



Invitation to Tender

Instructions to Potential Providers

New Enterprise Allowance – Phase 2

UI_DWP_101838 – CPA12a

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(V0.1)**

Instructions to Potential Providers

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Instructions to Potential Providers

1. General Information

- 1.1 Please note that, unless otherwise indicated, references to the "Authority" or to "DWP" throughout these documents mean the Secretary of State for Work and Pensions acting as part of the Crown through his/her representatives in the Department for Work and Pensions. References to "Potential Provider" mean any person or organisation responding or, where the context requires, potentially responding to this Invitation to Tender (ITT).
- 1.2 This ITT is issued as a call off under the Umbrella Agreement for Employment and Health Related Services – CPA4. Only providers shortlisted on the Framework Agreement – CPA4 are eligible to bid. These instructions, together with the specification and all other information and documents to which they refer, are designed to ensure that all tenders are given equal and fair consideration. It is important, therefore, that you provide all the information required in the format and order specified.
- 1.3 Please read these instructions carefully because non-compliance may result in disqualification of your tender. You must ensure you have read the full invitation to tender package including the specification, and Call Off Contract.
- 1.9 All Potential Providers need to be aware that all Central Government Departments and their Executive Agencies and Non Departmental Public Bodies are subject to control and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a Cross-Government role delivering overall Government policy on public procurement – including ensuring value for money and related aspects of good procurement practice. For these purposes, the Authority may disclose within Government any of the Potential Providers documentation/information (including any that the Potential Provider considers to be confidential and/or commercially sensitive such as specific bid information) submitted by the Potential Provider to the Authority during this procurement. The information will not be disclosed outside Central Government and their Executive Agencies and Non Departmental Public Bodies.
- 1.10 The Authority actively encourages Potential Providers to utilise SMEs (where relevant to do so and provides value for money) within their supply chains. Please see relevant section of this document for more detailed information regarding the Authority's approach to engaging with SMEs

2. Administration of the Procurement Process

- 2.1 The Authority is administering the procurement process electronically via the [DWP eProcurement Solution \(ePS\) Portal](#). No hard copy documents will be issued during the competition and all communications with the

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Authority (including final submission of tenders) will be conducted via the DWP eProcurement Portal.

- 2.2 To ensure all communications relating to this procurement are received the Potential Provider must ensure that the point of contact it nominates in the DWP eProcurement Solution portal is up to date. The portal is accessible 24 hours a day, 7 days a week, and 365 days a year unless notified otherwise by the DWP eProcurement Solution portal.
- 2.3 Support available to help you to understand and use the system includes:
 - Freephone helpdesk (0800 069 8630), available Mon-Fri 8am to 6pm (UK time in English language only)
 - Helpdesk via email: help@bravosolution.co.uk
 - Help guides.
- 2.4 Potential Providers must ensure that their DWP eProcurement Solution registration directly relates to the part of the provider organisation that submits the tender (some larger providers may have several subsidiaries so registration needs to apply to that part of organisation responsible for this particular requirement).
- 2.5 Should you have any queries with accessing the portal, please contact DWP eProcurement Solution's dedicated supplier helpdesk by calling 0800 069 8630 or by emailing: help@bravosolution.co.uk.

Inputting Information

- 2.6 Use the online 'Help for Suppliers' function. The content is designed to explain the ePS Portal in business terms, allowing you to quickly understand the features and benefits of the software. Help for Suppliers content is presented by software module, and divided into process activities such as PQQs, ITTs and Auctions - just like the software itself.
- 2.7 Save progress regularly. For security reasons access to the portal will 'time out' if inactive (i.e. if you do not click 'save') for ~15 minutes. Failure to save regularly risks losing your work - this is part of strict government requirements to maintain security and tender integrity and cannot be changed. Note that typing does not mean you are active on the portal.
- 2.8 Please ensure that 'pop ups' are not blocked on your browser. Should you be inactive for ~15 minutes, the portal will notify you through a 'pop up'. It is vital that that you are able to see this in order to click the 'Refresh' link in this 'pop up' so you are not disconnected from the portal and lose any unsaved information.
- 2.9 Do not leave your response until the last minutes/hours before the deadline. If you experience connection problems you may miss the deadline. Late tenders cannot be accepted. Always upload generic information early to avoid last minute time pressure.

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- 2.10 Please submit your response when completed. Failure to do this will result in your bid not being visible to the buyer. The 'submit response' button is at the top centre of the screen.
- 2.11 If the Buyer makes any changes to the settings and questions area of a live/running tender, Potential Providers must re-publish their response - this is to ensure that changes are brought to your attention - you may receive a message prompt from the Buyer - generally this will not mean re-entering information.
- 2.12 Whilst the portal allows for large individual attachment sizes (max 50mb at a time), we recommend that you keep attachments to a manageable size to ensure ease & speed of access. Only attach documents that the Buyer has requested and make sure that you attach them in the correct area.
- 2.13 If you have any software queries refer to 'Help for Suppliers' in the first instance, if you still have an issue email or telephone the BravoSolution helpdesk with a tender reference, a clear description of the problem and your contact details (ensure that you leave plenty of time for issues to be resolved prior to any deadlines).
- 2.14 Do not use the 'Back' or 'Forward' buttons on your browser, you could potentially lose your work. Please use the links on the eTendering portal to navigate through the tenders.
- 2.15 To understand icons, use your mouse to 'hover' over the icon and view the 'ToolTip'. Please note that text responses are deliberately capped at 2000 characters (~350 words). If the Authority requires a longer response they will add an additional text box or an 'Attachment' question. Also note that Numeric fields will not accept text, spaces, symbols etc. Note the red asterisk indicates a mandatory field - this must be completed in order to submit your response to the buyer.
- 2.16 If you are delegating your response please ensure that your colleagues are aware of this information and are IT literate.
- 2.17 Please treat your eTendering portal logins securely - if you believe that you have lost your password - please log onto the website and click onto "Forgotten your password?" and follow the instructions.
- 2.18 The Qualification Envelope (provider selection and exclusion questions) holds information provided when the Potential Provider registered on the DWP eProcurement Solution. The answers provided in that profile will automatically be used to pre-populate some parts of the qualification envelope. Potential Providers may update these answers and the new information will be saved against the organisation profile.
- 2.19 Please allow sufficient time to submit the response. We recommend allowing time for a final check to be undertaken prior to the submission

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deadline. It will not be possible to upload any further information after the submission deadline. IT problems within Potential Providers' systems will not be considered reasonable grounds for late submission.

