

**RUNNYMEDE REGENERATION PROGRAMME**

**PRE-QUALIFICATION QUESTIONNAIRE (“PQQ”)**

Contract Reference: **RBC/RRP/2015/101**

**Please insert** **your company name and contact details in the spaces below.**

**NB: This page must be the front cover sheet of your submission.**

**Your contact details**

Bidder (company) Name:

Authorised Representative:

Contact name (if different from above):

Contact telephone No:

Email address:

**PLEASE NOTE:**

**Closing date: 8 January**

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# Section 1 General

1. Purpose
	1. This Pre-qualification Questionnaire (PQQ) has been produced to enable the Contracting Authority to evaluate the economic and financial standing and technical and professional ability and capacity of organisations that have responded to the Contract Notice submitted to OJEU on 25/11/15. Throughout this PQQ the expression “Contracting Authority” means the Contracting Authority named in the OJEU and who may participate in the final contract.
	2. This PQQ consists of 3 sections - section 1 contains details about, *inter alia*, the conditions of participation and the general requirements; section 2 sets out the Selection Methodology, whilst section 3 contains the questions that are to be answered and submitted as part of this PQQ. A checklist of items to be returned is contained in Appendix A (*PQQ Checklist for Items to be Returned*), a glossary is set out in Appendix B (*Glossary*) and Appendix C (*Procurement Documents*) contains a list of the Procurement Documents made available to potential applicants at the same time as the Contract Notice is published.
	3. As Applicants will have noted, the Contracting Authority is seeking to procure a development partner for the Runnymede Regeneration Initiative (the “Project”). The Contract period will be for 8 years with the option(s) exercisable by the Contracting Authority for a period or periods in aggregate of up to 5 years, with a maximum total contract term of 13 years. The Contracting Authority will give not less than 12 months’ notice of its intention to extend.
	4. This PQQ and Selection Methodology should be read in conjunction with the accompanying draft Invitation to Participate in Dialogue, which provides Applicants with appropriate information about the Contracting Authority and the procurement of a development partner for the Project and the selection of organisations to be invited to participate in Competitive Dialogue (CD).
	5. The Contract will be procured using the CD procedure in accordance with Regulation 30 of the Regulations.
	6. This PQQ and Selection Methodology set out the information to be provided by organisations wishing to express an interest and explains the procedure by which expressions of interest will be assessed and by which Applicants will be selected to be invited to participate in the CD. Only those Applicants that are shortlisted through this PQQ process will be issued with an Invitation to Participate in Dialogue (ITPD).
	7. Subject to there being sufficient Applicants qualifying, the Contracting Authority’s intention is to invite approximately 5 Applicants to participate in the CD. 5 Applicants will be invited unless there is a substantial scoring gap between Applicants 4 and 5 or negligible difference between 5 and 6, in which case 4 or 6 may be invited respectively. If there are fewer than 5 Applicants that qualify, the Contracting Authority shall invite the relevant number subject to there being a minimum of 2 Applicants to participate in dialogue. If there are fewer than 2 Applicants that have pre-qualified, the Contracting Authority shall reserve its right to abandon this procurement in accordance with paragraph 7.1 (*General Conditions*).
	8. Following selection of the shortlist, the Contracting Authority will issue the ITPD which is intended to have a return date of approximately 1 April 2016. This will be accompanied by the detailed Instructions for Tendering comprising the volumes of the ITPD being Volume 1 (*Introduction and Overview*), Volume 2 (*Technical Specification*), Volume 3 (*Legal Documentation*) and Volume 4 (*Bid Deliverables and Evaluation*). Following the evaluation of the outline solutions, it is likely that the number of Applicants will be reduced and it is anticipated that dialogue will be continued with 3 Applicants although the Contracting Authority reserves the right not to reduce the number of Applicants involved in the process at this stage or not to reduce the number of Applicants invited to continue dialogue to 3.
	9. Subject to the exercise of the discretions set out in paragraphs 1.7 and 1.8, the Contracting Authority intends to continue detailed dialogue with these the remaining Applicants before closing dialogue and issuing a call for final tenders in approximately July 2016. The Contracting Authority reserves the right to introduce additional dialogue stages throughout the procurement.
	10. Applicants will be given a chance to have discussions with the Contracting Authority prior to submitting their detailed solutions in order to seek clarification of the Contracting Authority’s needs. This process will of course be conducted fairly, transparently and equally and information given to each Applicant may be shared with other Applicants if the information is of general application and not commercially sensitive.
	11. In the event that one or more of the shortlisted Applicants withdraws from the procurement process soon after PQQ, the Contracting Authority reserves the right to go to the next placed Applicant at PQQ (or Applicants as appropriate) to ensure sufficient competition during the ITPD stage is retained (provided always that such Applicant(s) passed the Contracting Authority’s thresholds and Minimum Standards set out in this PQQ).
	12. Applicants are referred to Section 2 (*PQQ Selection Methodology*) of this document which sets out in detail the Selection Methodology to be used by the Contracting Authority to assess Applicants’ responses to this PQQ.
	13. For the purposes of this PQQ, the capitalised words and expressions have the meanings ascribed to them in Appendix B (*Glossary*) unless the context requires otherwise.
2. Background and Structure
	1. The draft Invitation to Participate in Dialogue which accompanies this document gives Applicants a detailed introduction to the Project.
	2. Any Applicant considering making a decision to enter into a contractual relationship with the Contracting Authority following receipt of this PQQ should make their own investigations and their own independent assessment of the Contracting Authority and their requirements for the Contract and should seek their own professional financial and legal advice.
	3. Nothing in this PQQ, the other Procurement Documents or any other document linked to this procurement is, or should be, relied upon as a promise or a representation as to the Contracting Authority’s ultimate decision in relation to the Contract which will depend at least in part on the outcome of discussions with an Applicant.
	4. The Procurement Documents are available through the Runnymede portal.  This is a separate website which can be accessed at [www.runnymede.gov.uk/rrp/data-room](http://www.runnymede.gov.uk/rrp/data-room) which gives full access the Procurement Documents and other relevant documents.  If you experience any technical difficulties please contact by email to RRP@runnymede.gov.uk.

In exceptional circumstances when the use of Runnymede portal is not possible as a result of system unavailability you must contact RRP@runnymede.gov.uk which is the sole point of contact and route for any enquiries by Applicants in relation to this PQQ.

1. Bidding Organisations and Consortiums
	1. The Contracting Authority is keen to ensure that the procurement is open to a wide market and that there is genuine competition. The resources and range of services needed for the Contract are such that the Contracting Authority understands that it may receive applications from:
* A single organisation offering the full services.
* Organisations that may wish to collaborate to form a Consortium (either by forming a separate legal entity or in unincorporated grouping) to contract with the Contracting Authority with or without a variety of Subcontractor(s).
* A Consortium which consists of a Prime Contractor with a variety of Subcontractor(s).
	1. Each organisation that completes a PQQ (whether it is a single organisation or a Consortium) is referred to as an “Applicant”.
	2. If the Applicant completing the PQQ is doing so as part of a proposed Consortium, the following information must be provided with the completed PQQ Response:
		1. names of all Consortium members;
		2. the lead member of the Consortium who will be contractually responsible for delivery of the Contract (if a separate legal entity is not being created); and
		3. if the Consortium is not proposing to form a legal entity, full details of proposed arrangements within a separate Appendix to the PQQ Response.
	3. Applicants should note that the Contracting Authority will require the Consortium to assume a specific legal form if awarded the Contract, to the extent that a specific legal form is deemed by the Contracting Authority as being necessary for the satisfactory performance of the Contract. Consortium members will be required to assume joint and several liability.
	4. Each member of the Consortium will be required to provide the information required in all sections of the PQQ as part of a single composite response to the Contracting Authority i.e. each member of the Consortium is required to complete the PQQ Response.
	5. Where Applicants are proposing to create a separate legal entity, such as a Special Purpose Vehicle (SPV), Applicants should provide details of the actual or proposed percentage shareholding of the constituent members within the new legal entity in a separate Appendix to the PQQ Response.
	6. Where an Applicant expects to rely on the financial standing of a parent or Consortium member, that parent company must be prepared to give a guarantee and the consortium member must be a contractual party with joint and several liability. Without these mechanisms, the Contracting Authority cannot rely on the financial status of that party.
	7. The Contracting Authority recognises that arrangements in relation to a Consortium may be subject to future change. Applicants should therefore respond on the basis of the arrangements as currently envisaged. Applicants are reminded that the Contracting Authority must be immediately notified of any changes, or proposed changes, in relation to the Consortium so that a further assessment can be carried out by applying the selection criteria to the new information provided. The Contracting Authority reserves the right to deselect an Applicant prior to any award of contract, based on an assessment of the updated information.
	8. If an Applicant is unsure how to classify and communicate its contracting arrangements in the PQQ then it should raise a query in accordance with paragraph 9.1 (*Questions about the procurement*).
	9. Where the Applicant proposes to use one or more sub-contractors to deliver some or all of the contract requirements, a separate Appendix should be used to provide details of the proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for.
	10. The Contracting Authority recognises that arrangements in relation to sub-contracting may be subject to future change, and may not be finalised until a later date. However, Applicants should be aware that where information provided to the Contracting Authority indicates that subcontractors are to play a significant role in delivering key contract requirements, any changes to those subcontracting arrangements may affect the ability of the Applicant to proceed with the procurement process or to provide the supplies and/or services required. Applicants should therefore notify the Contracting Authority immediately of any change in the proposed subcontractor arrangements. The Contracting Authority reserves the right to deselect the Applicant prior to any award of contract, based on an assessment of the updated information.
1. The Procurement Timetable
	1. The deadline for submission of completed PQQs is 8 January 2016. The Contracting Authority will not consider any PQQs that are submitted after this time. The deadline for submitting queries in relation to this PQQ is 4 January 2016.
	2. The current programme for the procurement of the Contract is as follows. Dates are for indicative purposes only and may be subject to change:

