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**Pre-Qualification Questionnaire**  
**Electoral Print and Postage Services**  
**Contract Reference Number: 5000005988**

*This document has been adopted using the former OGC standard template for Prequalification Questionnaire*

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## **1. Introduction**

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

This PQQ sets out the information which is required by the Authority in order to assess the suitability of potential providers in terms of their technical knowledge and experience, capability/capacity, organisational and financial standing to meet the requirement. During the PQQ stage, the intention is to arrive at a shortlist of qualified potential providers to proceed to Tender process against the requirement as advertised in the OJEU Notice.

No information contained in this PQQ, or in any communication made between the Authority and any potential provider in connection with this PQQ, shall be relied upon as constituting a contract, agreement or representation that any contract shall be offered in accordance with this PQQ. The Authority 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 the Authority incur any liability in respect of this PQQ or any supporting documentation.

Direct or indirect canvassing of any members, public sector employee or agent by any potential provider concerning this requirement, or any attempt to procure information from any Members, public sector employee or agent concerning this PQQ may result in the disqualification of the potential provider from consideration for this requirement.

The object of the qualification process is to assess the responses to the PQQ and select potential providers to proceed to the next stage of the Tender procurement process.

In assessing the answers to the following questions, the Authority will be seeking evidence of the potential provider’s suitability to perform the services in terms of its legal status, organisation details, economic and financial standing, technical and professional ability and adherence to the Mandatory and Discretionary Rejection criteria. Qualification criteria will be a combination of both financial and non-financial factors and will be in accordance with Regulations 23 to 26 of the Public Contracts Regulations 2006 as amended.



It is the intention of the Authorities to award a framework agreement for a maximum period of 5 years.

The Council is not bound to short-list any bidder. Bidders may be eliminated at PQQ Stage 1 from the procurement process if they fail to meet any requirement under the PQQ evaluation.

Notification of short-listing, does not imply acceptance of any offer or constitute any indication that a bidder will be awarded a contract.

The Authority will not reimburse any costs incurred by potential providers in connection with the preparation and submission of their responses to this PQQ.

## **2. Background Information**

### **About the London Boroughs of Barnet, Harrow and Hounslow**

**The London Borough of Barnet** is situated in North London and borders Hertfordshire along its northern edge and (in clockwise order) the London Boroughs of; Enfield, Haringey Camden, Brent and Harrow. The Borough covers an area of 87 km<sup>2</sup> and contains over 142,000 registered properties. Barnet is the second largest London Borough by population with over 350,000 inhabitants, a figure which is projected to increase some 12% by 2019 (by which time Barnet will have the largest population of any London Borough). Upon publication of the electoral register on 1st December 2011, the borough had 243,000 registered voters and of these, over 43,000 are currently registered to receive a postal vote.

**The London Borough of Harrow** is situated in North West London and borders Hertfordshire along its northern edge and (in clockwise order) the London Boroughs of; Barnet, Brent, Ealing, and Hillingdon. The Borough covers an area of 50.47 km<sup>2</sup> and contains over 88,000 registered properties. Harrow is the twenty first largest London Borough by population with over 239,000 inhabitants. Harrow currently has over 181,000 registered voters and of these, over 30,000 are currently registered to receive a postal vote.

**The London Borough of Hounslow** is situation in South West London and borders Surrey along its western edge and (in clockwise order) the London Boroughs of; Hillingdon, Ealing, Hammersmith & Fulham and Richmond Upon Thames. The Borough covers an area of 56 km<sup>2</sup> and contains over 98,000 registered properties. Hounslow is the 16th largest London Borough by population with over 263,000 inhabitants, a figure which is projected to increase some 8% by 2019. Hounslow currently has over 185,000 registered voters and of these, over 23,000 are currently registered to receive a postal vote.

The framework provision will include the specific print and postage needs of any elections that are held within the contract period and of the requirements of the Electoral Registration Service including Annual Canvass, Absent Vote Identifier Refreshes and the new print and postage requirements brought about by the introduction of Individual Electoral Registration (IER).

It is anticipated that the successful suppliers will demonstrate that they are able to offer not only market leading value but also a commitment to quality and service that

gives assurance to each authority and their Electoral Registration Officer's and Returning Officer's (EROs/ROs) that they are in the best possible position to deliver their statutory electoral obligations.

### 3. The Requirement –

The London Boroughs of Barnet, Harrow and Hounslow are collaborating to procure Electoral Print and Postage Services with the aim of ensuring that the provision and distribution of printed materials for electoral registration purposes are of optimal quality achieving best value for the authorities.

The objective of the framework agreement is to:

- Give the authorities and their Electoral Registration Officer's and Returning Officer's( EROs/ROs) a clear and robust arrangement for requesting, obtaining and awarding print and postage contracts for appropriate electoral services activities
- Give the authorities (and their EROs/ROs) a solution which efficiently supports and facilitates the management, delivery and compliance of future elections and other electoral activities within the boroughs
- Offer the authorities (and their EROs/ROs) 'best in class' levels of value-for-money, quality assurance and supplier service for its electoral print and postage requirements.