- 2.20 Where a question requires the upload of a document then that document must be completed in the format specified within the question. Files submitted in any other format will not be accepted. All acronyms and abbreviations, if used, must be fully explained.
- 2.21 Within the DWP eProcurement Portal Potential Providers are able to submit, modify and resubmit responses at any time prior to the submission deadline. Responses cannot be modified by Potential Providers after the submission deadline. Potential Providers must ensure they have only submitted a single response through the DWP eProcurement Portal.

3. Tender Submission Process

Background

- 3.1 The DWP eProcurement Portal relies on the completion of 3 envelopes which will contain all of the information the Authority requires to enable full evaluation to take place. All information should be uploaded as per instructions into the relevant envelopes on the DWP eProcurement Portal.
- Qualification Envelope – Is used for gathering information to qualify Potential Providers for further evaluation
 - Technical Envelope – Is used for gathering information to allow for full evaluation of the technical side of the proposal
 - Commercial Envelope – Is used to gather the Contract Cost Register.

Tender Completion

- 3.2 The information or text contained within the ITT (including its Annexes) and your response, any variation of them and any formal interchange of correspondence or information will be incorporated into any subsequent contract that the Authority may enter into as a result of this ITT.
- 3.3 Responses must not exceed the pre-set margins and space allocation. In some cases, the Authority may put a word limit on your response to some or all questions. These limits are provided in the Invitation to Tender document and any response in excess of these allocations will be disregarded and will not be taken into account.
- 3.4 You should answer all questions using the templates provided, presenting them in the same sequence and using the same references. Please ensure all answers are self-contained with no cross-referencing. Only information entered into the appropriate answer boxes (which may be extended as necessary but should not exceed any applicable word limit/page count) or in additional documents supplied as requested will be taken into consideration for the purposes of evaluating the tender.

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- 3.5 Therefore, bullets, tables, graphs and charts in support of your responses are all permitted. Responses must be presented using Arial font size 12 (English Language and black typeface) this includes instances where information may be tabulated as part of the response. The only exception permitted is for illustrative screen shots, graphs and charts, which should be presented within the allocated page limit for the question they are relevant to and must not be embedded separately as this information will be disregarded.
- 3.6 Tenders should be completed using standard software e.g. Microsoft Word, Excel. **Files submitted in Microsoft Project format and PDF will not be accepted.**
- 3.7 All acronyms and abbreviations, if used, must be fully explained.

Procurement Timetable

- 3.8 Set out below is the procurement timetable. This is intended as a **guide** and, whilst the Authority does not intend to depart significantly from it, there may be occasions, where the timetable will be subject to minor change.

Activity	Date
Publication of the ITT to all Potential Providers	15/02/19
Q&A - Set up and run an online/electronic Q&A facility	15/02/19
Final date for Q&A dissemination to Potential Providers	27/2/19 10am
Tender submission deadline	04/03/19 10am
Evaluation and moderation of tenders	5/3/19 - 11/03/19
Commercial Assurance Board	15/3/19
Intention to Award notification issued to successful and unsuccessful tenderers	15/3/19
"Soft" Alcatel	15/3/19 – 25/3/19
Sign contract	26/3/19
Go Live	1/4/19 - 22/4/19

- 3.9 As a Call Off from the UAEHRS, there is no requirement for a standstill (Alcatel) period, however, as part of best practice we will invoke a "soft" standstill period.
- 3.10 The services need to commence as close as possible to 1 April 2019. Accepting that this is a challenging timeline, services must not start any later than 22 April 2019.

Deadline for Submission of Tenders

- 3.12 All tenders must be received by the Authority by the tender submission deadline which is shown in the procurement timetable.

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- 3.13 To ensure that all Potential Providers are treated fairly tenders received after the tender submission deadline will usually be rejected by the Authority. The decision whether to reject a tender received after the tender submission deadline is made entirely at the Authority's discretion.
- 3.14 A Potential Provider may withdraw from this procurement by choosing not to submit a tender by the tender submission deadline. It would be useful to the department if you can advise us in advance that you will not be submitting a proposal and if possible the reasons behind your decision.

Additional Materials, Documents and Attachments

- 3.15 No additional documentation should be submitted with a tender unless specifically requested by the Authority
- 3.16 Information that forms part of general company literature or promotional brochures will not form part of the evaluation process and should not be submitted.
- 3.17 The tender should not contain any inserted, pasted or embedded pictures or documents (image files, Adobe Acrobat documents or other Word documents) unless specifically requested by the Authority
- 3.18 Any additional documents requested by the Authority must be clearly referenced within the body of the tender using a unique, un-ambiguous and relevant file name. They must be saved using Microsoft Office 2010 applications; MS Word (in Web Page, filtered format only), MS Excel, MS Power Point, Adobe Acrobat or jpeg formats. No other file formats should be used.

4. Conditions Applying to this Tender

- 4.1 This ITT is issued as a call off under the Umbrella Agreement for Employment and Health Related Services – CPA4. Only providers shortlisted on the Framework Agreement – CPA4 are eligible to bid.

Authority's Terms and Conditions

- 4.2 Potential Providers are not permitted to submit their own terms and conditions. Material amendments to the Authority's terms and conditions will not be considered.

Costs and Expenses

- 4.3 Potential Providers are not entitled to claim from the Authority any costs or expenses which may be incurred in preparing and/or submitting a tender.
- 4.4 This applies whether or not the provider or any other organisation is successful and also applies to any additional cost a Potential Provider may incur if the Authority modifies or amends its requirements or if the Authority cancels this procurement for whatever reason.