 **Table 1– Indicative Procurement Programme Timetable**

| **Stage** | **Completion/Target Date** |
| --- | --- |
| **Stage 1: PQQ** |  |
| Issue Contract Notice and the release of PQQ | 25 November 2016 |
| Final Date for Applicant Questions  | 4 January 2016 |
| Final Date for Applicant to Submit PQQ  | 8 January 2016 |
| Conclude PQQ Evaluation  | 22 January 2016 |
| **Stage 1: Competitive Dialogue** |  |
| Issue ITPD | 22 January 2016 |
| First Dialogue Period  | 10 weeks |
| Final Date for Bidders’ Questions | 24 March 2016 |
| Bidders Submit Outline Solutions | 1 April 2016 |
| **Stage 2: Competitive Dialogue** |  |
| Evaluation and Short Listing | 18 April 2016 |
| Issue ITCD | 18 April 2016 |
| Second Dialogue Period | 8 weeks |
| Close of Dialogue | 17 June 2016 |
| **Stage 3: Final Tenders** |  |
| Call for Final Tenders  | 15 July 2016 |
| Final Date for Bidders’ Questions | 29 July 2016 |
| Final Tender Deadline for Submission | 5 August 2016 |
| Selected Bidder Confirmed and Standstill Letters | 21 October 2016 |
| **Stage 4: Contract Commencement** |  |
| Contracts Signed | 30 November 2016 |
| Mobilisation  | 4 January 2017 |

1. The PQQ, Conditions of Participation and General Requirements
	1. Insofar as an expression of interest by an interested Applicant (or subsequently the submission of proposals) made in response to the Contract Notice published in the OJEU, this PQQ and any invitation to participate in dialogue, forms (or is deemed to form) a contractual relationship between the Contracting Authority and that Applicant governing the relationship of the parties during this procurement process until an award is made (if any), the terms and conditions of such contract shall be as expressly set out in the Contract Notice published in the OJEU, the PQQ or the Procurement Documents together with the Regulations. The Regulations, the Contract Notice published in the OJEU, the PQQ and the Procurement Documents form the entire agreement between the parties relating to the procurement process and the submission of expressions of interest and/or detailed proposals and there shall not be implied into any such contract any further terms, obligations or restrictions on the Contracting Authority.
	2. **Please be aware that the Contracting Authority can only make its assessment from the information you supply. It is therefore essential that you answer all questions in this PQQ as indicated and that all information requested is submitted in full.** If a question is not applicable, it should be stated in the relevant box and an explanation included as to why it is not applicable. For example, it is recognised in Consortium/Prime Contractor applications that each Consortium member/Subcontractor may not be able to give all of the information requested because it does not have the relevant experience. In this case, it should be specified in the response which of the relevant organisations is providing that information. A common reason why respondents to PQQs fail to progress through the PQQ process is due to incomplete information, inappropriate references, unsubstantiated statements or information presented in a manner not reasonably obvious to the assessors.
	3. The response to each question must be inserted into the relevant response box for each question. For example, if there is a word limit specified of 2000 words for a response and the submission contained within a response box exceeds 2000 words the Contracting Authority will assess only up to and including the 2000 word limit. Any text above the word limit specified for each question may be disregarded and not taken into account. Please note that in response to Question 6.4 it is expected that Applicants provide up to a 500 word description for each contract mentioned as opposed to up to 500 words to cover all three contracts.
	4. If additional information is to be appended to the PQQ as a means of providing supporting evidence, it must be clearly referenced within the relevant response box. Such additional information should be cross-referenced to the particular question to which it relates. Please put your organisation’s name on each additional sheet and provide a summary list of all attachments accompanying the completed questionnaire (Appendix A (*PQQ Checklist of Items to be Returned*)). For the avoidance of doubt the definition of additional information as it relates to this PQQ refers to pre-published organisational policies and procedures which are deemed relevant to the question unless expressly stated otherwise within the question itself. The Contracting Authority reserves the right to disregard any supporting information which it considers has been submitted to circumvent the word limit within the response box.
	5. Applicants must not make any alterations to the form of the questions asked or to the structure of the PQQ document i.e. the sequence of questions must be maintained.
	6. Applicants outside England and Wales are advised that a number of the questions refer to standards and legislation relevant to this jurisdiction. In each of these cases, the Applicant is invited to submit its home country’s equivalent standard or legislation as necessary, and provide a commentary on the comparability with that requested.
	7. Please do not:
* Include any promotional literature or cross-reference to any web-based material.
* Provide any information other than that requested as the Contracting Authority will not consider it as part of the assessment process.
* Make any alterations to the form or the questions asked. For the avoidance of doubt, returned questionnaires may not be evaluated if they are in any form other than that required.
* Provide any information other than that required as a means to providing an answer since the Contracting Authority may not consider it as part of its assessment of PQQ Responses.
* Exceed the word limits for each question set out in the PQQ, as any element of responses in excess of these limits may be disregarded in the assessment.
	1. Please ensure:
* You read all parts of this questionnaire to ensure you are capable of fulfilling all of the requirements.
* You complete the PQQ and supporting information in English.
* **You submit 4 hard copies and 1 copy in electronic format** on a memory stick submitted with the hard copies. Memory sticks should be virus scanned and correctly formatted with a contents page and list of all files to provide ease of navigation through the files.
* **In the event of discrepancy, the hard copy will take precedence**.
* Your PQQ Responses is **contained** **in a plain sealed envelope or box** bearing the following words:

“**CONFIDENTIAL – PQQ Response for the Runnymede Regeneration Programme**

**OJEU REFERENCE NUMBER: [*Please insert the reference number*]**”

The envelope must not bear any name or mark (including a franking mark) indicating who the sender or Bidder is.

* Hard copy responses are sent to:

**Democratic Services**

**Runnymede Borough Council**

**Station Road**

**Addlestone.**

**Surrey KT15 2AH**

**PQQ Responses by: 13:00 hours on 8 January 2016**

* All responses to this PQQ must be compatible with Microsoft Word/Microsoft Excel and/or Adobe Reader.
* Completed PQQs received after the submission deadline will not be considered and will be rejected.
* All your answers and information provided is clear, concise and provided in a logical manner and at the appropriate points within the document. Cross-referencing and reliance on attachments (other than where specifically requested) should be avoided.
* Please complete the checklist at Appendix A (*PQQ Checklist of Items to be* Returned) to ensure that all of the information required has been provided. Applicants must also list in the designated column of the checklist the specific file name of any relevant attachment accompanying the PQQ.
1. Changes to the Information Supplied
	1. Applicants must note that if any of the information supplied in response to the PQQ changes at any subsequent stage in the procurement process, the Applicant is required to notify the Contracting Authority accordingly. In the case of a Consortium, including a Prime Contractor submission, it is the responsibility of the Lead Applicant to send the information to the Contracting Authority.
	2. The Contracting Authority reserves the right to exclude an Applicant at any step of the PQQ process if it fails to satisfy the Minimum Standards (or having satisfied the Minimum Standards, circumstances change and it no longer satisfies the Minimum Standards) for any criterion. In addition, the Contracting Authority reserves the right to exclude an Applicant during the further stages of the CD if it no longer satisfies the Minimum Standards for any criterion. During the procurement process, Applicants will be required to confirm to the Contracting Authority:
* Whenever there is a proposed change in a Consortium structure or other material change, for example, a change in a Subcontractor; and
* At each bid stage that there has been no material change to the information provided to the Contracting Authority at the PQQ stage.
1. General Conditions
	1. The Contracting Authority reserves the right to:
* Cancel the PQQ at any step and the selection process at any stage;
* Require an Applicant to clarify its response in writing and/or provide additional information (the Contracting Authority reserves the right to reject or disqualify an Applicant which fails to respond to any such request adequately or by the deadline set by the Contracting Authority);
* Amend the terms, conditions and/or requirements of the PQQ/selection process;
* Abandon or recommence this procurement at any stage.
	1. The Contracting Authority is concerned to avoid conflicts of interest and any undue influence which may arise as a result of such conflicts. In particular, a conflict of interest may arise where:
* An Applicant/Lead Applicant and/or Consortium member/Subcontractor has been involved in advising the Contracting Authority on matters relating to the Contract or in the preparation of documents or information relating to the Contract;
* A director, company secretary, or a staff member from an Applicant, Lead Applicant and/or Consortium member/Subcontractor is related to one of the Contracting Authority’s officers or is a member or related to a member of the Contracting Authority. Such a relationship may not create a conflict of interest if it is declared as part of the PQQ response, and can therefore be managed by the Contracting Authority in an open and transparent way.
	1. Applicants should note that the Contracting Authority reserves the right at its sole discretion to disqualify or reject Applicants where there is undue influence as a result of an actual or potential conflict of interest involving the Applicant (and/or its associated Consortium members/ Subcontractors). Applicants are therefore advised to review carefully the prior or current involvement of the Applicant, Consortium members and Subcontractors with the Contracting Authority and to contact the Contracting Authority (as relevant) prior to submission of the completed PQQ to discuss any actual or potential conflicts they have identified.
	2. Any Applicant or any person employed by the Applicant, whether or not to the Applicant’s knowledge, who, in connection with this procurement and/or the potential contract(s):
* offers any inducement, fee or reward to any member or officer of the Contracting Authority or any person acting as an advisor for the Contracting Authority in connection with the procurement and/or the potential contract(s); and/or
* does anything which would constitute a breach of the Bribery Act 2010; and/or
* canvasses any of the persons associated with the Contract or / and this procurement process in connection with the procurement and/or the potential contract; and/or
* contacts any officer of the Contracting Authority prior to the contract being awarded about any aspect of the Contract in a manner not permitted by this PQQ (including without limitation a contact for the purposes of discussing the possible transfer to the employment of the Applicant of such officer for the purpose of the procurement and/or the potential contract),

will be disqualified (without prejudice to any other civil remedies available to the Contracting Authority and without prejudice to any criminal liability which such conduct by an Applicant may attract).

* 1. Any Applicant which, in connection with this procurement and/or the potential contract(s) colludes with another Applicant with a view to disrupting the fairness and competitiveness of the procurement process will be disqualified (without prejudice to any other civil remedies available to the Contracting Authority and without prejudice to any criminal liability that such conduct by an Applicant may attract).
	2. The copyright in this PQQ (save for elements taken from the Standardised Pre-Qualification Questionnaire as published by the Crown Commercial Service) is vested in the Contracting Authority. This PQQ shall not, either in whole or part, be reproduced, copied, distributed, stored in any medium or otherwise made available to any other party in any circumstances, for any other purpose than that for which it is intended, without the prior written consent of the Contracting Authority. This PQQ and any document issued to supplement it, is and shall remain the property of the Contracting Authority and must be returned upon demand.
	3. Applicants shall not undertake (or permit to be undertaken) at any time, whether at this PQQ stage, any other stage of the procurement process, or after any contract award, any publicity activity with any section of the media in relation to the Contract other than with the prior written agreement of the Contracting Authority. Such agreement shall extend to the content of any publicity. In this paragraph the word ‘media’ includes (but without limitation) radio, television, newspapers, trade and specialist press, the internet and email accessible by the public at large and the representatives of such media.
	4. The Contracting Authority is committed to genuine competition. Accordingly, any Applicant who submits more than one PQQ will have all of its PQQ submissions rejected. This includes but is not limited to:
		1. an Applicant who submits a PQQ in its own name and in the name of one of its group companies (parent or subsidiary);
		2. an Applicant who submits a PQQ in its own name as well as a PQQ as part of a Consortium (including being named as a member of any Consortium bid); and
		3. an Applicant who submits a PQQ in its own name as well as being named as a Subcontractor in a Prime Contractor PQQ.

