

Tender PQQ Documents: Tender 333 PQQ

The Centre for Process Innovation Insurance Broker Services - PQQ



The Centre for Process Innovation Ltd. trading as CPI, is a company limited by guarantee in England No. 5002194. The registered office is; CPI Ltd, Wilton Centre, Wilton, Redcar, TS10 4RF



EUROPEAN UNION
Investing in Your Future
European Regional
Development Fund 2007-13



INVESTOR IN PEOPLE

CONTENTS

1.0	Introduction
2.0	Instructions for Completion
3.0	Project Background
4.0	Evaluation and Shortlisting
Section 1	The Identity of the Applicant
Section 2	Compliance with EC Legislation
Section 3	Financial Standing and Insurances
Section 4	Performance Capability
Section 5	Equality and Diversity
Section 6	Health and Safety
Section 7	Environmental Management
Section 8	Quality Assurance
Section 9	Declaration

CONTRACTING AUTHORITY DETAILS

The Contracting Authority for the purpose of this procurement exercise is Centre for Process Innovation Limited (CPI).

Centre for Process Innovation Limited's registered office is Wilton Centre, Wilton, Redcar, TS10 4RF.

1.0 INTRODUCTION

This Pre-Qualification Questionnaire (PQQ) has been issued by the Contracting Authority in connection with a competitive procurement conducted in accordance with the Restricted Procedure under the Public Contracts Regulation 2006¹.

The purpose of this PQQ is to obtain sufficient information to enable CPI to evaluate the suitability of bidders to meet its requirements, as outlined within this document. During the PQQ stage, the intention will be to arrive at a shortlist of bidders for formal invitation to Tender (ITT) against CPI's specific requirements.

This PQQ sets out the information which is required by CPI in order to assess the suitability of bidders in terms of their technical knowledge and experience, capability/capacity, organisational and financial standing to meet the requirement.

When a buyer wants to assess bidders' suitability to tender for a particular contract they will need to consider a wide range of information about the interested firms. This PQQ tries to gather all of the necessary information whilst not making too much work for those responding to it.

The specific areas in which the PQQ seeks information are described below.

Section 1 – Organisation Identity and Basic Details

CPI will need some basic contact details for each bidder and some background information about who they are.

Section 2 – Compliance with EC Legislation

Under the Public Contract Regulations 2006 (SI 2006) CPI must exclude bidders, contractors and service providers from public contracts where they have been convicted of certain offences as described in this section of PQQ.

Section 3 – Financial Standing and Insurance

CPI needs to know about a possible bidder's financial situation to ensure that the organisation has the financial resources and stability to carry out the required work, and that they are likely to be around to complete the contract satisfactorily. The PQQ therefore asks for some basic company financial information to allow CPI to assess the risk of contracting with a bidder.

With the best will in the world there are sometimes problems with contracts for one reason or another. CPI needs to know that possible bidders have the necessary insurance policies to adequately cover any such problems.

Section 4 – Performance Capability

CPI will want to know what a bidder's main line of business is when deciding if that bidder should be invited to tender. CPI also wants to be sure the firm is likely to have sufficient resource to perform the contract properly or if the bidder would intend to subcontract. When a bidder wants to be invited to tender for a contract CPI will want to know if it has done similar project/contracts of a similar size to a good standard in the past.

The PQQ therefore asks for details of a minimum of three previous jobs completed by the firm that demonstrate previous delivery of CPI's requirements. The more similar these are to the

¹ <http://www.opsi.gov.uk/si/si2006/20060005.htm>

buyer's current requirement, as set out in the Contract Notice, the better. CPI will also want to know about any problems the bidder has had on previous contracts. It may be there are reasonable explanations in justification so it is best to be honest and open in answering these questions rather than have details scrutinised later.

In order for the PQQ to be tailored to individual contract needs, there are a number of supplementary questions to accurately assess the bidder's technical capability.

Section 5 – Equality and Diversity

CPI has a responsibility to make sure that all members of the community are treated fairly and equally in the field of their work. CPI will therefore want to know that a possible bidder accepts its legal duties in these areas and takes them seriously.

Section 6 – Health and Safety

CPI will want to be sure that a bidder takes care to ensure the health and safety of its workers and others when carrying out its work. This will be especially important for construction work, for example. There are also legal requirements in this area that the buyer will need to know that the bidder meets. The PQQ therefore asks bidders to provide some information about their policies on health and safety.

Section 7 – Environmental Management

Some business operations can have a big impact on the environment, but all firms can help to ensure that they minimise any harmful effects of their work on the environment, for example by recycling where appropriate and properly disposing of hazardous materials.

A firm's policies in this area will be more important for some types of contract than others, but the PQQ provides for buyers to gather information from bidders in this area.

Section 8 – Quality Assurance

Quality Management is all about making sure that work is done in a planned, controlled way to ensure that the results are satisfactory. There are various schemes and standards that define how a firm can make sure it meets its customers' needs.

CPI wants to know if possible bidders have thought about how they can make sure their work is up to the mark in terms of quality. This may mean the firm indicating it has been formally checked against a recognised standard (benchmarked) or it may involve the firm giving a description of how it makes sure its work is done repeatedly to high standard.