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Confidentiality

- 4.5 All information supplied by the Authority to Potential Providers must be treated in confidence (unless already in the public domain) and must not be disclosed to third parties other than as is necessary for the purposes of preparing a response and for obtaining sureties or quotations for the purpose of submitting this tender. All information supplied by you to the Authority will similarly be treated in confidence except:
- I. For the disclosure of such information with regard to the outcome of the procurement process as may be required to be published in the Official Journal of the European Union in accordance with EU Directives or elsewhere in accordance with the requirements of UK government policy on the disclosure of information relating to government contracts
 - II. That as part of the debriefing process we will inform any eliminated tenderer, who has made an admissible tender, of the characteristics and relative advantages of the successful tender(s), as well as, where appropriate, the qualitative evaluation score(s) achieved by and name(s) of the successful tenderer(s)
 - III. In pursuance of the Authority's statutory obligations under the [Freedom of Information Act](#) 2000 or the Environmental Information Regulations or the UK Government's requirements on transparency. Even where it is indicated that information supplied is commercially sensitive the Authority may be required to disclose it. Material marked 'confidential' or similar does not mean the Authority accepts any duty of confidence
 - IV. References may be sought from banks, existing or past clients, or other referees submitted by the tenderer. The Authority confirms that it will keep confidential any information obtained from referees other than to Crown Commercial Service and/or contracting authorities defined in the Public Contracts Regulations.
- 4.6 The Authority is subject to general control and reporting within Government and reports to the Cabinet Office and HM Treasury for all expenditure. Cabinet Office has a Cross-Government role delivering overall Government policy on public procurement - including ensuring value for money and related aspects of good procurement practice.
- 4.7 For the purposes mentioned above, the Authority may disclose within Government any of the Potential Provider's documentation/information (including any that the Potential Provider considers to be confidential and/or commercially sensitive, such as specific bid information) submitted by the Potential Provider to the Authority during this Procurement. The information will not be disclosed outside Government

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Contract Period

- 4.8 The contract will be for the period 1st April 2019 to 2nd July 2023 (last referrals to the provision will be 28th March 2021) unless terminated by the Authority in accordance with the terms of the Contract.

Amendments to the Tender Process or Tender Documents by the Authority

- 4.9 The Authority reserves the right to vary the tender process and/or amend the tender documents (including this ITT Instructions to Potential Providers document) at any time prior to the deadline for receipt of tenders. Any such amendment will be numbered, dated and issued by the Authority via the DWP eProcurement Portal. Where amendments are significant, the Authority may at its discretion extend the deadline for receipt of tenders.
- 4.10 The Authority reserves the right to discontinue this tendering process at any time and not to award a Contract.

Potential Provider Clarification (Q&A)

- 4.11 Potential Providers have the opportunity to raise questions about the ITT and request clarification about the requirement. All questions raised must be submitted via the [DWP eProcurement Solution Portal](#).
- 4.12 The Q&A log will be published on the DWP eProcurement Portal and will be updated regularly. It will be the responsibility of the Potential Provider to monitor the portal for the latest activity.
- 4.13 The last date for the submission of questions along with the date of the publication of the final Q&A log on the DWP eProcurement Portal is shown in the [procurement timetable](#).
- 4.14 The final date for questions and answers and dissemination allows sufficient time for Potential Providers to impact this information before finalising their tenders for submission.
- 4.15 If a question is deemed by a Potential Provider to be commercially confidential, then they should indicate that they believe this is the case. The Authority will consider this and if in agreement, will exercise due discretion in handling the question and limiting the circulation of the answer(s) to your organisation.
- 4.16 Questions not deemed to be commercially confidential will be considered by the Authority to be of significance to all Potential Providers. All questions and answers will be made anonymous and made available to all Potential Providers via the [DWP eProcurement Solution Portal](#). If the Authority intends to follow this course of action it will inform you before sharing the question and response.

Acceptance and Return of Tenders

- 4.17 By issuing the ITT the Authority is not bound in any way and does not have to accept any tender.
- 4.18 The tender, comprising the information set out in the ITT must be completed and submitted in its entirety to the DWP eProcurement Portal by the stipulated deadline.
- 4.19 Tenders will undergo an initial compliance check to ensure that all information requested has been received. Tenders will be rejected if the complete information requested is not included as part of the tender documentation.

Period for which Tenders shall Remain Valid

- 4.20 Tenders shall remain valid and capable of acceptance for 180 days from the closing date for receipt of tenders.

Variant Proposals

- 4.21 Variant proposals will not be accepted.

Welsh Language

- 4.22 Where appropriate Potential Providers should be aware that If the contract delivers a service to members of the public in Wales then the Potential Provider must comply with and fully understand their contractual obligations regarding the DWP Welsh Language Scheme. Full details can be found in the Welsh Language Scheme Contract Schedule and further details found by accessing '[A guide for DWP Contractors when delivering services to DWP customers in Wales](#)' .

5. Provider Selection and Exclusion

Qualification Envelope

- 5.1 The provider selection and exclusion questions assess the suitability of a Potential provider to deliver the authority's requirement. If you are successful at this stage of the procurement process, your bid will be evaluated in the subsequent award stage of the process.
- 5.2 Potential Providers should note that, in accordance with Regulation 57 of the Public Contracts Regulations 2015, the Authority may take account of information in the public domain in addition to information provided in the bid. The Authority will contact the Potential Provider to clarify such information.

Verification of Information Provided

- 5.3 Whilst reserving the right to request information at any time throughout the procurement process, the authority will allow Potential Providers to self-certify whether there are any mandatory / discretionary grounds for excluding their organisation.

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When requesting evidence that the Potential Provider can meet the specified requirements (such as the questions relating to Technical and Professional Ability) the authority will await the final tender evaluation decision and seek evidence from the winning Provider only.

Provider Information

- 5.4 This section is used to gather the necessary details to understand the nature of the organisation and legal entity participating in the procurement exercise. This section is not scored.

Bidding Model

- 5.5 This section is used to gather information to allow the Authority to understand the nature of the Potential Provider's proposed supply chain. The Authority requires additional information where the tender relies on a consortium and/or sub-contractors. This section is not scored but the Authority must be satisfied that the proposed bidding model will allow the requirement to be met successfully otherwise the bid will be rejected.