### 4. Timetable

OJEU	Notice published 16 <sup>th</sup> January 2014
PQQ	Questionnaire released 17 <sup>th</sup> January 2014 Deadline for Expressions of Interest Last Date for Clarification Questions 17 <sup>th</sup> February 2014 Receive completed PQQs deadline 17 <sup>th</sup> February 2014
Tender	Issue of Tenders envisaged– 28 <sup>th</sup> February 2014 Last Date for Clarification Questions – 28 <sup>th</sup> March 2014 Tender deadline – 4 <sup>th</sup> April 2014
Contract Award	Contract award envisaged TBC
Alcatel Period	10 days from Contract Award Date
Commence Contract	Contract start envisaged 1 May 2014

### 5. Authority Named Contact Point

The Authority's named contact point for the procurement is:

Margaret Ejikeme  
Central Procurement Team  
London Borough of Barnet  
North London Business Park  
Oakleigh Road North  
London N11 1NP

Email: Margaret.Ejikeme@Barnet.gov.uk

## **6. Instructions for Completion**

- 6.1 Recipients are invited to complete the attached PQQ and to submit it, together with any requested supporting information contained within the Contract Notice, to the Authority by the due date for return in accordance with the procedures set out in the paragraph below entitled "Submission of Completed Pre-Qualification Questionnaires".
- 6.2 Potential providers should follow the instructions outlined below when completing this PQQ.
- 6.3 Potential providers 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 provider's organisation, this should be indicated, with an explanation.
- 6.4 All questions should be answered in English.
- 6.5 The information supplied will be checked for completeness and compliance with the instructions before responses are evaluated. Potential providers should not provide any general marketing or promotional material as it will not form part of the evaluation process.
- 6.6 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 lead to disqualification. In the event that none of the responses are deemed satisfactory, the Authority reserves the right to terminate the procurement and where appropriate re-advertise the procurement.
- 6.7 The Authority reserves the right to cancel the procurement process at any point. The Authority accepts no responsibility for costs incurred by any potential provider, and will not under any circumstances be liable for any losses or expenses incurred by the potential provider in responding to the PQQ or in participating in any other part of the procurement process.
- 6.8 Potential providers must be explicit and comprehensive in their responses to this PQQ as this will be the single source of information on which responses will be scored and ranked. Potential providers are advised neither to make any assumptions about their past or current supplier relationships with the Authority nor to assume that such prior business relationships will be taken into account in the evaluation procedure.

## **7. Queries about the procurement**

- 7.1 All requests for clarification or further information in respect of this PQQ should be sent via <http://www.barnetsourcing.co.uk> . No approach of any kind in connection with this PQQ should be made to any other person within, or associated with, the Authority.
- 7.2 This PQQ is being provided on the same basis to all potential providers.
- 7.3 The Authority will not enter into detailed discussion of the requirements at this stage.
- 7.4 If the Authority considers any question or request for clarification to be of material significance, both the question and the response will be communicated, in a suitably anonymous form, to all potential providers who have responded, have expressed an interest, or those that show an interest before the closing date for the submission of the PQQ.
- 7.5 All responses received and any communication from potential providers will be treated in confidence but will be subject to 7.4 above.

## **8. Additional Information**

- 8.1 The Authority expressly reserves the right to require a potential provider to provide additional information supplementing or clarifying any of the information provided in response to the requests set out in this PQQ. The Authority may seek independent financial and market advice to validate information declared, or to assist in the evaluation.
- 8.2 Please note that any reference to 'company' in the PQQ refers to 'organisation', whether company, partnership or individual.

## **9. Sub-contracting**

- 9.1 Where a sub-contracting approach is proposed, all information requested should be given in respect of the prime contractor.
- 9.2 It is recognised that arrangements in relation to sub-contracting may be subject to future change. However, potential providers should be aware that where sub-contractors are to play a significant role, any changes to those sub-contracting arrangements may constitute a material change and therefore may affect the ability of the potential provider to proceed with the procurement process or to provide the services.

## **10. Consortia Arrangements**

- 10.1 If the potential provider bidding for a requirement is a consortium, then full details of the consortium must be provided.
- 10.2 If potential providers intend to form a consortium in order to bid for this requirement, potential providers should be aware that each individual organisation will need to submit a separate PQQ.
- 10.3 Potential providers should provide details of the actual or proposed percentage shareholding of the constituent members within the consortium in a separate annex. If a consortium is not proposing to form a corporate entity, full details of alternative proposed arrangements should be provided in the annex. However, please note the Authority reserves the right to require a successful consortium to form a single legal entity in accordance with regulation 28 of the Public Contracts Regulations 2006.
- 10.4 The Authority recognises that arrangements in relation to consortia may (within limits) be subject to future change. Potential providers should therefore respond in the light of the arrangements as currently envisaged. Potential providers are reminded that any future proposed change in relation to consortia must be notified to the Authority so that it can make further assessment by applying selection criteria to the new information provided.

## **11. Potential provider contact point**

- 10.1 Potential providers are asked to include a single point of contact in their organisation for their response to the PQQ. The Authority will not be responsible for contacting the potential provider through any route other than the nominated contact. The potential provider must therefore undertake to notify any changes relating to the contact promptly.

## **12. Freedom of Information**

- 12.1 In accordance with the obligations and duties placed upon public authorities by the Freedom of Information Act 2000 (the 'FOIA'), all information submitted to the Authority may be disclosed in response to a request made pursuant to the FOIA.
- 12.2 In respect of any information submitted by a potential provider that it considers being commercially sensitive the potential provider should:
  - Clearly identify such information as commercially sensitive;
  - Explain the potential implications of disclosure of such information; and
  - Provide an estimate of the period of time during which the potential provider believes that such information will remain commercially sensitive.
- 12.3 Where a potential provider identifies information as commercially sensitive, the Authority will endeavour to maintain confidentiality. Potential providers should note, however, that, even where information is identified as

commercially sensitive, the Authority might be required to disclose such information in accordance with the FOIA. Accordingly, the Authority cannot guarantee that any information marked 'commercially sensitive' will not be disclosed.