In all cases, every PQQ submitted by the Applicant will be rejected in its entirety, which will include rejection of all members of the Consortium/Prime Contractor submission.

* 1. The Contracting Authority reserves the right at its sole discretion to disqualify or reject an Applicant where:
* The Applicant fails to comply with the requirements and conditions of the Contracting Authority set out in the PQQ; or
* The Applicant (or, where relevant, the Lead Applicant (and Consortium members/Subcontractor(s)) is guilty of a serious misrepresentation in relation to its application and/or the procurement process; or
* There is a change in identity, control, financial standing or other factor impacting on the selection and/or evaluation process affecting the Applicant (or, where relevant, the Lead Applicant and Consortium members/Subcontractor(s)).
	1. Whilst reserving the right to request information at any time throughout the procurement process, the Contracting Authority may enable the Applicant to self-certify that there are no mandatory/ discretionary grounds for excluding their organisation. When requesting evidence that the Applicant can meet the specified requirements (such as the questions in Question 7 of this PQQ relating to Technical and Professional Ability) the authority may only obtain such evidence after the final tender evaluation decision i.e. from the winning Applicant only.
1. Disclosure of Information
	1. The Contracting Authority is subject to the requirements of the Freedom of Information Act 2000 ("FOIA") and the Environmental Information Regulations 2004 ("EIR"), the subordinate legislation made under the FOIA/EIR Regulations and any guidance and/or codes of practice issued (from time to time) in relation to such legislation. Applicants should be aware of the Contracting Authority’s obligations and responsibilities under the FOIA and EIR Regulations to disclose, on written request, recorded information held by the Contracting Authority. Information provided by Applicants in connection with the Contract and the procurement, or with any contract that may be awarded as a result of this procurement, may therefore have to be disclosed by the Contracting Authority in response to such a request, unless the Contracting Authority decides that one of the statutory exemptions under the FOIA and/or the EIR Regulations applies.
	2. Applicants should also note that in accordance with the Audit Commission Act 1998, the Contracting Authority may be obliged to disclose all books, deeds, contracts, bills, vouchers and receipts which relate to payments relating to the Contract which appear in the audited accounts. This might include information which the Applicant considers is commercially sensitive information.
	3. Applicants may provide information to the Contracting Authority in connection with this procurement, or with any contract that may be awarded as a result of this procurement, which is commercially sensitive andconfidential in nature and which Applicants may wish to be held in confidence. **Applicants must clearly indicate by highlighting specific text, figures and diagrams, etc., which parts of their PQQ submission are to be considered commercially sensitive and confidential and why they are considered to be so, along with the time period for which they will remain confidential in nature.** The use of blanket protective markings such as ‘commercial in confidence’ will not be acceptable. In addition, marking any material as commercially sensitive andconfidential or equivalent should not be taken to mean that the Contracting Authority accepts any duty of confidentiality by virtue of such marking. It should be noted that even where Applicants have indicated that information is confidential the Contracting Authority may be required to disclose it under the FOIA and/or the EIR Regulations if a request is received.
	4. In certain circumstances, and in accordance with the Code of Practice issued under section 45 of the FOIA or the EIR 2004, the Contracting Authority may consider it appropriate to ask Applicants for their views as to the release of any information before a decision on how to respond to a request is made. In dealing with requests for information under the FOIA, the Contracting Authority must comply with a strict timetable and the Contracting Authority would, therefore, expect a timely response to any consultation within two working days.
	5. The decision as to which information will be disclosed is reserved to the Contracting Authority, notwithstanding any consultation with Applicants.
	6. When providing details of contracts in answering Question 6 of this PQQ (Technical and Professional Ability), the Applicant agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.
	7. The Contracting Authority reserves the right to contact the named customer contact in Question 6 regarding the contracts included in Question 6. The named customer contact does not owe the authority any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.
	8. The Contracting Authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Crown Commercial Service and/or contracting authorities defined by the Public Contract Regulations.
2. Questions about the Procurement
	1. If you have any questions about completing the PQQ please submit them by email to RRP@runnymede.gov.uk to arrive no later than 4 January 2016. The Contracting Authority may not respond to questions received after this date. The Contracting Authority will seek to respond to queries within 5 working days.
	2. The replies to any questions that the Contracting Authority deems to be of general relevance to all organisations which have requested a PQQ will be circulated suitably anonymised to all such organisations. Applicants must clearly indicate, when submitting a question, which (if any) part of their question they view as confidential and applicable only to the Applicant submitting the question. If the Contracting Authority does not agree that the question is confidential and applicable only to the Applicant, the Applicant will be given the right to withdraw the question without it being answered.
3. Not used
4. Debrief
	1. Each unsuccessful Applicant will be afforded an opportunity to receive a debrief on their response to the PQQ and on the reasons they have been unsuccessful (if applicable). This will be in writing only. The Contracting Authority has no obligation to offer de-brief meetings and reserves the right to deny any such request.
5. Accuracy of the Information Supplied
	1. The information contained within and supplied with this PQQ and the Technical Specification has been prepared by the Contracting Authority in good faith but does not purport to be accurate, complete and exhaustive or to have been independently verified nor to contain all of the information that a prospective Applicant may require.
	2. Applicants should not rely on the information supplied and should carry out their own due diligence checks and verify the accuracy of the information provided by the Contracting Authority. No information is warranted by the Contracting Authority or its advisers nor shall any information be deemed a promise or representation as to the future. Applicants shall further be deemed to have carried out all necessary research, investigations and due diligence and all necessary enquiries in order to have satisfied themselves as to the nature, extent, volume and requirements of the Contract and any other matter which may their responses to this PQQ.
	3. The Contracting Authority does not and its directors, officers, members, partners, employees, staff, agents or advisors do not:
* make any representation or warranty (express or implied) as to, or accept any liability or responsibility in relation to, the adequacy, accuracy, reasonableness or completeness of the information provided or any part of it (including but not limited to loss or damage arising as a result of reliance by the Applicant on the information); Applicants should make their own investigations and their own independent assessment of the resources required for the commercial risk associated with the Contract and should seek their own professional technical, financial and legal advice;
* accept any responsibility for the information contained in the Technical Specification or for its accuracy or completeness, or at any other stage of the procurement process leading up to the execution of the Contract, nor shall any of them be liable for any loss, damage or expense (other than in respect of fraudulent misrepresentation) arising as a result of reliance on such information or any subsequent communication. Only the express terms of any written contract relating to the subject matter of this procurement, as and when it is executed shall have any contractual effect in connection with the matters to which it relates;
* accept liability for any costs incurred by any Applicant responding to the PQQ, whether incurred by them directly or their advisers or subcontractors. This applies whether or not an Applicant is successful and whether the procurement reaches a conclusion, however many stages it involves or if it is abandoned or recommenced.
	1. Applicants considering entering into a contractual relationship with the Contracting Authority should make their own enquiries and investigations of the Contracting Authority’s requirements beforehand.
	2. The Contracting Authority makes no representations or warranties regarding the Applicant’s financial status or stability, technical competence or ability in any way to carry out the Contract.
1. Costs and Expenses
	1. All Applicants are solely responsible for their costs and expenses incurred in connection with the preparation and submission of the PQQ, dialogue and all future stages of the selection and evaluation process. Under no circumstances will the Contracting Authority, or any of its advisers, be liable for any costs or expenses borne by the Applicant or its associated relevant organisations or any of its advisers in this process whether the Applicant is successful or otherwise and nor if the procurement is abandoned, amended, cancelled aborted or re-procured.

# Section 2 PQQ Selection Methodology

1. Overall Assessment
	1. The PQQ questions in Section 3 (*Questionnaire*) are designed to enable the Contracting Authority to make an assessment as to the suitability of an Applicant to be invited to participate in dialogue.
	2. The Contracting Authority will assess PQQ Responses in three stages:
		1. First a compliance check will be undertaken to ensure PQQ Responses are complete and have been completed and submitted in accordance with the instructions in this PQQ. Applicants may be rejected at this stage if the PQQ Response is not compliant or the Contracting Authority may clarify the PQQ Response if appropriate to do so;
		2. Compliant PQQ Responses will then be assessed against the Minimum Standards described in this Section 2 (*PQQ Selection Methodology*) below for PQQ Questions 1 to 7 excluding Questions 6.4, 6.5 (where applicable), 7A and 7F. Applicants may be rejected at this stage if the PQQ Response does not pass one or more of the PQQ Questions 1 to 7 excluding Questions 6.4, 6.5 (where applicable), 7A and 7F.
		3. PQQ Responses that satisfy the Minimum Standards for PQQ Questions 1 to 7 but excluding Questions 6.4, 6.5 (where applicable), 7A and 7F will then be assessed in accordance with the scoring methodology described in paragraphs 26 and 27 for PQQ Questions 6.4, 6.5 (where applicable), 7A and 7F. PQQ Responses to PQQ Questions 6.4, 6.5 (where applicable), 7A and 7F will be scored on the basis set out in paragraph 27 and then the weightings set out for PQQ Questions 6.4, 7A and 7E will be applied. The top achievable weighted score is 100. Applicants will be ranked and provided that there are sufficient numbers of compliant PQQ Responses that pass the Minimum Standards in PQQ Questions 1 to 7 excluding Questions 6.4, 6.5 (where applicable), 7A and 7F, the Contracting Authority intends to invite the top 5 scoring Applicants to participate in dialogue (as described in paragraph 1.7 (*Purpose*) above).
2. Question 1 – Supplier Information – pass/fail
	1. Applicants must complete and as applicable pass Question 1 (*Supplier information*) in Section 3 (*Questionnaire*).
	2. Question 1 is assessed on a pass/fail basis. Applicants are required to pass Question 1 in order for their responses to be considered further by the Contracting Authority.
	3. In order to pass Question 1, Applicants must provide all of the information required in PQQ Question 1 and pass the Contracting Authority’s Minimum Standards for Question 1 described in the table below. Any Applicant who fails to provide all of the information required or who fails to satisfy the Minimum Standard may be rejected, at the discretion of the Contracting Authority.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Questions 1.1-1.4 | **Pass/Fail**Applicants must provide all of the information required. Any Applicant who fails to provide all of the information required will, at the discretion of the Contracting Authority have been deemed to fail. |