Sub-contractors

- 5.6 Where the Potential Provider proposes to use one or more sub-contractors to deliver some or all of the contract requirements full details must be provided, including 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.
- 5.7 The 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, Potential Providers should be aware that where information provided to the authority indicates that sub-contractors are to play a significant role in delivering key contract requirements, any changes to those sub-contracting arrangements may affect the ability of the Potential Provider to meet the requirement. Potential Providers should therefore notify the authority immediately of any change in the proposed sub-contractor arrangements. The authority reserves the right to deselect the Potential Provider prior to any award of contract, based on an assessment of the updated information.
- 5.8 A Potential Provider's tender must clearly identify in response to any question, when it is relying on a sub-contractor, the name of the particular sub-contractor and explain the sub-contractor's capability and experience as the context of the question requires.
- 5.9 The Authority does not require all sub-contractors be disclosed. It only requires a Potential Provider to disclose those sub-contractors who directly contribute to the Potential Provider's ability to meet its obligations under the contract. There is no need to specify those sub-contractors providing general services to the Potential Provider (such as window cleaners, lawyers, desktop software providers etc) that indirectly enable the Potential Provider to perform the contract. For example if the Authority requires a Potential Provider to hold a particular licence – then

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the Potential Provider may indicate that 'XYZ Co' holds the licence and indicate that services covered by the scope of this licence will only be performed by its sub-contractor 'XYZ Co'.

- 5.13 The Authority will require 'certificates of performance' to enable the past performance of consortium members to be evaluated and establish if they pass the minimum standards for reliability.

Contact Details

- 5.14 You must provide full details of a contact for the Authority to use in relation to this procurement. The contact should be able to answer questions regarding the bid and act on behalf of the Potential Provider. This section is not scored.

Licensing and Registration

- 5.15 The Authority requires you to indicate if licensing and registration is required for your business and, if so, whether your organisation holds the required licensing and registration. This section is not scored but the Authority must be satisfied that Potential Provider has the required licenses and registration to meet the requirement otherwise the bid will be rejected.

Grounds for Mandatory Exclusion

- 5.16 Refer to the additional notes provided on the ePS Portal. This section is used to establish whether there is any reason that the Potential Provider should not be allowed to continue to participate in the procurement. If you answer 'yes' to one of these questions, indicating that your organisation meets one of the grounds for mandatory exclusion, you will not be allowed to participate further in the procurement unless you can demonstrate adequate [self-cleaning](#).

Non-payment of Taxes

- 5.17 Refer to the additional notes provided on the ePS Portal. This is an additional ground for mandatory exclusion. If you answer 'yes' to this question you will not be allowed to participate further in the procurement unless you can demonstrate adequate [self-cleaning](#).

Grounds for Discretionary Exclusion – Part 1

- 5.18 Refer to the additional notes provided on the ePS Portal. The Authority can choose to exclude a Potential Provider who answers 'yes' to one of these questions. You may not be allowed to participate further in the procurement unless you can demonstrate adequate [self-cleaning](#).

Conflicts of Interest

- 5.19 Refer to the additional notes provided on the ePS Portal. This is an additional ground for discretionary exclusion. You must identify any potential conflict of interest and provide full details on Annex B including how the conflict of interest might be effectively remedied. If the Authority considers the integrity of the competition is compromised by a conflict of interest you will not be allowed to participate further. The Authority will

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contact you to discuss further where a potential conflict of interest is identified.

Self-Cleaning

- 5.20 Refer to the additional notes provided on the ePS Portal. This section allows Potential Providers to provide further information where they have answered 'yes' to any of the grounds for mandatory rejection, including non-payment of taxes, or grounds for discretionary rejection.
- 5.21 Potential Providers should use Annex E to explain in detail how they have addressed issue (identified by a 'yes' answer). The Authority will consider whether the 'self-cleaning' adequately addresses the risk to reliability exposed by the 'yes' answer.

Economic and Financial Standing

- 5.22 The Potential Provider should provide the information requested to demonstrate its economic/financial standing. Refer to Qualification/Commercial Envelope for further details.

Insurance

- 5.23 This section allows you to self-certify that you have or will have adequate insurance as required by the Authority for the delivery of the contract. You will not be allowed to participate further in the procurement unless you can meet the insurance requirements.

Compliance with Equality Legislation

- 5.24 This section covers the Potential Provider's history of compliance with equality legislation. The Authority can choose to exclude a Potential Provider who has been found to have acted in a discriminatory way in the past 3 years. The Potential Provider has the opportunity to provide details of mitigating factors. The Authority will consider whether the mitigation adequately addresses the risk exposed by the 'yes' answer.

Environmental Management

- 5.25 This section covers the Potential Provider's history of compliance with environmental legislation. The Authority can choose to exclude a Potential Provider who has been found to have breached environmental legislation in the past 3 years. The Potential Provider has the opportunity to provide details of mitigating factors. The Authority will consider whether the mitigation adequately addresses the risk exposed by the 'yes' answer.

Health and Safety

- 5.26 This section allows the Potential Providers to self-certify that they have an adequate health and safety policy. UK employers with less than five employees are not required by law to have a health and safety policy and will not be excluded for this reason.

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- 5.27 Where the Potential Provider has been received enforcement/remedial orders from a health and safety body/authority in the past 3 years, allows them to provide details of remedial action.
- 5.28 The Authority can choose to exclude a Potential Provider who has received an enforcement/remedial order in relation to health and safety in the past 3 years. The Potential Provider has the opportunity to provide details of mitigating factors. The Authority will consider whether the mitigation adequately addresses the risk exposed by the 'yes' answer.

Confirmation and Declaration

- 5.29 The final section of Provider Selection and Exclusion – the Qualification Envelope, is a declaration against the information provided. This must be completed by a person with authority to act on behalf of the Potential Provider. This section also serves as a checkpoint for Potential Providers to confirm that they have provided all the information, including additional Annexes, required so far.

6. Tender Submission Procedure

- 6.1 The Potential Provider will be required to submit a qualification and commercial envelope, and a technical envelope within the ITT.