### **13. Submission of Completed Pre-Qualification Questionnaires and supporting information**

- 13.1 Suppliers must read through this set of instructions and follow the process to respond to this opportunity. The information and/or documents for this opportunity are available at <http://www.barnetsourcing.co.uk> you must register on this site to respond, if you are already registered you will not need to register again, simply use your existing username and password.
- 13.2 The deadline for submitting your response(s) is 17<sup>th</sup> February 2014 at 12 PM Please ensure that you allow yourself plenty of time when responding to this invite prior to the closing date and time, especially if you have been asked to upload documents.
- 13.3 If you experience any technical difficulties please contact [Nicholas.Lowe@Barnet.gov.uk](mailto:Nicholas.Lowe@Barnet.gov.uk) Please note that completed PQQ's received after the closing date will be rejected.

### **14. Provider Selection**

- 14.1 The Authority will disqualify any potential provider who fails to:
- Comply with the requirements of Regulation 23(1) and/or fails to certify on the Statement of Good Standing that it has fulfilled these requirements
  - Submit its completed PQQ before the deadline
- 14.2 The financial information requested will be used to assess if bidders expressing an interest are financially competent and viable to do business with the Authority. The Authority will use credit checking agencies to assess this; by reference to turnover over the last 3 years, profitability and other standard accounting ratios. Please refer to the PQQ Scoring Matrix which details the scoring for evaluation of financial viability.
- 14.3 The Authority will disqualify any potential provider with a high or maximum financial risk warning.
- 14.4 Please Note that the maximum annual value of each contract awarded by the Council cannot exceed 25% of your annual turnover for the last financial year.
- 14.5 Following evaluation of the Pre-Qualification Questionnaires, a maximum of 5 organisations will be invited to tender. The framework agreement will be set up with a maximum of 3 suppliers.
- 14.6 The Authority may disqualify any potential provider who fails to:
- Comply with the requirements of Regulation 23(4)

- Provides an incomplete response to any question within the PQQ

14.7 The potential providers who are not disqualified in accordance with the above grounds shall be evaluated on the qualification criteria which take into account the economic and financial standing and the technical or professional ability of the potential provider and are in accordance with [Regulations 23-26 of the Public Contracts Regulations 2006](#) (as amended from time to time). A failure under Regulation 23 (1) will lead to automatic exclusion and a failure under Regulation 23 (4) and Regulations 24 to 26 may do so in accordance with the scoring criteria. A shortlist of potential providers will be drawn up and they will be eligible to participate further in the procurement process.

14.8 The Authority may seek independent financial and market advice to validate information declared or to assist in the evaluation. Reference site visits or demonstrations and/or presentations are unlikely to be requested at this stage but the Authority reserves the right to request the same as a part of the PQQ process.

14.9 Where a potential provider has a valid reason for being unable to provide the information requested in relation to economic, financial and insurance matters, other information considered appropriate by the Authority will be accepted.

## 15. Evaluation Criteria

15.1 The prequalification questionnaire evaluation criteria will be as follows:

Section	Weighting
A. Company Information and Disputes in respect of Regulation 23 Public Contracts Regulations 2006 detailing Statement of Good Standing	All sections completed To be checked and verified Pass / Fail
B. Technical Resources, Quality Assurance, References,.	50% Minimum pass mark of 50% of available marks must be achieved.
C. Financial and Insurance	30% All relevant documents must be returned
D. Health & Safety	10%
E. Environmental Issues	10%
F. Declaration All signed and dated where appropriate	To be checked and verified



## 16. Scoring

16.1 There are questions in this PQQ that are asked for information only, and others that are scored. The accompanying PQQ scoring matrix shows which questions are for information only and which carry marks. For the latter it also shows the marks available for each question.

16.2 Where a question is scored “up to a maximum of 5 points”, the following table shows the assessment score and relevant criteria that will be applied:

Assessment Score	Score
Question not answered	0
<b>Very poor:</b> fails to demonstrate required capacity, capability, experience and track record.	1
<b>Poor:</b> limited evidence of required capacity, capability, experience and track record.	2
<b>Satisfactory:</b> provides sufficient evidence of required capacity, capability, experience and track record to undertake the services.	3
<b>Good:</b> shows good evidence of required capacity, capability, experience and track record that meets the service requirements.	4
<b>Very good:</b> shows considerable evidence of capacity, capability, experience and track record in all areas.	5

## Pre-Qualification Questionnaire

**Project Title:**

**Contract Reference Number:**

### ***Section A – Potential Provider Information***

#### Organisation Details

**A.1 Full legal name, address and website of the potential provider in whose name the tender will be submitted (the prime or single contractor or organisation acting as lead contact where a consortium bid is being submitted):**

Full Company Name	
Main Address for Correspondence	
Town/City	
Postcode	
Country	
Website (if any)	

#### **A.2 Organisation details**

Name of immediate parent company	
Type of organisation (please indicate):	
i) a public limited company	
ii) a limited company	
iii) a limited liability partnership	
iv) other partnership	
v) Sole Trader	
vi) other (please specify)	

**A.3 Name, position, telephone number and e-mail address of main contact for this project.**

Name	
Address (if different from above)	
Position	
Telephone Number	
Fax Number (if available)	
E-mail	

**A.4 Date and place of formation of the potential provider. Please provide copies of Certificates of Incorporation (where appropriate) and any changes of name, registered office and principal place of business.**

Date of formation	
Place of formation	
Date of registration	
Company registration number	
Certificates enclosed	Yes/No
Registered Office	
Principal place of business	