1. Question 2 - Grounds for mandatory rejection – pass/fail
	1. Applicants must complete Question 2 (*Grounds for mandatory rejection*) in Section 3 (*Questionnaire*).
	2. Question 2 is assessed on a pass/fail basis. Applicants are required to pass Question 2 in order for their PQQ Response to be considered further by the Contracting Authority.
	3. In order to pass Question 2, Applicants must provide all of the information required in Section 3 (*Questionnaire*)Question 2 and pass the Contracting Authority’s Minimum Standards for Question 2 described in the table below. Any Applicant who fails to satisfy the Minimum Standard will be rejected.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 2.1 | **Pass/Fail**Applicants must certify that they are not ineligible for selection pursuant to Public Contracts Regulations 2015 and that they have not been convicted of any of the offence listed in Regulation 57(1).You will be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).If you answer ‘yes’ to any question in this section, and convictions within this definition have occurred in the last 5 years your application will not be accepted; you should contact us for advice before completing this form.Any Applicant that answers ‘yes’ to question 2.1 should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. The Applicant has to demonstrate it has taken such remedial action, to the satisfaction of the Contracting Authority in each case.If such evidence is considered by the Contracting Authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.In order for the evidence referred to above to be sufficient, the Applicant shall, as a minimum, prove that it has:● paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;● clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and● taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.The measures taken by the Applicant shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Contracting Authority to be insufficient, the Applicant shall be given a statement of the reasons for that decision. |
| Question 2.2 | Any Applicant that answers ‘yes’ to question 2.2 should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. The Applicant has to demonstrate it has taken such remedial action, to the satisfaction of the Contracting Authority in each case.If such evidence is considered by the Contracting Authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.In order for the evidence referred to above to be sufficient, the Applicant shall, as a minimum, prove that it has:● paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;● clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and● taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.The measures taken by the Applicant shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Contracting Authority to be insufficient, the Applicant shall be given a statement of the reasons for that decision. |

1. Question 3 – Grounds for discretionary exclusion – Part 1 – pass/fail
	1. Question 3 (*Grounds for Discretionary Exclusion - Part 1*)is also scored on a pass/fail basis. Applicants are required to pass every question in Section 3 (*Questionnaire*)Question 3 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude an Applicant from the procurement if the Applicant answers ‘yes’ to any of the questions in Question 3 and the rejection event has occurred in the last three years but may decide, having considered all the relevant circumstances, to allow the Applicant to proceed further.
	2. Applicants answering ‘yes’ to any question have the opportunity to provide evidence of “self-cleaning” within the Public Contracts Regulations 2015. Should an Applicant provide sufficient evidence that robust remedial action has taken place subsequently which prevents a re-occurrence of the offence or misdeed, then the Contracting Authority will evaluate this evidence before making a decision on whether to exclude the Applicant.
	3. The Contracting Authority is also entitled to exclude an Applicant in the event that the Applicant is guilty of serious misrepresentation in providing any information referred to within the Public Contracts Regulations 2015 or if the Applicant fails to provide any such information requested by the Contracting Authority.
	4. Minimum Standards for Section 3 (*Questionnaire*)Question 3 are set out in the table below.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 3 | **Pass/Fail**The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to any of the questions in this section but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to any question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. The Contracting Authority is also entitled to exclude you in the event that you are guilty of serious misrepresentation in providing any information referred to within the Regulations of the Public Contracts Regulations 2015 or you fail to provide any such information requested by us.Applicants answering ‘yes’ to any question have the opportunity to provide evidence of “self-cleaning” within the Public Contracts Regulations 2015. Should an Applicant provide sufficient evidence that robust remedial action has taken place subsequently which prevents a re-occurrence of the offence or misdeed, then the Contracting Authority will evaluate this evidence before making a decision on whether to exclude you.If such evidence is considered by the Contracting Authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.In order for the evidence referred to above to be sufficient, the Applicant shall, as a minimum, prove that it has;● paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;● clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and● taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.The measures taken by the Applicant shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Contracting Authority to be insufficient, the Applicant shall be given a statement of the reasons for that decision. |

1. Question 4 – Grounds for discretionary exclusion – Part 2 - pass/fail
	1. Question 4 (*Grounds for Discretionary Exclusion - Part 2*)is also scored on a pass/fail basis. Applicants are required to pass every question in Section 3 (*Questionnaire*)Question 4 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority reserves the right to use its discretion to exclude an Applicant where it can demonstrate the Applicant’s non-payment of taxes/social security contributions where no binding legal decision has been taken. If you answer ‘yes’ to any question, Applicants should set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude the Applicant.
	2. The Contracting Authority is also entitled to exclude an Applicant in the event that the Applicant is guilty of serious misrepresentation in providing any information referred to within the Public Contracts Regulations 2015 or if the Applicant fails to provide any such information requested by the Contracting Authority.
	3. Minimum Standards for Section 3 (*Questionnaire*)Question 4 are set out in the table below.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 4 | **Pass/Fail**The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to any of the questions in this section but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to any question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. The Contracting Authority is also entitled to exclude you in the event that you are guilty of serious misrepresentation in providing any information referred to within the Regulations of the Public Contracts Regulations 2015 or you fail to provide any such information requested by us.Applicants answering ‘yes’ to any question have the opportunity to provide evidence of “self-cleaning” within the Public Contracts Regulations 2015. Should an Applicant provide sufficient evidence that robust remedial action has taken place subsequently which prevents a re-occurrence of the offence or misdeed, then the Contracting Authority will evaluate this evidence before making a decision on whether to exclude you.If answering “Yes” to either 4.1 or 4.2 above, the Applicant may provide details of any mitigating factors that it considers relevant and that it wishes the authority to take into consideration.  This could include, for example: * + Corrective action undertaken by the Applicant to date;
	+ Planned corrective action to be taken;
	+ Changes in personnel or ownership since the Occasion of Non-Compliance (OONC and as defined in Question 5); or
	+ Changes in financial, accounting, audit or management procedures since the OONC.

In order that the authority can consider any factors raised by the Applicant, the following information should be provided:* A brief description of the occasion, the tax to which it applied, and the type of “non-compliance” e.g. whether HMRC or the foreign Tax Authority has challenged pursuant to the GAAR, the “Halifax” abuse principle etc.
* Where the OONC relates to a DOTAS, the number of the relevant scheme.
* The date of the original “non-compliance” and the date of any judgement against the Applicant, or date when the return was amended.
* The level of any penalty or criminal conviction applied.
 |

1. Question 5 – Economic and Financial Standing – pass/fail
	1. Question 5 (*Economic and Financial* Standing) is assessed on a pass/fail basis. Applicants are required to pass Section 3 (*Questionnaire*)Question 5 in order for their responses to be considered further by the Contracting Authority.
	2. In order to pass Question 5, Applicants must provide all of the information required. Any Applicant who fails to provide all of the information required will, at the discretion of the Contracting Authority have been deemed to fail.
	3. In order to pass Question 5 Applicants must provide all of the information required in Section 3 (*Questionnaire*) Question 5 and pass the Contracting Authority’s Minimum Standards for Question 5 described in the table below. Any Applicant who fails to provide all of the information required or who fails to satisfy the Minimum Standards may be rejected, at the discretion of the Contracting Authority.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Questions 5.1 – 5.3 | Turnover Threshold - Pass/FailApplicants must provide all of the information required. Any Applicant who fails to provide all of the information required will, at the discretion of the Contracting Authority have been deemed to fail. |
| Question 5.1 | Pass/Fail1. An Applicant must have a 2-year mean average turnover (based on information supplied in its PQQ Response) which is equal to or exceeds £75 million (‘Turnover Threshold’).
2. This Turnover Threshold is set to ensure that providing the services will not excessively dominate the existing business of any Applicant. Where an Applicant cannot meet the Turnover Threshold, letters of support from its parent company (or, in the case of a group, including Prime Contractor bids, parent companies of the Lead Applicant and/or relevant group member/significant sub-contractor) that can meet the Turnover Threshold may be deemed sufficient. It may be appropriate to review the financial information presented from an organisation’s parent or guarantor company depending on the Applicant’s response to Question 5.2.
3. Applicants are directed to the information in paragraphs (d)-(f) below regarding what has to satisfy this requirement depending on whether the Applicant is a single organisation or a group (with or without significant sub-contractor(s)).

For the avoidance of doubt, where an Applicant is constituted by way of: 1. a single organisation, the single organisation must pass the Turnover Threshold;
2. a group (i.e. two or more persons, at least one of whom is an economic operator, acting jointly for the purpose of being awarded a public contract) the group must pass the Turnover Threshold. In order to calculate whether a group passes the Turnover Threshold the 2-year mean average turnover for the Lead Applicant and every other member of the group (based on information provided in their PQQ Response) will be calculated and for each of them, multiplied by their (actual or anticipated) percentage equity stake (as identified in response to Question 1.2 in their PQQ Response) in the legal entity to be formed to deliver the services with the totals then to be added together. It is this combined figure that will need to pass the Turnover Threshold; or
3. a Prime Contractor with significant sub-contractors, the Prime Contractor with any significant subcontractor(s) must pass the Turnover Threshold. In order to calculate whether a Prime Contractor with any significant subcontractor(s) passes the Turnover Threshold, the 2-year mean average turnover for the Prime Contractor and every other significant subcontractor will be calculated and for each of them, multiplied by their (actual or anticipated) percentage of the Turnover Threshold (as identified in response to Question 1.2) and the totals will then be added together. It is this combined figure that will need to pass the Turnover Threshold.