Qualification Envelope

- 6.3 This envelope contains questions the Potential Provider may have already answered in setting up their organisation Profile and the answers to those questions will be used to pre-populate your response.
- 6.4 Potential Providers may change these answers so they differ from those saved in their Organisation Profile and save those new answers on their response. These answers will be applied back to their Organisation Profile when the ITT is evaluated by the Buyer.
- 6.5 Potential Providers should only have to complete the Qualification Envelope once.
- 6.6 Where Potential Providers do not want to change any information they will be given a prompt to confirm that everything recorded is current and correct.
- 6.7 Where there is a requirement to upload documents within the envelope, the suggested format is as follows. Please note this is an example and your submission should reflect what is requested in ITT.

ITT Response required	How your response should be uploaded
	Contract title (i.e. supply of widgets),

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Financial and Economic Standing (Regulation 24) Annex D	Annex D - Financial & Economic Standing (Because of the complexity of financial accounts you do not have to use the Annex D provided as long as the uploaded documents are labelled Annex D) 2010/2011 accounts Company Name (i.e. ABC Ltd) 2011/2012 accounts Company Name (i.e. ABC Ltd)
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Technical Envelope

- 6.8 This envelope contains specific questions to which a response is required and is contained within an Invitation to Tender.
- 6.9 It is this information which will enable the Authority to carry out a qualitative evaluation of the proposal. Where there is a requirement to upload attachments to questions within this envelope the suggested format is as follows.

ITT Response required	How your response should be uploaded
Draft Security Plan Annex Y – Draft Security Plan	Contract title (i.e. supply of widgets) Annex E - Draft Security Plan Company Name (i.e. ABC Ltd)

Commercial Envelope

- 6.10 This envelope is where the Contract Cost Register should be uploaded. This information should be uploaded as follows.

ITT Response required	How your response should be uploaded
Contract Cost Register Commercial Envelope, – Contract Cost Register	Contract title (i.e. supply of widgets), Annex S – Contract Cost Register Company Name (i.e. ABC Ltd)

- 6.11 To ensure that the offer supplied by Potential Providers are credible, the Authority will apply a median based control. For those bids with offered New Business starts performance offers outside a tolerance band of either + / -25% of the median performance offer cost, the Authority will reserve the right to not award contracts to these Potential Providers. The median performance offers will be calculated from all the compliant bids received

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- 6.12 These labels are also part of DWP e-tendering and e-evaluation requirements and must not be altered. In addition, the other tender document file names must not be altered under any circumstance.

7. Tender Evaluation

Principles

- 7.1 The tender evaluation questions assess the Potential Provider's proposal to deliver the authority's requirement. This information enables the Authority to carry out a qualitative evaluation of the tender.
- 7.2 The information provided in the tender proposal will be evaluated against the pre-determined Award Criteria as stated in the Invitation to Tender.
- 7.3 The DWP ePS Portal asks Potential Providers to submit responses which directly correspond with the Award Criteria. The overarching Award Criteria will be made up of sub-criteria by which the Award Criteria will be evaluated.
- 7.4 Qualitative and finance scores will be awarded through a process of relative assessment. The results of the relative assessment will mean that a score for qualitative evaluation (out of 70) will be added together with the score from the financial evaluation (out of 30) to produce an overall score out of 100

Qualitative Scoring Methodology

- 7.5 The responses to the ITT will then be scored against the [criteria and weightings](#) using scoring scale set out here.

Score 0	Fails to meet the requirement Evidence provided fails to satisfy the stated requirement
Score 3	Evidence provided satisfies the requirement in parts. Evidence provided failed to give assurance that the requirement is fully met.
Score 5	Meets the requirement Thorough and detailed information/evidence was provided which fully satisfies the requirement.
Score 7 (only applicable to Delivery Proposal questions 3.1 & 3.2)	Meets the requirement with additional assurance Thorough and detailed information/evidence was provided which fully satisfies the requirement and provides additional assurance that the service offered significantly exceeds the minimum service requirements.

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Qualitative Questions for Service Delivery

7.6 Qualitative question scores and section weightings are shown below;

Description	Question Score	Question Weighting	Max Score (Section Weight)
Management Structure & Resources			(12%)
1.4.2 Management Structure	5	1	5
1.4.3 Staff Resources – Staffing Numbers, Job Titles and Roles	5	1	5
1.4.4 Staff Resources – Track Record of Delivering Mentoring Services	5	2	10
Premises and Infrastructure			(6%)
1.4.5 Geographical Coverage	5	2	10
Delivery Proposal			(48%)
1.4.6 Link Up:Start Up Workshops	7	3	21
1.4.7 New Business Starts – Mentoring, Seminars, Business Plans	7	3	21
1.4.8 Business Development and On-going Support	5	3	15
1.4.9 Existing Self-employed – Business Development and Growth Plan	5	3	15
1.4.10 Additional Support	5	1	5
Performance Management			(9%)
1.4.11 New Business Starts – Achieving Cohort Profile	5	2	10
1.4.12 Existing Self-employed – Achieving Cohort Profile	5	1	5
Local Knowledge / Partnership Arrangements			(3%)
1.4.13 Local Knowledge and Partnership Arrangements	5	1	5
Participant Journey			(6%)
1.4.14 Project Service Delivery	5	2	10
Quality			(9%)
1.4.15 Management and Monitoring Quality	5	2	10
1.4.16 Feedback and Complaints	5	1	5
Implementation			(7%)
1.4.17 Implementation Plan and Supporting Rationale and Risks	5	2	10
		Maximum score	162

Financial Evaluation Methodology

- 7.7 The Financial Evaluation will be based on the information provided in the Contract Cost Register Documentation. DWP will take VAT into account as part of the cost where it is not recoverable by DWP.
- 7.8 There are 2 stages involved in the financial evaluation of Tenders;
- Minimum Economic and Financial Capacity Requirements, as detailed in Clause 15 of the UAEHRS
 - Contract Cost Register
- 7.9 The information provided in Part 5 (Economic and Financial Standing) will be subject to financial risk assessment which may give the department grounds to exclude you from the competition.
- 7.10 For further details on the Financial Evaluation please see the Contract Cost Register Documentation, and Supporting Guidance for Completion which form part of this ItT pack.

