontracting of the remaining provision to other organisations; or
 - ii. Sub-contracting of the entire provision to other organisations; or
 - iii. Direct delivery by one organisation.
- 1.4 DWP has no preference for any of these options and all bids will be considered on their merits.

2. Consortia and Special Purpose Vehicles (SPVs)

- 2.1 DWP will only contract with a single legal entity. Where a consortium intends to bid, they have 2 options:
 - Nominate a lead organisation who will act as the Prime Supplier, with the other organisations as sub-contractors; or
 - Set up a new legal entity such as a Special Purpose Vehicle (SPV) to bid for the contracts.
- 2.2 Where a consortium nominates a lead body to act as a Prime Supplier, the response should be completed by the Prime Supplier only.
- 2.3 Only 1 response is required on behalf of a proposed Special Purpose Vehicle, but should incorporate information on, and from, other members where requested in the PQQ. Responses must enable DWP to assess the overall service proposed.
- 2.4 Where organisations intend to form a legal entity for the purpose of bidding (a SPV) but have been unable to complete the process of formation before the deadline for submission of PQQs, DWP will consider such a PQQ on its merits. In the event that such an organisation is short listed and invited to compete in the second stage, they will need to have established the SPV before submitting a tender and the legal entity must be formed prior to any successful suppliers being

awarded a contract. Tenders will not be dismissed on the basis that the legal entity has not been formed, as long as it is formed prior to contract award.

3. Briefing Events

- 3.1 The Department will hold supplier briefing events to explain Community Task Force requirements more fully and to answer questions from potential bidders about this and the bidding process itself on 14th December 2009 in Glasgow and 15th December 2009 in London.
- 3.2 For the benefit of those organisations that are unable to attend an event, DWP will be publishing the presentation slides together with full details of any questions raised and the answers that were provided on the Supplying DWP website.

4. High Level Procurement Timetable

- 4.1 CTF is being procured in two phases. Phase 1 is due to go live on 29 January 2010. The high level procurement timetable below shows the timetable for phase 2.

	CTF 2
Provider Events	14 and 15 December in Glasgow and London
Providers complete PQQs	11 December 2009 to 14 January 2010
Return of PQQ	14 January 2010
ItT issued	23 February 2010
ItT Provider Completion	23 February 2010 – 25 March 2010
Return of Tenders	25 March 2010
Letter of Intent	8 June 2010
Contract award	22 July 2010
Go live	26 July 2010

5. Questions and Answers

- 5.1 This PQQ is being provided on the same basis to all Potential Suppliers.
- 5.2 DWP will not enter into detailed discussion of requirements with individual suppliers at this stage.
- 5.3 DWP appreciates that after considering the PQQ and instructions you may have questions. Most of these will be answered at our events. DWP will also open a formal Q&A process following these events to deal with any ongoing queries, after which suppliers are able to use the venue for networking purposes. In the meantime if you have any urgent enquiries relating to the events or to this stage of the competition then please e-mail them to: Mayfieldcourt.ctf@dwp.gsi.gov.uk.
- 5.4 If DWP considers any question or request for clarification to be of material significance, both the question and the response will be made anonymous and

published in the form of a Question and Answer brief on the Supplying DWP website for the information of all interested organisations.

- 5.5 If a question is deemed by a bidder to be commercially confidential, then the bidder should indicate that they believe this to be the case. DWP will consider this and if in agreement, will exercise due discretion in handling the question and limiting the circulation of the answer(s) to the bidder who has raised the question.
- 5.6 Questions will be accepted up to the deadline of close on Wednesday 6 January 2010 and a response will be provided to all of these by close on Friday, 8 January 2010.

6. Freedom of Information

- 6.1 DWP is committed to open government and to meeting its responsibilities under the Freedom of Information Act 2000. All information supplied by bidders as part of this competition will be treated as commercial in confidence until the bid assessment process has been completed and a contract awarded. Subsequently, DWP may be required to disclose information submitted by Potential Suppliers in response to a request received under the act. DWP may also be required to disclose details of unsuccessful PQQ responses.
- 6.2 DWP may decide to include certain information in the publication scheme which it maintains under the Act. If a bidder considers that any of the information included in their PQQ response is commercially sensitive, then they must identify it and explain (in broad terms) what harm may result from its disclosure if a request is received, and the period of time that is applicable to that sensitivity.
- 6.3 Where information is identified as commercially sensitive, DWP will endeavour to maintain confidentiality. Potential Suppliers should note however that even where information is identified as commercially sensitive, DWP may still be required to disclose it under the Act. In this case, DWP would contact the organisation to discuss any such request that is made prior to public disclosure.
- 6.4 DWP acknowledges that some elements of the bidder's response to the PQQ and Invitation to Tender (ITT) documents may be covered by the Data Protection Act and therefore these would not be disclosed under the requirements of Freedom of Information.