In order to determine if each Applicant (in accordance with paragraph a) satisfies the Turnover Threshold the Contracting Authority will use the information provided by the Applicants in response to questions in Section 3 (Questionnaire) of the PQQ. Only those Applicants that satisfy the Turnover Threshold will then be subject to the Financial Risk Assessment, save at the discretion of the Contracting Authority where the Contracting Authority determines, acting reasonably, that the Turnover Threshold is not satisfied for good reason (by way of example this may be where the Applicant has not been trading for two years, the Applicant may submit an average expressed over the maximum available period with an explanation as to why the trend will continue).Where an Applicant does not pass the Turnover Threshold, the Applicant will be deemed to have failed Question 5.1, unless the Applicant has, in the reasonable opinion of, and at the discretion of the Contracting Authority, only narrowly missed passing the Turnover Threshold.  |
| Question 5.2 | **Financial Risk Assessment Pass/Fail** **An Applicant must be able to evidence that it satisfies at least two of the tests set out below:** 1. it has made a gross profit for the last two financial years (based on information supplied in its PQQ Response) as disclosed in the two years’ audited accounts;
2. it has a Current Ratio (defined below) which is not less than 0.75 in the audited accounts for the latest financial year, where:

Current Ratio = Current Assets divided by Current Liabilities, expressed to 2 decimal places (do not express as a percentage); For the definitions of Current Assets and Current Liabilities please use latest accounting standards i.e. FRC/UK or GAAP/ICAEW.1. it has a Gross Profit Margin (defined below) which is in excess of 10% as disclosed in each of the two years’ audited accounts, where:

Gross Profit Margin = Gross Profit divided by Turnover, expressed as a percentage to one decimal place.For the definitions of Gross Profit and Turnover please use latest accounting standards i.e. FRC/UK or GAAP/ICAEW.Robust financial standing is especially important and the Contracting Authority does not consider it disproportionate to fail an Applicant unless it passes the Turnover Test and at least two of the other tests set out in paragraphs a-c above OR alternatively it has good reason for failing the turnover tests and passes all three of the tests set out in paragraphs a-c above. The Contracting Authority is not seeking to discourage SMEs or start ups from participating in this contract opportunity and indeed the turnover thresholds have been set well below twice the contract value. However this is a resource intensive service and too big and significant service to risk and SMEs who do not pass these tests should consider instead joining forces with each other or provide subcontracting services.If the Applicant has not satisfied the Turnover Threshold, but the Contracting Authority has exercised its discretion in accordance with (but not limited to) the last two paragraphs at Question 5.1 above to consider whether the Applicant passes the Financial Risk Assessment, the Applicant must satisfy each of the three criteria set out at Question 5.2 to pass both Question 5.1 and Question 5.2. |
| Question 5.3 | **Pass/Fail**Applicants must provide all of the information required. Any Applicant who fails to provide all of the information required will, at the discretion of the Contracting Authority have been deemed to fail. |

1. Question 6 Technical and Professional Ability – score and ranking
	1. Questions 6.1 to 6.3 will be scored on a pass/fail basis. The Contracting Authority is entitled to exclude an Applicant from the procurement exercise if the Applicant fails to answer any of Questions 6.1 to 6.3 but may decide, having considered all the relevant circumstances, to allow the Applicant to proceed further if there is sufficient information in the remainder of the response to Question 6 to enable the Contracting Authority to assess the Applicant’s technical and professional ability.
	2. Applicants who pass Section 3 (*Questionnaire*)Questions 1 to 6.3 and 7B to 7E will then be assessed and scored on thebasis of their responses to Section 3 (*Questionnaire*) Questions 6.4, 6.5 (where applicable), 7A and 7F**.** These questions will be scored as set out in paragraph 26 below.
2. Question 7A – Project specific questions to assess Technical and Professional Ability
	1. Applicants who pass Section 3 (Questionnaire) Questions 1 to 6.3 and 7B to 7E will then be assessed and scored on the basis of their responses to Section 3 (Questionnaire) Questions 6.4, 6.5 (where applicable), 7A and 7F. These questions will be scored as set out in paragraph 27 below.
3. Question 7B – Insurance – pass/fail
	1. Question 7B (Insurance) is assessed on a pass/fail basis. Applicants are required to pass Section 3 (*Questionnaire*)Question 7B in order for their responses to be considered further by the Contracting Authority.
	2. In order to pass Question 7B Applicants must provide all of the information required in Section 3 (*Questionnaire*) Question 7B and pass the Contracting Authority’s Minimum Standards for Question 7B described in the table below. Any Applicant who fails to provide all of the information required or who fails to satisfy the Minimum Standards may be rejected, at the discretion of the Contracting Authority.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 7B | Pass/FailApplicants must certify that they have, or can commit to obtain prior to the commencement of the Contract, the levels of insurance cover outlined in Question 7B. |

1. Question 7C – Compliance with equality legislation – pass/fail
	1. Question 7C (*Compliance with Equality Legislation*) is assessed on a pass/fail basis. All Applicants are required to pass Question 7C in order for their responses to be considered further by the Contracting Authority.
	2. In order to pass Question 7C, Applicants must provide all of the information required in Section 3 (*Questionnaire*)Question 7C and pass the Contracting Authority’s Minimum Standards for Question 7C described in the table below. Any Applicant who fails to provide all of the information required or who fails to satisfy the Minimum Standard may be rejected, at the discretion of the Contracting Authority.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 7C.1 | **Pass/Fail**Applicants are required to pass Question 7C.1 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to Question 7C.1 but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to this question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. |
| Question 7C.2 | **Pass/Fail**Applicants are required to pass Question 7C.2 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to Question 7C.2 but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to this question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. |
| Question 7C.3 | **Pass/Fail**Applicants are required to pass Question 7C.3 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘no’ to Question 7C.3 but may decide, having considered all the relevant circumstances, to allow you to proceed further. |

1. Question 7D – Environmental Management – pass/fail
	1. Question 7D (*Compliance with Equality Legislation*) is assessed on a pass/fail basis. All Applicants are required to pass Question 7D in order for their responses to be considered further by the Contracting Authority.
	2. In order to pass Question 7D, Applicants must provide all of the information required in Section 3 (*Questionnaire*)Question 7D and pass the Contracting Authority’s Minimum Standards for Question 7D described in the table below. Any Applicant who fails to provide all of the information required or who fails to satisfy the Minimum Standard may be rejected, at the discretion of the Contracting Authority.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 7D.1 | **Pass/Fail**Applicants are required to pass Question 7D.1 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to Question 7D but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to this question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. |
| Question 7D.2 | Applicants are required to pass Question 7D.2 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘no’ to Question 7D.2 but may decide, having considered all the relevant circumstances, to allow you to proceed further. |

1. Question 7E – Health and Safety – pass/fail
	1. Question 7E (*Compliance with Equality Legislation*) is assessed on a pass/fail basis. All Applicants are required to pass Question 7E in order for their responses to be considered further by the Contracting Authority.
	2. In order to pass Question 7E, Applicants must provide all of the information required in Section 3 (*Questionnaire*)Question 7E and pass the Contracting Authority’s Minimum Standards for Question 7E described in the table below. Any Applicant who fails to provide all of the information required or who fails to satisfy the Minimum Standard may be rejected, at the discretion of the Contracting Authority.

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| **Criteria**  | **Minimum Standard and method of assessment** |
| Question 7E.1 | Applicants are required to pass Question 7E.1 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘no’ to Question 7E.1 but may decide, having considered all the relevant circumstances, to allow you to proceed further. |
| Question 7E.2 | **Pass/Fail**Applicants are required to pass Question 7E.2 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to Question 7E.2 but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to this question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. |
| Question 7E.3 | Applicants are required to pass Question 7E.3 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘no’ to Question 7E.3 but may decide, having considered all the relevant circumstances, to allow you to proceed further. |
| Question 7E.4 | **Pass/Fail**Applicants are required to pass Question 7E.4 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘yes’ to Question 7E.4 but may decide, having considered all the relevant circumstances, to allow you to proceed further. If you answer ‘yes’ to this question, please set out (in a separate Appendix) full details of the relevant incident and any remedial action taken subsequently. The Contracting Authority will evaluate this evidence before making a decision on whether to exclude you. |
| Question 7E.5 | **Pass/Fail**Applicants are required to pass Question 7E.5 in order for their responses to be considered further by the Contracting Authority. The Contracting Authority is entitled to exclude you from the procurement exercise if you answer ‘no’ to Question 7E.5 but may decide, having considered all the relevant circumstances, to allow you to proceed further. |

1. Question 7F – Employment and Skills
	1. Applicants who pass Section 3 (Questionnaire) Questions 1 to 6.3 and 7B to 7E will then be assessed and scored on the basis of their responses to Section 3 (Questionnaire) Questions 6.4, 6.5 (where applicable), 7A and 7F. These questions will be scored as set out in paragraph 27 below.
2. Scoring System – Questions 6.4, 7A and 7F
	1. Questions in Question 6.4, 7A and 7F are weighted in accordance with the stated weightings for Question 6.4, Question 7A and Question 7F of Section 3 (*Questionnaire*)and responses will be scored on a system of 0 – 10 points as indicated in the table below.
	2. The Contracting Authority is looking for evidence that the Applicant demonstrates the necessary technical resources, experience, has the technical and professional ability to perform the services and has previous experience in relation to skill development, employment and training.
	3. In order to pass Section 3 (*Questionnaire*)Questions 6.4, 7A and 7F Applicants are required to achieve a score of 4 or greater for **every** PQQ question in Questions 6.4, 7A and 7F.
	4. Please note that where no answer to question 6.4 is supplied and question 6.5 is answered instead the scoring criteria below for question 6.4 will be used and applied to the answer given to question 6.5.

| Table 27.4 : Evaluation Table |
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| Qu. Ref.  | Criteria | Maximum Points  | Minimum Points Threshold |
| 1 | Supplier information | N/A | Pass/fail |
| 2 | Grounds for mandatory exclusion  | N/A | Pass/ Fail |
| 3 | Grounds for discretionary exclusion – Part 1  | N/A | Pass/Fail  |
| 4 | Grounds for discretionary exclusion – Part 2 | N/A | Pass/Fail |
| 5 | Economic & Financial Standing  | N/A | Pass/Fail |
| 6.1 to 6.3 | Technical and Professional Ability | N/A | Pass/Fail |
| 6.4/6.5 | Technical and Professional Ability | 10 | 4 |
| 7A | Technical and Professional Ability | 40 | 16 |
| 7B | Insurance | N/A | Pass/Fail |
| 7C | Compliance with equality legislation | N/A | Pass/Fail |
| 7D | Environmental Management | N/A | Pass/Fail |
| 7E | Health and Safety | N/A | Pass/Fail |
| 7F | Employment and Skills | 10 | 4 |
| **Total Summary** | Max Score[60] |
| Overall PQQ Score [60] | [60] |

* 1. Except where otherwise indicated in the PQQ, the following scoring system will be used to score each of the technical and professional ability questions of Section 3 (Questionnaire).