Combined Scores

- 7.11 The Quality Assessment will account 70% of the overall tender mark and the Contract Cost Register assessment will account for the remaining 30%.
- 7.12 For the purpose of this evaluation the Combined Score will be produced by combining the Qualitative Score (out of 70) with the Financial Score (out of 30). An example of the calculation of the Combined Score is as follows:

Quality Tender Mark

Bidder	Quality Score	Quality Tender Score out of 70
A	139	70
B	120	60.43
C	110	59.40

- 7.13 The highest quality tender is awarded 70 marks, with all other tenders being awarded marks in relation to their percentage variance from the highest quality tender e.g. Bidder B has scored 120 which is 13.67% less than 139 therefore Bidder B will score 13.67% less than 70 (13.67% of 70 is 9.57) resulting in quality tender score of 60.43.

Contract Cost Register Tender Mark

- 7.14 The Contract Cost Register element of the competition will be worth up to 30% of the overall scores. The bid that scores the highest mark in the Financial element will be awarded a score of 30, with all other tenders being awarded their score relative to this.

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Ranked Result	Bidder	A New Business Starts Contract Cost Register Total Unit Cost*	B Existing Self- Employed Contract Cost Register Total Unit Cost**	Weighted Total Unit Cost (A*2)+(B)	Relative Assessment	Weighted Score
1	A	£600.00	£500.00	£1,700.0	100.00	30.0
2	B	£610.00	£510.00	£1,730.0	98.24	29.5
3	C	£651.00	£551.00	£1,853.0	91.16	27.3
4	D	£700.00	£600.00	£2,000.0	83.81	25.1

*Maximum unit cost for new business starts is £751.75.

For further information, see the Invitation to Tender (ITT) Financial Evaluation Methodology.

Overall Tender Mark

The Qualitative and Contract Cost Register scores will be brought together to give an overall score of 100 as demonstrated in the table below.

Bidder	Qualitative Score	Financial Score	Overall Tender Mark - Out of a maximum score of 100.
A	70.00	30.00	100
B	60.43	29.5	89.93
C	59.40	27.3	86.70

Tie Breaker

- 7.15 The Authority will apply a tie breaker in the event that two or more Potential Providers have the same combined score. Where a tie breaker is required, it will be applied to the scores of all Potential Providers with joint scores.
- 7.16 Please note that the use of one tie breaker may not be sufficient to clearly identify the leader so a subsequent tie breaker will be used in the event that the first tie breaker does not produce a result which differentiates the Providers who have the same score.
- 7.17 The application of the tie-breaker will be as follows. If at any step this produces a clear result which differentiates the Providers who have the same score, the process will be terminated.
- Step 1 Highest Score – Delivery Proposal Q3.1
 - Step 2 Highest Score – Delivery Proposal Q3.2
 - Step 3 Highest Score – Delivery Proposal Q3.4
 - Step 4 Highest Score – Contract Cost Register

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7.18 Evaluation Summary Table

Response Heading	Marking Methodology
Whole Document Preliminary Tender Compliance Check Please complete – Declaration by Potential Provider	Compliance checks to ensure that tenders include all the relevant information requested as part of the ITT and that it has been submitted in the format required. Tenders not meeting requirements will give the Authority grounds for exclusion for non-compliance.
Qualification Envelope – separate Generic ItT (information only required once)	
Organisation and Contact Details	Not scored, but full information must be provided.
Bidding Model	Not scored see para 5.5 Complete and upload Annex D & Annex C as appropriate.
Contact Details	Not scored see para 5.14
Licencing and Registration	Not scored see para 5.15
Grounds for Mandatory Rejection (Regulation 23)	See para 5.16. If you answer “Yes” to any question in this section it is unlikely your proposal will be evaluated further
Non Payment of Taxes	See para 5.17
Grounds for Discretionary Rejection Part 1 (Regulations 23, 24, 25 & 26 of the Public Contract Regulations 2006).	See para 5.18. If you answer “Yes” to any question in this section it is possible your proposal will not be evaluated further. (Complete Annex B) if applicable. This information will be taken into account by the Authority when considering putting your proposal forward for further evaluation.
Self Cleaning	See para 5.20. If you need to provide evidence of 'self-cleaning' please attach the separate Annex E
Economic and Financial Standing (Regulation 24)	Upload financial information (e.g. accounts, etc) here. A financial risk assessment will be carried out on the financial standing of your company. This will be Risk Rated as Red, Amber or Green. Those assessed as being a Red Risk will be eliminated from the exercise
Compliance with Equality Legislation	See para 5.24
Environmental Management	See para 5.25

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Health & Safety	See para 5.26
Commercial Envelope - separate Generic ItT (information only required once)	
Contract Cost Register (Financial Evaluation)	The financial evaluation will be undertaken separately to the Qualitative Evaluation using predetermined scoring criteria as detailed within this document. Your Contract Cost Register must be uploaded here.
Technical Envelope – CPA Specific ItT(s)	
Draft Security Plan	You must provide a Draft Security Plan at Annex Y
DWP Offshore Proposal Questionnaire	If applicable, you must complete Off-shoring questionnaire at Annex F
TUPE (Employee Liability Information) To be completed by current Lead Accountable Bodies and supplied to all Potential Providers	Annex H is used when the Authority believes TUPE will apply.
TUPE Contrary View to that of the Authority	If you have a contrary view to that of the Authority as to whether or not TUPE applies you must complete Annex G . Response is required no later than 1 week prior to the stated tender return date.
Qualitative Evaluation Question Templates 1.4.2 to 1.4.17	Tenders will be scored using predetermined scoring criteria as detailed within this document. Complete the question specific annex provided for each question and attach here.
Qualitative Evaluation 1.5.1 Organisation Chart covering Key Staff and Sub-Contractor Key Staff	Please attach a suitable organisation chart and name it Appendix 1 Links to Q 1.4.2
Qualitative Evaluation 1.5.2 Organisations Proposed To Deliver Specific Elements Of The Service	Please complete subcontractor service details Appendix 2 . Links to Q 1.4.3
Qualitative Evaluation	Please provide a signed letter using the template provided as Appendix 3 from