7. Costs and Expenses

- 7.1 You will not be entitled to claim from DWP any costs or expenses which you may incur in preparing and or submitting your proposals at any stage of this procurement exercise. This applies whether or not your or any other organisation is successful. It also applies to any additional cost you may incur as part of this competition if DWP modifies or amends its requirements.

8. Clarification Process

- 8.1 DWP expressly reserves the right to require a potential supplier to provide additional information to supplement or clarify any of the information provided in response to the requests set out in this PQQ. In those instances DWP will send any questions by e-mail to the named contact person, who should respond by the deadline that will be given.
- 8.2 DWP may seek independent financial and market advice to validate information declared, or to assist in the evaluation.

9. Consistency of Information

- 9.1 Please note that it is the bidder's responsibility to ensure that the information provided remains consistent throughout the competition. Under no circumstances will bidders be permitted to make any amendments to either the PQQ or the ITT documents after the closing date for each stage of the competition.

10. Inducements and Collusion

- 10.1 Offering an inducement of any kind in relation to this competition will disqualify your organisation from being considered and may constitute a criminal offence. Also, bidders must not try to obtain any information about anyone else's proposals before the completion of this competition, or make any arrangements with anyone else about how or whether they should participate. Subject to any discussions which you may need to have with other organisations with whom you intend to submit a joint bid on a consortium basis, any breach of requirements in this paragraph will result in exclusion from the competition.
- 10.2 Direct or indirect canvassing of any Ministers, public sector employee or agent by any potential bidder concerning this requirement, or any attempt to procure information from any Ministers, public sector employee or agent concerning this PQQ may result in the disqualification of the Potential Supplier from consideration for this requirement.

11. Complaints

- 11.1 DWP has published a commercial complaints process for use during competitive procurement. It comprises the documents listed below which can be viewed at: <http://www.dwp.gov.uk/supplying-dwp/purchasing-in-dwp/dwp-commercial-complaints/>
- The DWP Commercial Complaints process
 - Information to accompany a commercial complaint
 - DWP Commercial Code of Practice – Competitive Tendering

SECTION 2 – INSTRUCTIONS TO BIDDERS

12. General Instructions

- 12.1 Please read these instructions fully and note all the information in this section before you complete the questionnaire.
- 12.2 The questionnaire must be completed in English and in black typeface, in Arial font size 12. Parts A–C & E-F of your completed PQQ response should be provided in PDF format. Please see paragraph 14 for further details.
- 12.3 Potential Suppliers 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 Potential Supplier's organisation, this should be indicated, with an explanation.
- 12.4 Where stipulated in the questionnaire you must adhere to the word limit set for individual responses. Any words over the designated maximum will be ignored.
- 12.5 DWP is committed to supporting Sustainable Procurement and would encourage bidders to submit the PQQ response on recycled paper, using black ink and double sided printing, where possible. This is not a requirement and bidders will not be penalised if they are unable to meet this request.
- 12.6 The information supplied will be checked for completeness and compliance with the instructions before responses are evaluated.
- 12.7 You will be evaluated against the answers you provide to each question. If you fail to answer any of the questions or fail to comply with these instructions, you may be eliminated from this procurement exercise.
- 12.8 Only information provided as a direct response to the questionnaire will be evaluated. Information that forms part of general company literature or promotional brochures will not form part of the evaluation process and should not be submitted. Additional information should only be included where requested in the PQQ. It must be concise and clearly cross-referenced to the appropriate questions in the questionnaire.
- 12.9 Suppliers who currently undertake, or have previously undertaken, work for DWP will be evaluated purely on their response to the PQQ; prior knowledge or experience of suppliers will not form part of the evaluation.

13. Instructions for Completion of the Pre-Qualification Questionnaire

Note: In each of the sections below where it says Q followed by a number, this refers to the question on the PQQ Form.

- 13.1 The following instructions should be read in conjunction with the actual PQQ document. Those questions not listed below are deemed to be self explanatory.

13.2 Part A – Bidding Status

- Q2. You are only required to complete this question if bidding as a Special Purpose Vehicle.

13.3 Part B – Organisation Details

- Q3. Please complete both sections. In the case of SPVs, only 1 main and 1 reserve contact is required regardless of the number of members.
- Q4. Please provide the name in the first part of this question and then tick the box that applies to your organisation.