**A.5 Ownership structure**

**A.5.1 Full legal name and address of parent company if applicable:**

Company Name	
Address	
Town/City	
Postcode	
Country	
Company registration number	

**A.5.2 If the potential provider is a division or subsidiary, what is its relationship with the parent company (ownership, directorship, authority, etc)**

Relationship	
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**A.5.3 Please provide a one-page chart illustrating the ownership structure of**

<b>the potential provider including relations to any parent or other group or holding companies.</b>	
Ownership structure enclosed	Yes / No

<p><b>A.6 Please provide a brief history of the potential provider’s organisation. Brief history of the potential provider’s organisation, no more than 400 words, including details of 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.</b></p>

<p><b>A.7 Registration with professional body<sup>1</sup></b> Where applicable, is the potential provider registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in Annex IX B of Directive 2004/18/EC) under the conditions laid down by that member state). Evidence of registration with appropriate professional/trade body Either insert required details or state ‘none’</p>

<b>A.8 Charities or housing association or other registration number (if this applies). Please specify registering body.</b>	
Registering body	
Registration number	

<b>A.9 VAT registration number</b>

<b>A.10 Please list the full names and positions of all directors, partners, associates and the company secretary</b>	
Names and positions	

<b>A.11 Have any of the directors, partners, associates or the company been involved in any company that has:</b>	
a) Been liquidated?	Yes/No
b) Gone into receivership?	Yes/No
c) Been subject to a winding up order?	Yes/No

<sup>1</sup> Potential providers established outside the United Kingdom may provide equivalent information. For a list of acceptable equivalent information please refer to Regulation 23(7) to Regulation 23(9) of the Public Contracts Regulations 2006.

d) Been subject to a sequestration order?	Yes/No
e) Failed to pay taxes?	Yes/No
f) Failed to pay social security contributions?	Yes/No

**A.12 Have any of the directors, partners, associates or the company secretary been:**

a) Declared personally bankrupt or insolvent?	Yes/No
b) Convicted of a criminal offence relevant to their business or profession?	Yes/No

**A.13 Have any of the directors, partners, associates or the company secretary:**

a) Been employed by or been an elected Member of the council?	Yes/No
b) Have a relative employed by Barnet Council or who is an elected member of the council?	Yes/No

If you have selected “Yes” to any of the questions above please give details in a separate document clearly marking the response with the question number.

<b>A.14 Has your company suffered a deduction for liquidated and ascertained damages in respect of any contract within the last 3 years?</b>	Yes/No
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<b>A.15 Has your company ever had a contract terminated or your employment determined for any reason under the terms of a contract?</b>	Yes/No
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<b>A.16 Has your company ever had a contract not renewed due to failure to perform to its terms?</b>	Yes/No
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<b>A.17 Has your company ever had a contract ended early by mutual agreement?</b>	Yes/No
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If you have selected “Yes” to any of the questions above please give details in a separate document clearly marking the response with the question number.

<b>A.18 Is your company registered under the Data Protection Act 1998? If so, what is your DPA registration number?</b>	Yes/No
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Registration number	
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**A.19 Subcontracting**

All potential providers should answer question A.19.1. Where a potential provider at this stage of the process intends to sub-contract they should also answer questions A.19.2. Where a potential provider becomes aware of the intention to subcontract at later stages in the procurement they are required to notify the Authority of this and provide the information requested below at that

time.		
<b>A.19.1 Please tick the answer below that applies</b>		
a) Your organisation is bidding to provide the services required itself (if ticked, go to question A20)		
b) Your organisation is bidding in the role of prime contractor and intends to use third parties to provide some services		
<b>A.19.2 If your answer to A.19.1 is (b) please indicate in the table below (by inserting the relevant company/organisation name) the composition of the supply chain, indicating which member of the supply chain (which may include the potential provider itself or solely be the potential provider) will be responsible for which elements of the requirement.</b>		
Requirement	Company / Organisation	How much of the requirement would be delivered and what would they directly deliver (%)
<b>A.19.3 Please demonstrate a satisfactory methodology and track record of delivering a supply chain. Please give a brief outline on policy regarding the use of sub-contractors and, if applicable, the extent to which it is envisaged they may be used in any contract. Methodology for procuring supply chain (300 words or fewer)</b>		

<b>A.20 Consortia</b> Is the potential provider a consortium, joint venture, or other arrangement? If so, and if it is available, please provide details of the constitution and percentage shareholdings. (Please refer to the paragraph Consortia and subcontracting in the Introduction to this PQQ).	Yes/No
If yes, please complete the below.	
Organisation	Percentage shareholding

<b>A.21 For completion by Non-UK Businesses only. Registration with Professional Body</b>	
Is your business registered with the appropriate trade or professional	

register(s) in the EU member state where it is established (as set out in Annexes IX A-C of Directive 2004/18/EC) under the conditions laid down by that member state.	

## A.22. STATEMENT RELATING TO GOOD STANDING

STATEMENT RELATING TO GOOD STANDING — GROUNDS FOR OBLIGATORY EXCLUSION (IN ELIGIBILITY) AND CRITERIA FOR REJECTION OF CANDIDATES in accordance with Regulation 23 of the Public Contracts Regulations 2006 (as amended).

We confirm that, to the best of our knowledge, the potential provider is not in breach of the provisions of Regulation 23 of the Public Contracts Regulations 2006 (as amended) and in particular that:

### Grounds for mandatory rejection (ineligibility)

In some circumstances the Authority is required by law to exclude you from participating further in a procurement. If you cannot answer 'no' to every question in this section your application will not be accepted.

Please answer 'Yes' or 'No' to each question below.