|  |
| --- |
| **Technical and Professional Ability (Question 6.4/6.5)** |
| **Score** | **Rating** | **Basis for Awarding Score** |
| 0 | **Unacceptable** | The information is omitted/no details provided.  |
| 1-2 | **Poor** | The response addresses some parts of the question but contains insufficient detail or explanation to evidence the Applicant’s achievements and technical capability in this market and relevance to the Contracting Authority’s requirements. |
| 3-4 | **Fair**  | The response addresses most parts of the question and lacks details in some aspects but provides some evidence of the Applicant’s achievements and technical capability in this market and relevance to the Contracting Authority’s requirements. |
| 5-6 | **Satisfactory** | The response addresses all aspects of the question in sufficient detail and shows relevant evidence of the Applicant’s achievements and technical capability in this market and relevance to the Contracting Authority’s requirements.  |
| 7-8 | **Good** | The response addresses all aspects of the question very well and shows considerable relevant evidence of the Applicant’s achievements and technical capability in this market and relevance to the Contracting Authority’s requirements.  |
| 9-10 | **Excellent** | The response addresses all aspects of the question extremely well and in detail and shows extensive relevant evidence of the Applicant’s achievements and technical capability in this market and relevance to the Contracting Authority’s requirements. |

|  |
| --- |
| **Technical and Professional Ability (Question 7A.1)** |
| **Score** | **Rating** | **Basis for Awarding Score** |
| 0 | **Unacceptable** | The information is omitted/no details provided.  |
| 1-2 | **Poor** | The response addresses some parts of the question but contains insufficient detail or explanation to evidence the Applicant’s experience of developing and managing successful partnering with the client organisation / lead officer, together with internal and external organisations. |
| 3-4 | **Fair**  | The response addresses most parts of the question and lacks details in some aspects but provides some evidence of the Applicant’s experience of developing and managing successful partnering with the client organisation / lead officer, together with internal and external organisations. |
| 5-6 | **Satisfactory** | The response addresses all aspects of the question in sufficient detail and shows relevant evidence of the Applicant’s experience of developing and managing successful partnering with the client organisation / lead officer, together with internal and external organisations.  |
| 7-8 | **Good** | The response addresses all aspects of the question very well and shows considerable relevant evidence of the Applicant’s experience of developing and managing successful partnering with the client organisation / lead officer, together with internal and external organisations.  |
| 9-10 | **Excellent** | The response addresses all aspects of the question extremely well and in detail and shows extensive relevant evidence of the Applicant’s experience of developing and managing successful partnering with the client organisation / lead officer, together with internal and external organisations. |

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| --- |
| **Technical and Professional Ability and Capacity (Question 7A.2)** |
| **Score** | **Rating** | **Basis for Awarding Score** |
| 0 | **Unacceptable** | The information is omitted/no details provided.  |
| 1-2 | **Poor** | The response addresses some parts of the question but contains insufficient detail or explanation of the Applicant’s experience of delivering integrated services to achieve efficient and effective service delivery and ensuring sustained continuous improvement to deliver ongoing benefits, timetable adherence and cost efficiencies. |
| 3-4 | **Fair**  | The response addresses most parts of the question and lacks details in some aspects but provides some evidence of the Applicant’s experience of delivering integrated services to achieve efficient and effective service delivery and ensuring sustained continuous improvement to deliver ongoing benefits, timetable adherence and cost efficiencies. |
| 5-6 | **Satisfactory** | The response addresses all aspects of the question in sufficient detail and shows relevant evidence of the Applicant’s experience of delivering integrated services to achieve efficient and effective service delivery and ensuring sustained continuous improvement to deliver ongoing benefits, timetable adherence and cost efficiencies. |
| 7-8 | **Good** | The response addresses all aspects of the question very well and shows considerable relevant evidence of the Applicant’s experience delivering integrated services to achieve efficient and effective service delivery and ensuring sustained continuous improvement to deliver ongoing benefits, timetable adherence and cost efficiencies.  |
| 9-10 | **Excellent** | The response addresses all aspects of the question extremely well and in detail and shows extensive relevant evidence of the Applicant’s experience of delivering integrated services to achieve efficient and effective service delivery and ensuring sustained continuous improvement to deliver ongoing benefits, timetable adherence and cost efficiencies. |

|  |
| --- |
| **Technical and Professional Ability and Capacity (Question 7A.3)** |
| **Score** | **Rating** | **Basis for Awarding Score** |
| 0 | **Unacceptable** | The information is omitted/no details provided.  |
| 1-2 | **Poor** | The response addresses some parts of the question but contains insufficient detail or explanation of the Applicant’s experience of performance review monitoring and management during the life of a contract. |
| 3-4 | **Fair**  | The response addresses most parts of the question and lacks details in some aspects but provides some evidence of the Applicant’s experience of performance review monitoring that is relevant to the client’s requirements with reference to the implementation and use of an information and communications technology solution. |
| 5-6 | **Satisfactory** | The response addresses all aspects of the question in sufficient detail and shows relevant evidence of the Applicant’s experience of performance review monitoring that is relevant to the client’s requirements with reference to the implementation and use of an information and communications technology solution. |
| 7-8 | **Good** | The response addresses all aspects of the question very well and shows considerable relevant evidence of the Applicant’s experience of performance review monitoring that is relevant to the client’s requirements with reference to the implementation and use of an information and communications technology solution. |
| 9-10 | **Excellent** | The response addresses all aspects of the question extremely well and in detail and shows extensive relevant evidence of the Applicant’s experience of performance review monitoring that is relevant to the client’s requirements with reference to the implementation and use of an information and communications technology solution. |

|  |
| --- |
| **Technical and Professional Ability and Capacity (Question 7A.4)** |
| **Score** | **Rating** | **Basis for Awarding Score** |
| 0 | **Unacceptable** | The information is omitted/no details provided.  |
| 1-2 | **Poor** | The response addresses some parts of the question but contains insufficient detail or explanation of the Applicant’s experience of successfully developing business plans for the phased delivery of developments that is relevant to the client’s requirements including reference to the methodology used to deliver sites on time and on budget. |
| 3-4 | **Fair**  | The response addresses most parts of the question and lacks details in some aspects but provides some evidence of the Applicant’s experience of successfully developing business plans for the phased delivery of developments that is relevant to the client’s requirements including reference to the methodology used to deliver sites on time and on budget. |
| 5-6 | **Satisfactory** | The response addresses all aspects of the question in sufficient detail and shows relevant evidence of the Applicant’s experience of successfully developing business plans for the phased delivery of developments that is relevant to the client’s requirements including reference to the methodology used to deliver sites on time and on budget. |
| 7-8 | **Good** | The response addresses all aspects of the question very well and shows considerable relevant evidence of the Applicant’s experience of successfully developing business plans for the phased delivery of developments that is relevant to the client’s requirements including reference to the methodology used to deliver sites on time and on budget. |
| 9-10 | **Excellent** | The response addresses all aspects of the question extremely well and in detail and shows extensive relevant evidence of the Applicant’s experience of successfully developing business plans for the phased delivery of developments that is relevant to the client’s requirements including reference to the methodology used to deliver sites on time and on budget. |

|  |
| --- |
| **Employment and Skills (Question 7F.1)** |
| **Score** | **Rating** | **Basis for Awarding Score** |
| 0 | **Unacceptable** | The information is omitted/no details provided.  |
| 1-2 | **Poor** | The response addresses some parts of the question but contains insufficient detail or explanation of the Applicant’s previous experience in implementing skills development, employment, apprenticeship or training schemes on similar programmes or projects that is relevant to the client’s requirements. |
| 3-4 | **Fair**  | The response addresses most parts of the question and lacks details in some aspects but provides some evidence of the Applicant’s previous experience in implementing skills development, employment, apprenticeship or training schemes on similar programmes or projects that is relevant to the client’s requirements. |
| 5-6 | **Satisfactory** | The response addresses all aspects of the question in sufficient detail and shows relevant evidence of the Applicant’s previous experience in implementing skills development, employment, apprenticeship or training schemes on similar programmes or projects that is relevant to the client’s requirements. |
| 7-8 | **Good** | The response addresses all aspects of the question very well and shows considerable relevant evidence of the Applicant’s previous experience in implementing skills development, employment, apprenticeship or training schemes on similar programmes or projects that is relevant to the client’s requirements. |
| 9-10 | **Excellent** | The response addresses all aspects of the question extremely well and in detail and shows extensive relevant evidence of the Applicant’s previous experience in implementing skills development, employment, apprenticeship or training schemes on similar programmes or projects that is relevant to the client’s requirements. |

The following weightings will be applied to the marking of the questions that are marked in this PQQ.

| Table 27.5 : Weighting Table |
| --- |
| Qu. Ref.  | Criteria | Question Weighting | Maximum Points  |
| 6.4/6.5 | Technical and Professional Ability | 15% | 15 |
| 7A.1 | Technical and Professional Ability | 15% | 15 |
| 7A.2 | Technical and Professional Ability | 20% | 20 |
| 7A.3 | Technical and Professional Ability | 15% | 15 |
| 7A.4 | Technical and Professional Ability | 25% | 25 |
| 7F.1 | Employment and Skills | 10% | 10 |
|  | **Total Summary** | Max Score 100 |
|  | Overall PQQ Score 100 | 100 |

1. Summary
	1. Provided Applicants satisfy the Minimum Standards for PQQ Section 3 (Questionnaire) Questions 1 to 6.3 and 7B to 7E, they will achieve an overall score for Technical and Professional Ability. This score will give an overall PQQ score.
	2. Accordingly, to be selected to be invited to participate in dialogue, Applicants must pass all PQQ steps in order and achieve an overall PQQ score.

**Section 3 Questionnaire**

**Notes for completion**

1. The “authority” means the public sector contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable Suppliers to participate in this procurement process.