Please note, if the potential supplier being proposed is a SPV you are required to provide the information requested for questions 5 – 12 with respect to each member. In this case, please copy and paste the questions for each member's response and clearly identify which organisation they relate to. You will need to number the responses to these questions as follows:

Company 1: 5.1, 6.1, 7.1 etc.

Company 2: 5.2, 6.2, 7.2 etc.

- Q9. Please tick this box to confirm you have included a one-page chart illustrating your ownership structure as Part G to your response.
- Q11. For third sector organisations, please provide details for both Trustees and Executive Directors.
- Q13. Please note that prior accreditation is not a condition of responding to this PQQ or for subsequent bidding for Community Task Force contracts. However, unless a bidder already holds a current accreditation from Momenta, they must be willing to go through the accreditation process at a later stage of this competition. DWP will only award contracts to suppliers that have been formally accredited.

Accreditation is carried out by Momenta on behalf of DWP and further details can be found at the following link:

<http://www.dwp.gov.uk/supplying-dwp/what-we-buy/welfare-to-work-services/provider-accreditation/>

13.4 Part C – Capability

If a SPV is being proposed, all of the questions in this section should be completed to reflect composite details of all members. The composite response must not exceed any given word count.

- Q19. Please note that DWP considers effective anti-fraud and control measures to be a key element of good administration. To protect public funding, both bidders and sub-contractors are expected to have in place systems and processes that seek to prevent fraud and ensure that it will be detected

promptly if it does occur. Organisations will be expected to provide evidence of this at a later stage.

- Q20. DWP supports the main goal set out in the UK Strategy for Sustainable Development (Securing the Future, 2005) which is to 'enable all people to satisfy their basic needs and enjoy a better quality of life without compromising the quality of life of future generations'. DWP bidders are required to ensure that they and their sub-contractors use all reasonable endeavours to comply with the principles set out in the UK Strategy and the Sustainable Operations on the Government Estate (SOG E) targets. These can be viewed at:

<http://www.dwp.gov.uk/supplying-dwp/doing-business-with-dwp/sustainable-procurement/>

- Q24. Please note that following publication of the Data Handling Procedures in the Government Report of June 2008, the Cabinet Office has introduced mandatory requirements relating to data handling, security and information assurance in government contracts. Information must be protected, together with systems, equipment and processes which support its use. This information may include data, text, drawings, diagrams, images or sounds in electronic, magnetic, optical or tangible media, together with any Personal Data for which DWP is the Data Controller. Our Contractors must provide an appropriate level of security and bidders invited to submit tenders will be required to demonstrate how they would meet this requirement in detail.

It is planned that from October 2009, DWP will be using an electronic provider referral and payment (PRaP) system. This will replace the existing paper-based process for referring Jobcentre Plus customers and their Jobcentre Plus action plans. It will also enable suppliers to claim their payments electronically through a self billing facility. Suppliers will be required to work with DWP to ensure the integration of their processes and systems with DWP provider referral and payment systems, in line with the security standards in operation at the time.

In addition you should also be aware that The HMG Baseline Personnel Security Standard was introduced by the Cabinet Office in July 2006 to help protect Government assets. It requires that a number of checks are made on persons who are to be given access to Government assets (premises, systems, information or data). It must be applied to all DWP commercial arrangements, where bidders' (and any of their sub-contractors') staff require access to Departmental Assets in the course of their duties. Full details of the contractual obligations required to comply with the above procedures can be found in the Guidance document "HMG Baseline Personnel Security Standard - A Guide for DWP Contractors". A PDF version can be viewed at:

<http://www.dwp.gov.uk/supplying-dwp/doing-business-with-dwp/terms-and-conditions/>

- Q26. Please read Annex 1 to this document before signing this declaration.

Q27. Please provide detailed responses to all parts of these questions. The information provided here will be used to assess your capability to deliver Community Task Force. The customer name and address, contact details and contract start/end dates, in Q27, do not form part of the 500 word limit.

13.5 Part D – Supplier Financial Capacity and Capability Risk Assessment

We recognise that some of the information requested here is also requested in Part A; however you are required to complete all sections in full as they will initially be assessed separately.

If the single legal entity proposed is a Special Purpose Vehicle, Part D should be completed for each member of the Special Purpose Vehicle. If the legal entity is completing the PQQ in their own right as a Prime Supplier, a statement to that effect should be made.