Has your organisation or any directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences	
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 (as amended)	Yes/No
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 (as amended)	Yes/No
c) the offence of bribery	Yes/No
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	Yes/No
ii) the offence of conspiracy to defraud	Yes/No
iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978	Yes/No
iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985 or section 993 of the Companies Act 2006	Yes/No
v) defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994	Yes/No
vi) an offence in connection with taxation in the European Community within	Yes/No

the meaning of section 71 of the Criminal Justice Act 1993	
vii) destroying, defacing or concealing of documents or procuring the extension of a valuable security within the meaning of section 20 of the Theft Act 1968	Yes/No
e) money laundering within the meaning of the Money Laundering Regulations 2003 or Money Laundering Regulations 2007; or	Yes/No
f) any other offence within the meaning of Article 45(1) of Directive 2004/18/EC as defined by the national law of any relevant State	Yes/No

### A.23. GROUNDS FOR DISCRETIONARY REJECTION

#### Important Notice

The Authority is entitled to exclude you from consideration if any of the following apply but may decide to allow you to proceed further.

If you cannot answer `no` to every question it is possible that your application might not be accepted.

In the event that any of the following do apply, please set out (in a separate annex) full details of the relevant incident and any remedial action taken subsequently. The information provided will be taken into account by the Authority in considering whether or not you will be able to proceed any further in respect of this procurement exercise.

Please answer `Yes` or `No` to each question

Is any of the following true of your organisation?	
a) being an individual,  is bankrupt or has had a receiving order or administration order or bankruptcy restriction orders made against him or has made any composition or arrangement with or for the benefit of his creditors or appears unable to pay or to have no reasonable prospect of being able to pay, a debt within the meaning of section 268 of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of this estate, or is the subject of any similar procedure under the law of any other state	Yes/No
b) being a partnership constituted under Scots Law,  has granted a trust deed or become otherwise apparently insolvent. Or is the subject of a petition presented for sequestration of its estate; or	Yes/No
c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002  has passed a resolution or is the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or had a receiver, manager or administrator	Yes/No



on behalf of a creditor appointed in respect of the company's business or any part thereof or is the subject of similar procedures under the law of any other state?	
Has your organisation?	
a) been convicted of a criminal offence relating to the conduct of your business or profession;	Yes/No
b) committed an act of grave misconduct in the course of your business or profession;	Yes/No
c) failed to fulfil obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which you are established;	Yes/No
d) failed to fulfil obligations relation to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which you are established; or	Yes/No
e) been guilty of serious misrepresentation in providing any information required of you under Regulation 23 of the Public Contracts Regulations 2006?	Yes/No

**Section B: Technical Resources and References**

<b>B.1 Please enclose an organisation chart</b>	
Organisation chart enclosed?	Yes/No

<b>B.2</b>
<p><b>B.2.1 What is the profile of your workforce in the organisation (broken into management and staff)</b></p> <ul style="list-style-type: none"> <li>• Permanent</li> <li>• Temporary agency staff</li> <li>• Consultants/contractors</li> <li>• Other e.g. casual, zero hours</li> </ul>
<p><b>B.2.2 Sickness absence in the last year (in days per employee per annum) and the 5 most common reasons why staff have been off sick</b></p>
<p><b>B.2.3 Percentage of appraisals completed within three months of your official deadline</b></p>
<p><b>B.2.4 What is your staff turnover over the last 3 years (as defined by CIPD<sup>2</sup>). Give the 5 most common reasons for staff leaving voluntarily or involuntarily.</b></p>
<p><b>B.2.5 What accreditation, awards or other forms of independent recognition have you received in the last 3 years relating to employment practices?</b></p>

<b>B.3</b>
<p><b>B.3.1 Please explain how the Potential Provider and/or its named supply chain members (sub-contractors) would ensure compliance with their statutory obligations under equality legislation in the context of this contract?</b></p>

<sup>2</sup> <http://www.cipd.co.uk/hr-resources/factsheets/employee-turnover-retention.aspx>

**B.3.2 Please summarise what actions the Potential Provider and/or its named supply chain members (sub-contractors) have taken in order to implement the Equality Act 2010 into their organisation?**

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**B.4 Please detail the measures to ensure safer recruitment and the retention of your employees, including how this provides the most appropriate employee to carry out the required tasks for this contract.**

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**B.5 Would any bid be based on the Potential Provider either (a) offering a broadly comparable pension scheme as certified by Government Actuaries Department (GAD) certificate or (b) seeking Admitted Body Status of the Local Government Pension Scheme? Please provide evidence of how you have previously complied with the pension requirements for public sector staff transferring into your organisation.**

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***Quality Assurance***

<b>B.6 Is your company accredited to ISO 9001?</b>	Yes/No
<b>If yes, please state:</b>	
a) Registration No	
b) Accreditation Body	
If no, are you working towards accreditation?	Yes/No
Please state your timescale for accreditation	
Please state details of registration with accreditation body	

**B.7 If yes, how is the work quality assured of contractors or agency staff? Please provide details**

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**B.8 Are you able to supply staff checked by the Disclosure, Vetting and Barring Service?**

Yes/No

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<b>B.9</b> If yes, are these checks reviewed every 36 months?	Yes/No
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<b>B.10</b> What quality targets do you monitor?

<b>B.11</b> Does your company maintain a quality procedure manual? If yes, you may be asked to produce this at a later date	Yes/No
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<b>B.12</b> How often is your quality procedures manual updated?

<b>B.13</b> Who is responsible for ensuring the quality assurance information and procedures are valid?