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1.5.3 Subcontractor Declarations	each of the sub-contractors involved in the delivery of the proposal (including specialist and ad-hoc) which confirms the services they are willing to deliver. Links to Q 1.4.3
Qualitative Evaluation 1.5.4 Premises Details	Please complete Delivery Locations Appendix 4. Links to Q 1.4.5
Qualitative Evaluation 1.5.5 Participant Journey	Please attach a suitable process map showing the end to end customer journey and name it Appendix 5 Links to Q 1.4.14
Qualitative Evaluation 1.5.6 Implementation Plan	Please attach a Gantt Chart Implementation Plan and label as Appendix 6. Links to Q 1.4.17
Freedom of Information	Not scored but if consider that any of the information included as part of your tender to be commercially sensitive you must complete <u>Annex Q</u>
Proposed amendments	Not scored. Please complete <u>Annex R</u> should you wish to suggest non-material changes to the Terms and Conditions
Declaration by Potential Provider <u>PLEASE NOTE:</u> - Failure to provide all of the documents requested will invalidate your tender.	Please complete and attach the declaration provided to confirm that all the information requested by the Authority has been completed and uploaded as part of your tender proposal. This is your commitment that you offer to enter into a contract with the Authority as stipulated in the declaration.

Draft Security Plan

- 7.19 Cabinet Office has introduced mandatory requirements relating to data handling, security and information assurance in government contracts. Information must be protected, together with systems, equipment and processes which support its use. Our Providers must provide an appropriate level of security.
- 7.20 Potential Providers are required to submit a Draft Security Plan detailing how you will comply with the DWP Security Policy for Contractors, which includes

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compliance with ISO/IEC27001 and Cyber Essentials Scheme. A copy of this document can be found on ['Gov.UK - Other DWP procurement and policy documents'](#) and full guidance is provided in the relevant document and in Schedule 6 of the DWP Standard Terms and Conditions. A full Security Plan will be due 20 days after contract award.

Off-shoring (including Landed Resources)

- 7.21 In accordance with the DWP Offshoring Policy, prior written consent from DWP must be sought where Potential Providers (and/or their sub-contractors) are proposing to host or access Departmental systems, services or official information outside of the United Kingdom, or to bring foreign nationals to the United Kingdom to provide services in delivery of the Contract.
- 7.22 Potential Providers must be aware of this and must submit an application for approval together with their tender. Where DWP gives consent, the Potential Provider shall comply with any reasonable instructions notified to it by DWP in relation to the Authority Data in question. More information can be found in the document A Guide to DWP Offshoring Policy which can be found on ['Gov UK - Other DWP procurement and policy documents'](#).
- 7.23 Your attention is drawn to the Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE). It is the Authority's view that TUPE is likely to be applicable if this ITT results in a Contract being placed. Nevertheless, it is your responsibility to consider whether or not TUPE applies in the individual circumstances of your tender, particularly if you are proposing to submit an innovative tender.
- 7.24 If you have a contrary view to that of the Authority on the applicability of TUPE, it would be helpful if you would advise the Authority using Annex G, giving the reasons no later than 1 week prior to the tender return date.

Freedom of Information Act

- 7.25 The Authority is committed to open government and to meeting its legal responsibilities under the Freedom of Information Act 2000. All information submitted to the Authority may need to be disclosed by the Authority in response to a request under the Act. If you consider that any of the information included in your tender is commercially sensitive, please identify it and explain (in broad terms) what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity.
- 7.26 You should be aware that even where you have indicated that information is commercially sensitive, the Authority may be required to disclose it under the terms of the Act if a request is received. Please note that the receipt of material marked 'confidential' or equivalent by the Authority should not be taken to mean that the Authority accepts any duty of confidence by virtue of that marking. If a request is received, the Authority may also be required to disclose details to unsuccessful tenderers.

Proposed amendments to Contract Documents

- 7.27 Refer to the additional notes provided on the ePS Portal. This section allows you to propose minor amendments to the terms and conditions. Material amendments will not be considered.

Confirmation and Declaration

- 7.28 The final section of Tender Evaluation – The Technical Envelope, is a declaration against the information provided. This must be completed by a person with authority to act on behalf of the Potential Provider. This section also serves as a checkpoint for Potential Providers to confirm that they have provided all the information, including additional Annexes, required so far.

8. Baseline Security Standard

- 8.1 Where Providers staff are to be given access to Authority's assets (defined as premises, systems, information or data) the attention of Potential Providers is drawn to their contractual obligation. Full details of the actions required to comply with the above procedures, can be found in the guidance document 'HMG Baseline Personnel Security Standard – A Guide for DWP Contractors'. A PDF version of this document can be viewed on www.gov.uk
- 8.2 Providers' staff working in Northern Ireland will be required to be cleared via the Access NI procedures, more information can be obtained at www.dojni.gov.uk/accessni. A copy of this document in Microsoft Word format can be provided on request. Please note that Potential Providers are expected to meet any costs this may involve.

9. Merlin Standard

A condition of the Umbrella Agreement was that Providers must attain the Merlin Standard, if not already held, where they have a supply chain within their delivery model for this contract. Potential Providers will be assessed against the Merlin Standard by a third party organisation within a year of the contract go live and they must achieve accreditation within 1 year and every two years thereafter.

For further information on the Merlin Standard, please see:

<http://www.merlinstandard.co.uk>

10. Tender Clarification

- 10.1 DWP may need to clarify details of your tender and in those instances DWP will send any questions using the DWP eProcurement Portal to the named person (by email) that is registered on the system, who should arrange for a reply to be provided by the stipulated deadline.
- 10.2 DWP may seek independent financial and market advice to validate information declared, or to assist in the evaluation.

11. Potential Provider Clarifications

- 11.1 After evaluation the Authority may undertake clarifications with the top 2 short-listed Potential Providers in order to clarify specific points of the Potential Provider proposal. The purpose of the clarifications is to ensure the Potential Provider has the skills competence and resource to provide the services as described on their proposal.

12. eAuction Process

- 12.1 The Authority does not intend to use an eAuction process for this contract.