2. “You”/ “Your” or “Supplier” means the body completing these questions **i.e. the legal entity seeking to be invited to the next stage of the procurement process and responsible for the information provided.** The ‘Supplier’ is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 and could be a registered company; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

## 1 - Supplier information

|  |  |
| --- | --- |
| **1.1 Supplier details** | **Answer** |
| Full name of the Supplier completing the PQQ  |  |
| Registered company address |  |
| Registered company number |  |
| Registered charity number |  |
| Registered VAT number |  |
| Name of immediate parent company |  |
| Name of ultimate parent company |  |
| Please mark ‘X’ in the relevant box to indicate your trading status | i) a public limited company  |  ▢ Yes |
| ii) a limited company |  ▢ Yes |
| iii) a limited liability partnership | ▢ Yes |
| iv) other partnership | ▢ Yes |
| v) sole trader | ▢ Yes |
| vi) other (please specify) | ▢ Yes |
| Please mark ‘X’ in the relevant boxes to indicate whether any of the following classifications apply to you | i)Voluntary, Community and Social Enterprise (VCSE) | ▢ Yes |
| ii) Small or Medium Enterprise (SME) [[1]](#footnote-2) | ▢ Yes |
| iii) Sheltered workshop | ▢ Yes |
| iv) Public service mutual | ▢ Yes |

|  |
| --- |
| **1.2 Bidding model** |
| **Please mark ‘X’ in the relevant box to indicate whether you are;** |
| a)      Bidding as a Prime Contractor and will deliver 100% of the key contract deliverables yourself | ▢ Yes |
| b)      Bidding as a Prime Contractor and will use third parties to deliver some of the servicesIf yes, please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for. | ▢ Yes |
| c)       Bidding as Prime Contractor but will operate as a Managing Agent and will use third parties to deliver all of the servicesIf yes, please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for. | ▢ Yes |
| d)      Bidding as a consortium but not proposing to create a new legal entity. If yes, please include details of your consortium in the next column and use a separate Appendix to explain the alternative arrangements i.e. why a new legal entity is not being created. Please note that the authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that it is necessary for the satisfactory performance of the contract. | ▢ Yes**Consortium members****Lead member** |
| e)      Bidding as a consortium and intend to create a Special Purpose Vehicle (SPV). If yes, please include details of your consortium, current lead member and intended SPV in the next column and provide full details of the bidding model using a separate Appendix. |  ▢ Yes**Consortium members****Current lead member****Name of Special Purpose Vehicle** |

|  |
| --- |
| **1.3 Contact details** |
| Supplier contact details for enquiries about this PQQ |
| Name |  |
| Postal address |  |
| Country |  |
| Phone |  |
| Mobile |  |
| E-mail |  |

|  |
| --- |
| **1.4 Licensing and registration (please mark ‘X’ in the relevant box)** |
| 1.4.1 | Registration with a professional bodyIf applicable, 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 Annex XI of directive 2014/24/EU) under the conditions laid down by that member state). | ▢ Yes▢ NoIf Yes, please provide the registration number in this box. |
| 1.4.2 | Is it a legal requirement in the state where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement? | ▢ Yes▢ NoIf Yes, please provide additional details within this box of what is required and confirmation that you have complied with this. |

***2 - Grounds for mandatory exclusion***

You will be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).

If you have answered “yes” to question 2.2 on the non-payment of taxes or social security contributions, and have not paid or entered into a binding arrangement to pay the full amount, you may still avoid exclusion if only minor tax or social security contributions are unpaid or if you have not yet had time to fulfil your obligations since learning of the exact amount due. If your organisation is in that position please provide details using a separate Appendix. You may contact the authority for advice before completing this form.

|  |  |
| --- | --- |
| **2.1 Within the past five years, has your organisation (or any member of your proposed consortium, if applicable), Directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences?** | **Please indicate your answer by marking ‘X’ in the relevant box.** |
| **Yes** | **No** |
| 1. conspiracy within the meaning of section 1 or 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983 where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime;
 |  |  |
| 1. corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;
 |  |  |
| 1. the common law offence of bribery;
 |  |  |
| 1. bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010; or section 113 of the Representation of the People Act 1983;
 |  |  |
| 1. any of the following offences, where the offence relates to fraud affecting the European Communities’ financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Communities:
 |  |  |
| (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, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978; |  |  |
| (iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006; |  |  |
| (v) fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994; |  |  |
| (vi) an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993; |  |  |
| (vii) destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969; |  |  |
| (viii) fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or |  |  |
| (ix) the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act; |  |  |
| 1. any offence listed—
 |  |  |
| (i) in section 41 of the Counter Terrorism Act 2008; or |  |  |
| (ii) in Schedule 2 to that Act where the court has determined that there is a terrorist connection; |  |  |
| 1. any offence under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by subparagraph (f);
 |  |  |
| 1. money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002;
 |  |  |
| 1. an offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996;
 |  |  |
| 1. an offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;
 |  |  |
| 1. an offence under section 59A of the Sexual Offences Act 2003;
 |  |  |
| 1. an offence under section 71 of the Coroners and Justice Act 2009
 |  |  |
| 1. an offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994; or
 |  |  |
| 1. any other offence within the meaning of Article 57(1) of the Public Contracts Directive—
 |  |  |
| (i) as defined by the law of any jurisdiction outside England and Wales and Northern Ireland; or |  |  |
| (ii) created, after the day on which these Regulations were made, in the law of England and Wales or Northern Ireland. |  |  |
| **Non-payment of taxes****2.2 Has it been established 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 your organisation is established (if outside the UK), that your organisation is in breach of obligations related to the payment of tax or social security contributions?**If you have answered Yes to this question, please use a separate Appendix to provide further details. Please also use this Appendix to confirm whether you have paid, or have entered into a binding arrangement with a view to paying, including, where applicable, any accrued interest and/or fines? |  |  |

**3. Grounds for discretionary exclusion – Part 1**

The authority may exclude any Supplier who answers ‘Yes’ in any of the following situations set out in paragraphs (a) to (i);

|  |  |
| --- | --- |
| **3.1 Within the past three years, please indicate if any of the following situations have applied, or currently apply, to your organisation.** | **Please indicate your answer by marking ‘X’ in the relevant box.** |
| **Yes** | **No** |
| 1. your organisation has violated applicable obligations referred to in regulation 56 (2) of the Public Contracts Regulations 2015 in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Public Contracts Directive as amended from time to time;
 |  |  |
| 1. your organisation is bankrupt or is the subject of insolvency or winding-up proceedings, where your 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;
 |  |  |
| 1. your organisation is guilty of grave professional misconduct, which renders its integrity questionable;
 |  |  |
| 1. your organisation has entered into agreements with other economic operators aimed at distorting competition;
 |  |  |
| 1. your organisation has a conflict of interest within the meaning of regulation 24 of the Public Contracts Regulations 2015 that cannot be effectively remedied by other, less intrusive, measures;
 |  |  |
| 1. the prior involvement of your organisation in the preparation of the procurement procedure has resulted in a distortion of competition, as referred to in regulation 41, that cannot be remedied by other, less intrusive, measures;
 |  |  |
| 1. your organisation has shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions;
 |  |  |
| 1. your organisation—

(i) has been guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria; or(ii) has withheld such information or is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015; or |  |  |
| (i) your organisation has undertaken to |  |  |
| (aa) unduly influence the decision-making process of the contracting authority, or |  |  |
| (bb) obtain confidential information that may confer upon your organisation undue advantages in the procurement procedure; or |  |  |
|  (j) your organisation has negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. |  |  |

**Conflicts of interest**

In accordance with question 3.1 (e), the authority may exclude the Supplier if there is a conflict of interest which cannot be effectively remedied. The concept of a conflict of interest includes any situation where relevant staff members have, directly or indirectly, a financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the context of the procurement procedure.

Where there is any indication that a conflict of interest exists or may arise then it is the responsibility of the Supplier to inform the authority, detailing the conflict in a separate Appendix. Provided that it has been carried out in a transparent manner, routine pre-market engagement carried out by the authority should not represent a conflict of interest for the Supplier.

**Taking Account of Bidders’ Past Performance**

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

In addition, the authority may re-assess reliability based on past performance at key stages in the procurement process (i.e. Supplier selection, tender evaluation, contract award stage etc.). Suppliers may also be asked to update the evidence they provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

**‘Self-cleaning’**

Any Supplier that answers ‘Yes’ to questions 2.1, 2.2 and 3.1 should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self cleans” the situation referred to in that question. The Supplier has to demonstrate it has taken such remedial action, to the satisfaction of the authority in each case.

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

In order for the evidence referred to above to be sufficient, the Supplier shall, as a minimum, prove that it has;

* paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
* clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
* taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the Supplier shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the authority to be insufficient, the Supplier shall be given a statement of the reasons for that decision.

## 4. Grounds for discretionary exclusion – Part 2

The authority reserves the right to use its discretion to exclude a Supplier where it can demonstrate the Supplier’s non-payment of taxes/social security contributions where no binding legal decision has been taken.

“Occasion of Tax Non-Compliance” means:

1. any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 is found to be incorrect as a result of:
	* + 1. a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;
			2. the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or
2. the Supplier’s tax affairs give rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Effective Date or to a penalty for civil fraud or evasion

|  |
| --- |
| From 1 April 2013 onwards, have any of your company’s tax returns submitted on or after 1 October 2012; (Please indicate your answer by marking ‘X’ in the relevant box). |
| 4.1 | Given rise to a criminal conviction for tax related offences which is unspent, or to a civil penalty for fraud or evasion; | ▢ Yes▢ No  |
| 4.2 | Been found to be incorrect as a result of:* + - HMRC successfully challenging it under the General Anti-Abuse Rule (GAAR) or the “Halifax” abuse principle; or
		- A Tax Authority in a jurisdiction in which the legal entity is established successfully challenging it  under any tax rules or legislation that have an effect equivalent or similar to the GAAR or the “Halifax” abuse principle; or
		- the failure of an avoidance scheme which the Supplier was involved in and which was, or should have been, notified under the Disclosure of Tax Avoidance Scheme (DOTAS) or any equivalent or similar regime in a jurisdiction in which the Supplier is established.
 | ▢ Yes▢ No  |
| If answering “Yes” to either 4.1 or 4.2 above, the Supplier may provide details of any mitigating factors that it considers relevant and that it wishes the authority to take into consideration.  This could include, for example: * + Corrective action undertaken by the Supplier to date;
	+ Planned corrective action to be taken;
	+ Changes in personnel or ownership since the Occasion of Non-Compliance (OONC); or
	+ Changes in financial, accounting, audit or management procedures since the OONC.

In order that the authority can consider any factors raised by the Supplier, the following information should be provided:* A brief description of the occasion, the tax to which it applied, and the type of “non-compliance” e.g. whether HMRC or the foreign Tax Authority has challenged pursuant to the GAAR, the “Halifax” abuse principle etc.
* Where the OONC relates to a DOTAS, the number of the relevant scheme.
* The date of the original “non-compliance” and the date of any judgement against the Supplier, or date when the return was amended.
* The level of any penalty or criminal conviction applied.

  |

## 5 - Economic and Financial Standing

|  |  |
| --- | --- |
|  | **FINANCIAL INFORMATION**  |
|  |  |
| 5.1 | **Please provide one of the following to demonstrate your economic/financial standing;** Please indicate your answer with an ‘X’ in the relevant box. |
| 1. A copy of the audited accounts for the most recent two years
 |  |
| 1. A statement of the turnover, profit & loss account, current liabilities and assets, and cash flow for the most recent year of trading for this organisation
 |  |
| 1. A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position
 |  |
| 1. 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).
 |  |
| 5.2 | Where the authority has specified a minimum level of economic and financial standing and/or a minimum financial threshold within the evaluation criteria for this PQQ, please self-certify by answering ‘Yes’ or ‘No’ that you meet the requirements set out here. | ▢ Yes▢ No  |
| 5.3 | **(a) Are you are part of a wider group (e.g. a subsidiary of a holding/parent company)?**If yes, please provide the name below:

|  |  |
| --- | --- |
| Name of the organisation |  |
| Relationship to the Supplier completing the PQQ |  |

If yes, please provide Ultimate / parent company accounts if available. If yes, would the Ultimate / parent company be willing to provide a guarantee if necessary? If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank?) | ▢ Yes▢ No▢ Yes▢ No▢ Yes ▢ No |

## 6 – Technical and Professional Ability

|  |  |
| --- | --- |
| 6 | **Relevant experience and contract examples** |
| Please provide details of up to three contracts, in any combination from either the public or private sector, that are relevant to the authority’s requirement. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years, and VCSEs may include samples of grant funded work. The named customer contact provided should be prepared to provide written evidence to the authority 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 will 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 principal intended provider(s) or sub-contractor(s) who will deliver the supplies and services. |
|  |  | Contract 1 | Contract 2 | Contract 3 |
| 6.1 | Name of customer organisation |  |  |  |
| 6.2 | Point of contact in customer organisationPosition in the organisationE-mail address |  |  |  |
| 6.3 | Contract start dateContract completion dateEstimated Contract Value |  |  |  |
| 6.4 | In no more than 500 words, please provide a brief description of the contract delivered including evidence as to your technical capability in this market. |  |  |  |
| 6.5 If you cannot provide at least one example for questions 6.1 to 6.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up. |
|  |

## 7. Additional PQQ modules

Suppliers who self-certify that they meet the requirements for these additional modules will be required to provide evidence of this if they are successful at contract award stage. Please indicate your answer by marking ‘X’ in the relevant boxes.