<b>B.14</b> Does the quality procedures manual address the following (please tick or otherwise indicate)	
<input type="checkbox"/>	Customer/client care
<input type="checkbox"/>	Evaluation of staff performance
<input type="checkbox"/>	Recruitment
<input type="checkbox"/>	Training
<input type="checkbox"/>	Health & safety
<input type="checkbox"/>	Personnel procedures
<input type="checkbox"/>	Complaints procedure
<input type="checkbox"/>	Selecting Suppliers
<input type="checkbox"/>	Selecting sub-contractors
<input type="checkbox"/>	Charging & billing
<input type="checkbox"/>	Quality monitoring
<input type="checkbox"/>	Other (please specify)

<b>B.15</b> Please provide information relating to the potential provider's experience of contracts for similar services.
Potential providers should provide details of three significant private or public sector contracts for the supply of services which it has performed. Contracts for the supply of services should have been performed during the past three years.

Information should not be given about contracts performed by any envisaged supply chain member or sub-contractor.

The contracts should have been for services similar to those outlined in the Requirement.

Potential providers should ensure that the companies listed would be willing to provide a reference for them and be willing to discuss the potential provider's performance with the Authority. The Authority reserves the right to contact any or all of these companies for a reference and may wish to visit their premises. Reference contact will be by telephone and the Authority will record the reference.

**First customer**

Customer name and address	
Contact name, telephone number and email address	
Date contract awarded plus, start and finish dates	
Contract reference and description of requirements undertaken (and value of contract). Up to 750 words	
Certificate of Acceptance <sup>3</sup> / Completion attached? (Y/N)	
Names of supply chain members (sub contractors) and/ or consortium members and their role	

**Second customer**

Customer name and address	
Contact name, telephone number and email address	
Date contract awarded plus, start and finish dates	
Contract reference and brief description of requirements undertaken (and value of contract) Up to 750 words	

<sup>3</sup> The certificate of acceptance is a document which contains evidence of confirmation that the particular contract was completed.

Certificate of Acceptance <sup>4</sup> / Completion attached? (Y/N)	
Names of supply chain members (sub contractors) and/ or consortium members and their role	
<b>Third customer</b>	
Customer name and address	
Contact name, telephone number and email address	
Date contract awarded plus, start and finish dates	
Contract reference and brief description of requirements undertaken (and value of contract) Up to 750 words	
Certificate of Acceptance <sup>5</sup> / Completion attached? (Y/N)	
Names of supply chain members (sub contractors) and/ or consortium members and their role	

***B.16 Technical capacity and competence***

**B16.1**

**What experience does your organisation have of delivering any or all of the services in scope, reducing costs and improving service levels?**

- a) Do you have experience of managing multiple clients under one contract?
- b) Do you have experience of obtaining Royal Mail approval for stationery design in accordance with their standards?
- c) Are you able to courier information to agreed deadlines and security standards?
- d) Do you have the capacity to deliver against the same timetable for all participating authorities?
- e) Please provide details of your experience / technical capacity. Please give up to 3 examples. (up to 750 words)**

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**B16.2 What is your company's approach to service and performance management? Please outline your preferred performance management arrangements for a contract of this nature**

**B16.3 Please provide an example in which your organisation delivered a smooth transition of service, including the timeframe and the cost incurred.**

**B16.4 Regarding the staff that are employed within your organisation, can you identify all those that have a recognised professional qualification in relevance to the service(s) in which you are applying for?**

**B.16.5 What professional training and continuous development for your staff is undertaken to ensure that all of your employees are competent to carry out their duties to current standards?**

**B.16.6 Does your organisation run apprenticeship schemes including training opportunities? If yes please provide details of training and the apprenticeship trade.**

### ***B.17 Safeguarding***

**B17.1 Do you have a named, designated person in the organisation responsible for any issues relating to safeguarding?**

**B17.2 Do you have clear accountability structure to ensure that all personnel understand their place in the organisation and how they receive support and guidance on safeguarding issues?**

**B17.3 Do you have a safeguarding policy that is checked annually and reviewed every three years and ensure it reflects changes in legislation and guidance?**

**B17.4 Do you include statement that reflects a clear commitment to safeguarding in job descriptions for those with access to vulnerable groups?**

Yes/No

**B17.5 Please confirm if induction for all personnel does include information on safeguarding and how to report abuse, and please include policies you have for reporting allegations made and whistleblowing?**

Yes/No

**B17.6 Do you ensure all personnel know where to access information on safeguarding and who to contact for advice and guidance?**

Yes/No

**B17.7 Do you have in place a training and development strategy that includes relevant safeguarding policies and procedures, individual's responsibilities for safeguarding, how to recognise and report abuse and any specialist training required relevant to their position.**

Yes/No

**B17.8 Do you follow safer recruitment principles, with interviews that include questions designed to test attitudes and motivation towards safeguarding?**

Yes/No

**B17.9 Do you have a code of conduct that promotes safer working practice, with clear expectations of staff behaviour?**

Yes/No



## Section C – Financial Information

### C.1. Introduction

Where a consortium or association is proposed all the information below is requested for each member of the consortium or association.

Where the potential provider is a subsidiary of a parent company or a guarantee will be provided all the information requested in this section applies to the parent company and the guarantor as well.