Bidders need to be aware of the cash flow and funding implications of the proposed contractual funding model. At this stage, DWP is seeking information to demonstrate that this requirement is understood and for bidders to indicate in principle what funding vehicle(s) they would propose to utilise to meet the requirement. Bidders should be aware that their financial capability will be further assessed at the ITT stage and evidence of the arrangements for funding working capital will be required in order to provide assurance to DWP of the bidder's financial capacity to meet contractual requirements.

Q29. The information provided in response to this question may or may not be the same as the contact details provided in Part B Q3.

Q30 &31 Please ensure you complete all parts of this question that are relevant to your organisation. If required, please ensure that you include the relevant Incorporation or Registration certificate or other documentation as appropriate.

Q 33. Please complete the matrix in this question to confirm what information has been provided by attachment.

Q 34. Please answer all parts of this question including the attached spreadsheet.

Q 35. Please ensure that you sign the declaration.

13.6 Part E – Declaration

Please ensure that you complete this section **by hand**. Failure to do so may result in your bid not being considered. You are required to print off a copy of the Declaration, complete and post it as indicated in paragraph 14.2 below, along with other associated documentation by the date specified. Please also include an e-copy of the signed declaration on your CD-ROM.

13.7 Part F – Contract Package Areas

Bidders should indicate the contract packages that they intend to submit a bid for if they are invited to the second stage, ranking them in order of preference, with '1' being the highest preference. Please do not use the same number twice. This information is not legally binding and will not be used in the assessment process at this stage. You need only complete the one PQQ, ensuring that you tick the Contract Package Areas your organisation intends to bid for.

Bidders are requested to respond in good faith, and as accurately as possible in order to present DWP with a clear view of the contracting landscape.

14. Submission of Completed Pre-Qualification Questionnaires

14.1 Envelopes/packages must be plain and bear no reference to the name of the bidding organisation. Franking machines which automatically print the company name must not be used. PQQ responses submitted in envelopes/packages that allow the identification of the bidder may not be considered. PQQ responses sent by registered mail will be accepted, but the envelope/package **must not** contain a printed or franked company logo.

14.2 The envelope/package containing your PQQ response should include the following:

Parts A-C, E-F

- the original completed and signed PQQ response to Parts A-C and E-F in hard copy;
- two (2) electronic versions in PDF format on two CD-ROMs (clearly marked with name of bidding organisation, CTF2 – PQQ Parts A-C & E-F). PDF documents should not be locked. The PDF must allow text within it to be copied if required and any other documents must also be provided electronically on the CD ROM, for example organisation chart as per Q9 of the PQQ Form and Parts E and F.

Part D

- the original completed and signed Part D response (including excel spreadsheet); and

- one electronic version of Part D (including excel spreadsheet) on CD-ROM (clearly marked with the name of the bidding organisation, CTF2 – Financial information). Any financial statements/ information requested in Part D should also be included on this CD-ROM.
- 14.3 The financial information in Part D of the PQQ will be passed to a financial team to open and examine separately as part of the financial capability assessment. Both the hard copy and the CD-ROM must be provided within a separate sealed envelope/package clearly marked with the bidder's name and "**RESTRICTED-FINANCIAL**". This should then be submitted together with the remainder of your PQQ response.
- 14.4 Completed PQQ responses should be sent in a sealed envelope/package clearly marked **CONFIDENTIAL** and addressed to:
- Mr Simon Nicholls**
CTF2 PQQ
Department for Work and Pensions
Commercial Directorate Sourcing Team
6th Floor
Adelphi
1-11 John Adam Street
London
WC2N 6HT
- 14.5 Completed PQQ responses should be received at the above address no later than the closing deadline of **12 noon on Thursday 14th January 2010**.
- 14.6 It is the responsibility of bidders to ensure that their completed PQQ response is delivered no later than the appointed time. DWP does not undertake to consider bids received after the closing deadline unless clear evidence of posting is available (i.e. a clear post mark and/or a certificate of posting). Those PQQ responses received before the due date and time will be retained unopened until then.
- 14.7 Should you decide that you no longer wish to proceed, we would request that you inform us (in writing or by email) that you are withdrawing from the exercise. We would be grateful if you could include the reason(s) for that decision.

SECTION 3 – EVALUATION AND SELECTION

15. Evaluation Process

- 15.1 PQQ responses will be retained unopened until the deadline for receipt has passed. All responses will then be opened and formally logged in accordance with DWP procurement procedures. The responses will also be checked to ensure that all information requested has been received in the required format.

15.2 Completed PQQs will then undergo an initial appraisal to check compliance with all compulsory requirements i.e. That they have provided an acceptable response to those questions annotated:

“Non-compliance with this requirement means automatic elimination from this procurement exercise.”