## A – Project specific questions to assess Technical and Professional Ability

Responses to questions 7A.1 – 7A.5 must relate back to the contracts identified in question 6 above as applicable and include evidence of experience based on those contracts.

The responses to the questions will be evaluated using the scoring table applicable to the question set out under paragraph 27.

|  |  |
| --- | --- |
| 7A.1 | Describe in no more than 2,000 words how you have developed and managed successful partnering with the client organisation / lead officer, together with internal and external organisations, including but not limited to other contractors – including but not limited to, how you have ensured successful working relationships. The response should provide clear information on the structures used, the lead roles of individuals and how the team used will be deployed to deliver the Runnymede Regeneration Programme. ***Weighting: 15%*** |
| 7A.2 | Describe in no more than 2,000 words how you have synergised or integrated services to achieve efficient and effective service delivery and explain how you have secured sustained continuous improvement in order to deliver ongoing benefits, timetable adherence and cost efficiencies.***Weighting: 20%*** |
| 7A.3 | Explain in no more than 2,000 words how you have monitored, reviewed and managed performance through the life of a contract that is relevant to the Contracting Authorities requirements, with reference to the use and implementation of an information and communications technology.***Weighting: 15%*** |
| 7A.4 | Explain in no more than 2,000 words how you, with evidence, you have successfully developed business plans for the phased delivery of developments that are relevant to the Contracting Authorities requirements. Also explain the methodology used to develop and deliver sites on time and to meet original budget expectations.***Weighting: 25%*** |

## B - Insurance

|  |  |  |
| --- | --- | --- |
| 7B.1 | 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:Employer’s (Compulsory) Liability Insurance = £10,000,000 each and every claim  Public Liability Insurance = £10,000,000 each and every claim Professional Indemnity Insurance = £10,000,000 each and every claim\* 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. | ▢ Yes▢ No  |

## C – Compliance with equality legislation

|  |
| --- |
| For organisations working outside of the UK please refer to equivalent legislation in the country that you are located. |
| 7C.1 | In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | ▢ Yes▢ No  |
| 7C.2 | In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination? If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.You may be excluded if you are unable to demonstrate to the authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.  | ▢ Yes▢ No |
| 7C.3 | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | ▢ Yes▢ No  |

## D - Environmental Management

|  |  |  |
| --- | --- | --- |
| 7D.1 | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)? If your answer to this question is “Yes”, please provide details in a separate Appendix of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.The authority will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last 3 years, unless the authority is satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches. | ▢ Yes▢ No |
| 7D.2 | If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation? | ▢ Yes▢ No  |

## E - Health and Safety

|  |  |  |
| --- | --- | --- |
| 7E.1 | Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements.  | ▢ Yes▢ No  |
| 7E.2 | 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? If your answer to this question was “Yes”, please provide details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result. The authority will exclude bidder(s) that have been in receipt of enforcement/remedial action orders unless the bidder(s) can demonstrate to the authority’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.  | ▢ Yes▢ No  |
| 7E.3 | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | ▢ Yes▢ No  |
| 7E.4 | Have you had any near misses in the last 2 years which created any significant risk of personal injury to members of the public? If so, please provide details of the date, time, a summary of the incident and the remedial action taken.  | ▢ Yes▢ No Further information |
| 7E.5 | Is your organisation accredited by The Contractors Health and Safety Assessment Scheme (CHAS)? If your answer to this question was “No”, please provide please provide details in a separate Appendix of any alternative health & safety accreditation scheme that your organisation is part of, details or any failure to gain accreditation with CHAS and/or any reasons why your organisation has not sought CHAS (or similar) accreditation.  | ▢ Yes▢ No  |

## F – Employment and Skills

|  |  |
| --- | --- |
| 7F.1 | Please detail in no more than 1000 words your previous experience in implementing skills development, employment, apprenticeship or training schemes on similar programmes or projects (in terms of value and scope of works/services to the proposed programme). Please also indicate if on previous contracts you have provided any of the following:* support towards securing college places for workforce operatives;
* financial support towards studies for workforce operatives;
* financial support for professional qualifications or equipment;
* National Vocational Qualifications (S/NVQ) qualifications or the equivalent through on site assessment;
* work experience placements for full-time students and/or programme-led apprenticeships;
* support for existing apprentices and/or recruitment of new apprentices;
* training to achieve Construction Skills Certification Scheme (CSCS) card qualification or the equivalent;
* school engagement activities;
* professional advice, guidance and support; and/or
* employment and training events;

and provide brief details of how you have achieved and implemented each initiative in a project-specific basis whether pursuant to contractual commitment or otherwise. Have you failed to meet any agreed targets or commitments relating to any of the above and, if so, why? ***Weighting: 10%*** |

## 8. Declaration

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | I declare that to the best of my knowledge the answers submitted to these questions are correct. 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, and I am signing on behalf of.................................. (**Insert name of Supplier**). I understand that the authority may reject my submission if there is a failure to answer all relevant questions fully or if I provide false/misleading information. I have provided a full list of any Appendices used to provide additional information in response to questions.I also declare that there is no conflict of interest in relation to the authority’s requirement.The following appendices form part of our submission;

|  |  |
| --- | --- |
| **Section of PQQ** | **Appendix number** |
|  |  |
|  |  |

 |
| **PQQ COMPLETED BY** |
| 8.1 | Name |  |
| 8.2 | Role in organisation |  |
| 8.3 | Date |  |
| 8.4 | Signature |  |

**PQQ – Template for Appendices**

|  |
| --- |
| **Appendix Number -** |
| **PQQ section -** |
| **Question number -** |
|  |

# Appendix A: PQQ Checklist of Items to be Returned

To be completed by each Applicant

To assist in ensuring that all information has been supplied, questions have been answered and additional information included, please complete the checklist below and return within the PQQ submission.

|  |  |  |  |
| --- | --- | --- | --- |
| Ref.(all references are to Section 3)  | Question | AnsweredY/N/N/A |  Name of Attachment, where applicable |
| Question 1 | All boxes completed (if applicable) |  |  |
| Question 2 | All questions answered |  |  |
| Question 3 | All questions answered |  |  |
| Question 4 | All questions answered |  |  |
| Question 5 | All questions answered |  |  |
| Question 6 | All questions answered |  |  |
| Question 7 | All questions answered |  |  |

Set out below details of additional information uploaded in support of your submission.

|  |  |  |
| --- | --- | --- |
| Question Reference | Supporting information uploaded |  Name of Attachment  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# Appendix B: Glossary

The following abbreviations are used in this document

Applicant(s) An organisation that completes a PQQ (whether it is a single organisation, Prime Contractor or a Consortium).

Contract Means the contract(s) envisaged to be entered into between the Contracting Authority and the successful Applicant relating to the Contract Notice.

Contract Notice The notice published in the OJEU and Contracts Finder.

Contracting Authority Runnymede Borough Council as named in the OJEU.

CD Competitive Dialogue pursuant to Regulation 30 of the Regulations.

Consortium Means a consortium of economic operators.

ITCD Invitation to Continue Dialogue.

ITPD Invitation to Participate in Dialogue.

Lead Applicant Means where an Applicant intends to act jointly in submitting a bid the participating organisations must identify a Lead Applicant. The Lead Applicant will be responsible for the overall preparation and submission of the bid on behalf of all its members and for addressing questions about the organisation of the joint application.

Minimum Standards The Contracting Authority’s minimum standards of economic and financial standing and/or technical and professional ability and capacity for the purposes of Regulation 58 as set out in this PQQ.

OJEU Official Journal of the European Union.

Prime Contractor Means a Lead Applicant of a Consortium which intends that only the Lead Applicant will enter a contract with the Contracting Authority and the other members of the Consortium will participate as Subcontractors.

Procurement Documents Means those documents as listed in Appendix C (*Procurement Documents)*.

Project Means as defined in paragraph 1.3 of this PQQ.

PQQ This Pre-Qualification Questionnaire and Selection Methodology.

PQQ Response Means an Applicant’s response to this PQQ.

Regulations The Public Contracts Regulations 2015 (and references to any Regulation is a reference to a Regulation in The Public Contracts Regulations 2015).

Selection Methodology The way in which the Contracting Authority intends to assess each Applicant’s submissions.

Subcontractor Means a member(s) of a Consortium that would not enter the contract with the Contracting Authority but would rather participate as a sub-contractor(s) to the Prime Contractor.

Technical Specification Means Volume 2 (*Technical Specification*) to the ITPD.

Turnover Threshold £75m.

# Appendix C: Procurement Documents

The Procurement Documents listed below are made available from the date of publication of the OJEU contract notice in accordance with Regulation 53:

ITPD Volume 1 (*Introduction and Overview*);

ITPD Volume 2 (*Technical Specification*);

ITPD Volume 3 (*Legal Documentation*); and

ITPD Volume 4 (*Bid Deliverables and Evaluation*).

The Procurement Documents are made available in draft form only at this PQQ stage and Applicants shall note that they may be subject to change and the Contracting Authority reserves the right to amend the Procurement Documents before or after ITPD. Applicants who are invited to participate in dialogue will be provided with the ITPD document and the updated Draft Contract and Draft Specification applicable at ITPD stage.

1. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-2)