<b>C2 Name &amp; title of person responsible for financial matters</b>	
<b>C2.1 Please give the name, address &amp; telephone number of your bank &amp; your account number.</b>	
Name	
Address	
Telephone	
Account Number	
<b>C2.2 Please supply a letter of confirmation on the potential provider's headed note paper signed by an authorised signatory, that the council may obtain a bank reference.</b>	
Indicate whether the letter of permission to seek a bank status reference is attached	Yes/No

<b>C3 Please enclose a copy of the Certificate of Incorporation of the Company under the Companies Act 1985 and a certificate of change of name</b>	
Indicate if enclosed	Yes/No
<b>C3.1 Please indicate trading name if applicable to this contract</b>	

Applies to Limited Companies only

<b>C4 Please submit company accounts in statutory forms, including all audit certificates, together with any necessary explanatory notes from the last three full financial years or for the period that is available if trading for less than three years. Indicate if enclosed</b>	
	Company's latest Audited Accounts.  Notes: Modified and/or Abbreviated Accounts are not acceptable) Accounts – latest to be no more than 16 months old

	If the above cannot be provided please provide a statement of the organisation's cashflow forecast for the current year and a bank letter outlining the current cash and credit facility position.
	Auditor's Report
	Directors' Report
	Annual Profit and Loss Account and notes thereto
	Balance Sheet & notes thereto
	Cash Flow Statement
	Group Consolidated Accounts
	If part of group – Operating Accounts no more than 16 months old (if applicant is part of a group)

**C5 Statement signed by the Director responsible for financial matters setting out any significant changes in the current financial position from the last balance sheet.**

Indicate if enclosed	Yes/No
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**If the Audit Certificate for the last financial statement has been abnormally delayed, please state the reason(s).**

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Applies to Partnerships and Sole Traders Only

**C6 Please submit Certified Accounts for the last three full financial years, to include (indicate if enclosed):**

	Trading, Profit & Loss Account Notes: Modified and/or Abbreviated Accounts are not acceptable) Accounts – latest to be no more than 16 months old If the above cannot be provided please provide a statement of the organisation's cash flow forecast for the current year and a bank letter outlining the current cash and credit facility position.
	Balance Sheet & notes thereto

**C.7 Parent company and/or other guarantees of performance, e.g performance bond may be required if considered appropriate.**

**Where the potential provider is dependant financially on a parent company to support its application for this procurement, it must indicate in the box below whether a Parent Guarantee is available if requested. If not applicable please state so in the box below.**

C.7.1 Where required, Parent Company and/or Guarantee is available?	Yes/No
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C.7.2 If "yes" please provide written confirmation from the Parent Company or Guarantor of their willingness to provide a Guarantee or	Yes/No
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alternative form of security. Indicate if enclosed:	
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<p><b>C.8 Evaluation</b>          The financial statements you provide in this part of the PQQ will be used, in conjunction with other publicly available information, to calculate a number of financial ratios and also to evaluate the overall financial health of all the entities involved in the bid (including parent companies, guarantors, consortia, etc).</p>
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- |  |
|--|
| <b>C.8.1 Solvency</b>                      |
| <b>C.8.2 Debt/Asset Ratio</b>              |
| <b>C.8.3 Liquidity</b>                     |
| <b>C.8.4 Gearing</b>                       |
| <b>C.8.5 Turnover</b>                      |
| <b>C.8.6 Total Indebtedness Ratio</b>      |
| <b>C.8.7 Short-Term Indebtedness Ratio</b> |
| <b>C.8.8 Profitability</b>                 |
| <b>C.8.9 Interest Cover</b>                |
| <b>C.8.10 Net Worth to Total Assets</b>    |
| <b>C.8.11 Overall Financial Health</b>     |

<p><b>C.9 Insurance</b>          Please provide evidence of your organisation’s employers' liability insurance, public liability insurance, and professional liability or indemnity (if appropriate), The evidence should include the name of the insurers, policy numbers, expiry dates and limits for any one incident and annual aggregate caps and the excesses under the policies.</p>
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<b>C.9.1 Employer’s liability insurance</b>	
Name of insurer	
Address	
Type of insurance	
Policy numbers	
Expiry date	
Limits of indemnity (per occurrence and aggregate)	
Excess (if any)	
<b>C.9.2 Public liability insurance</b>	
Name of insurer	
Address	
Type of insurance	
Policy numbers	
Expiry date	

Limits of indemnity (per occurrence and aggregate)	
Excess (if any)	
<b>C.9.3 Professional Indemnity Insurance</b>	
Name of insurer	
Address	
Type of insurance	
Policy numbers	
Expiry date	
Limits of indemnity (per occurrence and aggregate)	
Excess (if any)	
<b>C.9.4 Other insurance (please provide details)</b>	
Name of insurer	
Address	
Type of insurance	
Policy numbers	
Expiry date	
Limits of indemnity (per occurrence and aggregate)	
Excess (if any)	

**Please confirm that if your insurance cover does not currently meet the requirements of the council as stated in the Contract Conditions, you will be prepared to increase the levels accordingly if your organisation is awarded the Contract**

AGREED  
Signature

For and on behalf of

**C.10 Disputes**

**C.10.1 Are there any material pending or threatened litigation or other legal proceedings connected with similar projects against the potential provider, its parent company and/or any of its named supply chain members (sub-contractors)?**

Legal proceedings pending

Yes/No

If you have answered 'Yes' please give a brief statement (300 words or fewer) – to include a statement on how this may affect delivery of this project and also to include the number of claims, the reasons for them and the details of any Specific Earmarked Reserves  
Either insert required details or state 'None'

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**C.10.2 Has there been any material litigation or other legal proceedings connected with similar projects against the potential provider, its parent company and/or any of its named supply chain members (sub-contractors) in the last three years?**

Legal proceedings:	Yes/No
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If you have answered 'Yes' please give a brief statement (300 words or fewer) – to include a statement of how this may affect delivery of this project.  
Either insert required details or state 'none'

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## Section D – Health and Safety

<b>D1</b> Is your company registered on the Contractors Health and Safety Scheme (CHAS) database or equivalent?	Yes/No
If yes please give your registration number	

<b>D2</b> Name & job title of the person responsible for the implementation of the company's safety policy.
Name and job title

*The following 3 questions apply only if your company has 5 or more employees*

<b>D3</b> Does your company employ a safety officer or avail itself of a person qualified to advise and assist in carrying out the Company's health and safety responsibilities? If yes, state name, job title, experience and health & safety qualifications.	Yes/No
Name	
Job title	
Experience	
Health and safety qualifications	
<b>If No, indicate how competent advice is provided to the company</b>	

<b>D4</b> How are the company's health and safety policies and procedures conveyed to the staff?