15.3 PQQs which pass the initial appraisal stage will then undergo a financial and qualitative evaluation.

15.4 The Department needs to satisfy itself that bidders have the capacity to sustain at least one contract package without becoming overstretched financially, or over reliant upon DWP business to remain viable. DWP will assess standard indicators of a bidder’s financial capacity and capability to enable us to make the necessary financial capability assessments.

15.5 PQQs will be subject to an examination of a Potential Supplier’s ability and technical capacity in accordance with Regulations 24-26 of the Public Contracts Regulations 2006. The criteria and weightings to be used can be found in the paragraph below.

16. Qualitative Evaluation Criteria

16.1 Responses to this PQQ will be subjected to a formal evaluation, which will be used by DWP to form an assessment of a bidder’s capacity and capability to deliver this service.

16.2 Where a question attracts a score, the following high level criteria will be applied:

2	Information provided demonstrates an extensive level of relevant experience.
1	Information provided demonstrates an acceptable level of relevant experience.
0	Information provided demonstrates limited/no relevant experience / relevance is unclear / question not answered.

17. Notification of Results

17.1 DWP will inform successful bidders of the outcome of the first stage of the competition **by the 11th February 2010**. In order to help short-listed bidders establish where they will target their resources, DWP will also indicate the maximum amount of business likely to be awarded if they are successful at the second stage of the competition. Short listed bidders will then be required to notify DWP which contract packages they intend to submit full tenders for. A template will be provided for this purpose.

17.2 Short-listed bidders will then be issued with the second stage ITT document and invited to submit a full tender.

17.3 Unsuccessful bidders will also be notified of the outcome of the first stage of the competition and the DWP will provide feedback to all bidders following issue of the ITT document. Details of the short-listed bidders will be published on the Supplying DWP website.

18. Disclaimer

18.1 DWP 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.

18.2 Under no circumstances shall DWP incur any liability in respect of this PQQ or any supporting documentation.

18.3 DWP does not make any representation or warranty as to the accuracy or completeness of the PQQ document pack, or the reasonableness of any assumption on which it is based. DWP accepts no liability to any bidder whatsoever and howsoever arising and whether resulting from the use of the PQQ document pack, or any deficiencies in or omissions from the PQQ document pack.

18.4 DWP does not accept any responsibility for any estimates made by any bidder of resources to be employed in meeting DWP's requirements for the Flexible New Deal work or for any other assumption that bidders may have drawn or will draw from any subsequent clarifications or refinements.

18.5 Bidders should note that participation in the procurement is conditional upon agreement to and full compliance with these conditions.

Annex 1

SUMMARY OF INELIGIBILITY CONDITIONS INCLUDING THOSE PROVIDED BY REGULATION 23 OF THE PUBLIC CONTRACTS REGULATIONS 2006

Under Regulation 23 of the Public Contracts Regulations 2006 an organisation may be deemed ineligible to tender for, or be awarded, a public services contract when that organisation is:

- In a state of bankruptcy, insolvency, compulsory winding up, administration, receivership, composition with creditors or any other analogous state, or subject to relevant proceedings;
- Has been convicted of a criminal offence related to business or professional conduct;
- Has committed an act of grave misconduct in the course of business;
- Has not fulfilled its obligations relating to the payment of social security contributions;
- Has not fulfilled obligations relating to payment of taxes;
- is guilty of serious misrepresentation in providing any information required under Regulation 23;
- Is not in possession of a licence or not a member of the appropriate organisation where the law of that State requires it.

In addition, Regulation 23(1) of the Public Contracts Regulations 2006 requires an organisation to be rejected if that organisation or its directors or any other person who has powers of representation, decision or control of the organisation has been convicted of any of the following offences:

- (a) conspiracy within the meaning of section 1 of the Criminal Law Act 1977 where that conspiracy relates to participation in a criminal organisation as defined in Article 2(1) of Council Joint Action 98/733/JHA;
- (b) corruption within the meaning of section 1 of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;
- (c) the offence of bribery;
- (d) fraud, where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union, within the meaning of –
 - (i) the offence of cheating the Revenue;
 - (ii) the offence of conspiracy to defraud;
 - (iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;
 - (iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985;
 - (v) defrauding the Customs within the meaning of the Customs and Excise

- Management Act 1979 and the Value Added Tax Act 1994;
- (vi) an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; or
 - (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;
- (e) money laundering within the meaning of the Money Laundering Regulations 2003; or
- (f) any other offence within the meaning of Article 45(1) of the Public Sector Directive as defined by the national law of any relevant State.