13. Contract Award

Parent Company Guarantee (PCG)

- 13.1 If your company has a parent company and should you be deemed successful in tendering for this Contract, then DWP will require a signed Parent Company Guarantee (PCG) to be in place prior to any Contract(s) being signed.
- 13.2 The PCG is not negotiable however there may be exceptional circumstances where the wording needs to be amended or an equivalent deed of guarantee supplied.
- 13.3 If the parent company is a charity, the Authority would need to understand whether there is anything in the provisions of the charity's constitution that prevents them from being able to offer a PCG. In these circumstances the Authority may require an alternative guarantor.

Ranking Tenders – Recommendation for Contract Award

- 13.4 The tender process has been designed to ensure that tenders are evaluated fairly to ascertain the most economically advantageous tender and once the qualitative and financial aspects have been evaluated the Authority will produce a ranked merit list based on this tender process.
- 13.5 The Potential Provider (s), who obtains the highest overall score from the evaluation process, taking into account the Award Criteria weightings, will be recommended for contract award.
- 13.6 Before any contract can be entered into the Authority is mandated to seek and obtain Independent Approvals.

14. Independent Approval

- 14.1 The results of the Qualitative and Price Evaluation Process (resultant rankings along with the marks awarded) will be independently checked and verified by individual(s) not previously involved in the procurement process.
- 14.2 Subject to this Independent Approval the Department will then seek final Approval before an award of Contract can be made.

15. Ministerial Approval ???

- 15.1 The final decision to award will be subject to Ministerial Approval. No communication of any details regardless of whether a tenderer has been successful or otherwise will be issued until this approval has been granted and authorised by the Minister concerned. Once this approval has been communicated to the procurement team they will have responsibility for the issue of the appropriate successful/unsuccessful letters to all those providers that submitted a response to the ITT.

16. Crown Representative Approval ???

- 16.1 [Crown Representative](#) (CR) approval must be sought when developing the outline business case for new spend on contracts over £5m providing the incumbent is a key provider. If the incumbent is not a key provider then you should proceed as normal.
- 16.2 CR approval must be sought when after final evaluation the preferred provider is identified as being a key provider. No action (i.e. no communication on award, including advising preferred provider status) should be taken without involving the CR in the evaluation process, and obtaining CR agreement in awarding the contract.

17. Mandatory Standstill Period

- 17.1 The standstill period is a 10 day pause between Contract award decision and the formal award of the Contract. It applies to all procurements covered by the full scope of the Public Contracts Regulations 2015. The period allows unsuccessful tenderers to obtain more information on the award of the contract. As this procurement is a Call Off from the UAEHRS, a standstill period is not required. However, in line with best practice we will have a “soft” standstill.

18. Publication of Contract Award on Contracts Finder

- 18.1 Irrespective of whether or not publication of a Contract Award Notice in OJEU is required, details of all contracts awarded with a value greater than £10,000 will be published on the Contracts Finder website. Details will be published after 20 days following the end of the standstill period.

19. Post Contract Award

Contract Documentation

- 19.1 The Authority will be responsible for producing a final contract document and issuing to the successful provider (s).

Sustainable Development

- 19.2 In accordance with the Sustainable Development Contract Schedule the successful Provider is required to complete and provide a policy statement (within 6 months of Call Off Contract) start date and annually thereafter) to demonstrate how they will satisfy and adhere to the principles of sustainable development. Also at the 6-month stage the successful Provider will need to produce a Sustainable Development Action Plan detailing (but not limited to)

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how they will tackle key issues such as waste minimisation, water consumption reduction and carbon emissions within their business and in relation to this contract.

Diversity and Equality

- 19.3 In accordance with the Diversity and Equality Contract Schedule the successful Provider is required to complete and provide a Diversity and Equality Delivery Plan (within 6 months of contract start date and annually thereafter) detailing their approach to Diversity and Equality within their business and in relation to this contract.

Apprenticeships and Skills

- 19.4 In accordance with the Apprenticeships and Skills Contract Schedule and in line with the Governments objective to support economic growth the successful Provider is required to submit an apprenticeships and skills report (within 6 months of Call Off contract start date) which should be specific to this Call Off Contract.

20. Use of SMEs in the Provider's Supply Chain

- 20.1 The Authority recognises the important role small and medium enterprises (SMEs) have in helping to deliver economic growth and prosperity. SMEs are defined as enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding 50 million euro, and/or an annual balance sheet total not exceeding 43 million euro. The Authority is committed to supporting the governments target of 25% of government spending with third party providers to go to SMEs through either direct spend or indirectly through the supply chain where it is relevant to the contractual requirement to do so and provides value for money.
- 20.2 In support of the government's commitment on SMEs, the Authority is putting in place processes to promote greater engagement with SMEs. The Authority encourages its providers to make their sub-contracting opportunities accessible to smaller companies and implement SME-friendly policies in their supply-chains.
- 20.3 The Provider is encouraged to:
- Open opportunities for SMEs in supply chains by splitting requirements into smaller elements to make them more attractive to the SME market whilst bringing innovation, flexibility and value for money
 - Advertise any sub-contracting opportunities where appropriate and economical to do so, for example by using Contracts Finder or informing local networks/partners
 - Where possible pay SMEs earlier than the contractual requirement of 30 days from receipt of valid invoice
 - Work with SMEs throughout the life of the contract to develop innovative and cost effective solutions delivered through the supply chain.

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- 20.4 Regular contract review meetings should be used to enable both parties to explore continued and increased use of SMEs where appropriate throughout the life of the contract. Additional information may be requested by the Authority on the volume of business undertaken throughout the supply chain with SMEs.

Expenditure with SMEs

- 20.5 The Authority is required to provide regular reports on the level of procurement spend with SMEs to the Cabinet Office. To measure and accurately report on this, the Provider and where applicable, its sub-contractors shall identify the volume of indirect expenditure the Authority undertakes with SMEs and shall provide this information on a quarterly basis to the Authority or Cabinet Office.

21. DWP Complaints Procedure

- 21.1 The Authority has published a [Commercial Complaints Process](#) for use during competitive procurement.