<b>D5</b> <b>MANDATORY</b> Requirement. Please enclose a copy of the Company's Health & Safety Policy – covering general policy, organisation & arrangements – as required by Section 2(3) of the Health & Safety at Work Act 1974 & any procedures issued to staff for undertaking risk assessments and developing safe work practices. Indicate if enclosed.	Yes/No
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<b>D6 MANDATORY Requirement. Please enclose a copy of the codes of safe working practices which are relevant to the contract which you are applying, and which is issued to your employees. Indicate if enclosed:</b>	Yes/No
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***This question only applies if your company has less than 5 employees.***

<b>D7 MANDATORY Requirement. Please enclose written details of the following. Tick if enclosed:</b>	
	Procedures to be followed in cases of emergency
	Procedures for the reporting & recording of accidents, ill health & dangerous occurrences
	First aid & welfare provisions
	Provision of appropriate protective clothing & equipment

***All applicants must answer the following questions.***

<b>D8 Please enclose completed examples of relevant risk assessments (appropriate to the type of work being applied for). Indicate if enclosed.</b>	Yes/No
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<b>D9 Do you monitor your company's health &amp; safety performance?</b>	Yes/No
If Yes, please provide details of your monitoring arrangements	

<b>D10 How many reportable accidents, conditions of ill-health &amp; dangerous occurrences under RIDDOR has your company had in the last 3 years?</b>	
D10.1 Accidents:	
D10.2 Ill health:	
D.10.3 Dangerous occurrences:	

<b>D11 How many enforcement notices or prosecutions have been served on your company by the Health &amp; Safety Executive or Local Authority in the last three years?</b>	
If you have had any notices or prosecutions, please give details below.	

## Section E – Environmental Issues

<b>E.1 Does your organisation have a sustainability and/or environmental management policy?</b>	Yes/No
If yes, please provide a copy of your organisation's main policy document including any information on how it is implemented. Tick if enclosed and reference relevant section / page number	
<b>E.2 Does your organisation's sustainability and/or environmental management policy meet the standards in the Eco-Management &amp; Audit Scheme (EMAS), ISO14001, EN16001 or equivalent? In the event you have EMS Accreditation , a copy of your EMS certificate will suffice</b>	Yes/No
If yes please enclose evidence, including any information on how it is implemented. Tick if enclosed and reference relevant section / page number.	
<b>E.3 Does your organisation have a carbon, climate change or energy efficiency strategy, policy or action plan?</b>	Yes/No
If yes please enclose evidence, including any information on how it is implemented. Tick if enclosed and reference relevant section / page number.	
<b>E.4 Does your organisation have a sustainable procurement strategy?</b>	Yes/No
If yes please enclose evidence, including any information on how it is implemented. Tick if enclosed.	
<b>E.5 Does your organisation have a person responsible for environmental issues?</b>	Yes/No
If yes, please provide name(s) and contact details of relevant employees.	
Name	
Tel	
Email	
<b>E.6 Does your organisation dispose of the waste generated during the manufacture or provision of your product or service?</b>	Yes/No
If yes please give specific details of the different types of waste and how they are disposed of and reference relevant section / page number.	



<b>E.7 Does your organisation use any recyclable or reusable materials?</b>	Yes/No
If yes please give details of the different types of materials used and processes in place to support this and reference relevant section / page number.	

<b>E.8 Does your organisation monitor and regulate the following areas within its operations?</b>	Yes/No
Energy usage / carbon emissions	Yes/No
Water usage	Yes/No
Solid waste	Yes/No
If yes to any of the above, please submit documentary evidence. Indicate if enclosed and reference relevant section / page number .	Yes/No

<b>E.9 Has your organisation been prosecuted in relation to environmental Legislation?</b>	Yes/No
If yes please provide evidence of corrective action taken and reference relevant section / page number. If no please state not applicable.	

## Section F: Declaration

I declare that to the best of my/our knowledge the answers submitted in this PQQ are correct and I/we accept the conditions and undertakings requested in the questionnaire. I understand that the information will be used in the process to assess our organisation's suitability for the next stage of the Tender process for the Authority's requirement.

I am signing on behalf of my organisation. I understand that the Authority may reject this PQQ if there is a failure to answer all relevant questions fully or if I provide false or misleading information and could result in exclusion from the List of Selected Tenders.

I also understand that it is a criminal offence, punishable by imprisonment, to give or offer any gift or consideration whatsoever as an inducement or reward to any staff/member of a public body and that such action will empower the council to cancel any contract currently in force and will result in our exclusion from the List of Selected Tenders.

### FORM COMPLETED BY

Name:

Position:

Signature:

Date:

### **BEFORE RETURNING THE PRE-QUALIFICATION QUESTIONNAIRE PLEASE ENSURE YOU HAVE:**

Answered all the appropriate questions in this questionnaire and signed the above undertaking.

### RETURNING THE COMPLETED DOCUMENTATION:

The completed PQQ should be uploaded via <http://www.barnetsourcing.co.uk> no later than 12:00 noon on 17<sup>th</sup> February 2014