Section 9 – Declaration

This is simply the confirmation to CPI by the bidder that the information provided is valid and correct. This is the final section of the PQQ with the exception of any explanatory notes and supplementary modules.

In this section the bidder is certifying that the information supplied is accurate to the best of their knowledge and that they understand and accept that false information could result in rejection of the application to tender.

NB. This declaration is to be completed by a partner or authorised representative in their own name on behalf of the Tendering Organisation.

2.0 INSTRUCTIONS FOR COMPLETION

Centre for Process Innovation is seeking to appoint an Insurance Broker to source CPI's insurance policies to cover a three year period.

The purpose of this PQQ is to assist CPI in deciding which bidders to short-list and invite to tender for the provision of these services.

2.1 Timetable

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

Date	Activity
17/08/2012	OJEU notice published with PQQ made available to bidders
20/08/2012	PQQ Return Date
23/08/2012	Evaluation of PQQ's completed
23/08/2012	Invitation to tender issued to qualified bidders
28/09/2012	Tender Return Date
03/10/2012	Evaluation of tenders completed
16/10/2012	Alcatel 10 days standstill period
16/10/2012	Contract Award

2.2 Definitions

A "Framework" is defined as an agreement between one or more Contracting Authorities and one or more bidders; the purpose of which is to establish the terms governing contracts to be awarded during a given period, in particular with regard to price and, where appropriate the quantity envisaged.

The term "Company" refers to a sole proprietor, partnership, incorporated company, co-operative or other similar entity, as appropriate, and the term "Officer" refers to any director, company secretary, partner, associate or other person occupying a position of authority or responsibility within the Company.

2.3 Completion of PQQ

All PQQ's must be completed electronically but submitted via paper copy.

The PQQ is being provided on the same basis to all bidders.

Responses must be in the English Language or full English translation provided at no cost to CPI.

Please answer every question. If the question does not apply to you please write N/A; if you do not know the answer please write N/K.

Please answer all questions as indicated, continuing on a separate sheet of paper if necessary. Each such sheet and all supporting documents sent should be clearly marked with the numbers of the sections and questions to which they relate.

Unless instructed otherwise when answering the questions, please give details, which specifically relate to the Company which expressed interest in the opportunity, and not to any other entity and, not to the whole of the group if your Company forms part of a group.

This questionnaire must be fully completed even if you have previously submitted a questionnaire to us. It is not enough to cross-reference to earlier or other questionnaires or communications.

Only include supporting information, which is directly relevant to individual questions ensuring that the specific items of information are clearly referenced. Companies are asked not to include general marketing or promotional material whether for your Company, or otherwise.

The information disclosed in this questionnaire will be used in the selection process before proceeding to invite successful bidders to tender for the service contract. Any invitation to submit a bid is based on an assessment of a Company's suitability to provide the services in relation to this specific contract and does not imply any wider representation by CPI as to your financial stability, technical competence or ability in general.

Note: This document is provided in editable format for your convenience. Any alteration to the original text however caused shall invalidate your response.

2.4 Responding to Lot requirements

You are permitted to bid for one or both of the lots. Please indicate which lot(s) you are interested in bidding for.

2.5 Joint/Consortia Bids

Where applications are submitted on behalf of a consortia bid, joint ventures, other joint arrangements or where a substantial amount of the contract will be subcontracted a questionnaire must be completed for each member of the stated arrangements. These should also be submitted bound as one document with an explanation of how the Consortium or these arrangements will operate.

Where you are intending to sub-contract services each sub-contractor must also complete a PQQ. You will be asked to clarify the proportion of the work that the prime contractor proposes to subcontract. CPI views a "substantial element" of the contract to be greater than 30% or more of the value of the services or a core/key/high risk area of the services.

Where a consortium or sub-contracting approach is proposed, you will be required to provide all information in respect of the relationship and roles between the parties named.

CPI will evaluate all bidders with the aim of ensuring the overall services required as set out herein can be delivered by the parties named.

To ensure that relationship is clear to CPI the partners/consortia members must state in their respective submissions and documentation who the lead partner is and/or set out the relationship of who the bid is being made on behalf of.

Where the proposed prime contractor is a special purpose vehicle or holding company, information should be provided of the extent to which it will call upon the resources and expertise of its members.

CPI recognises that arrangements in relation to consortia and sub-contracting may (within limits) be subject to future change. Potential providers should therefore respond in the light of the arrangements as currently envisaged. Potential providers are reminded that any future change in relation to consortia and sub-contracting must be notified to CPI so that it can make a further assessment by applying the selection criteria to the new information provided.

2.6 Queries and Clarification

All requests for clarification or further information in respect of this PQQ should be emailed to e-tendering@uk-cpi.com with the Tender reference number in the title of the email.

Direct or indirect canvassing of any person within, or associated with CPI, by any bidder concerning this PQQ may result in the disqualification of the Potential Provider from consideration of this requirement.

Any attempt to procure information from any other person within, or associated with CPI, by any bidder concerning this PQQ may result in the disqualification of the Potential Provider from consideration of this requirement.

If CPI considers any question or request for clarification to be of material significance, both the question and the response will be communicated, in a suitably anonymous form, to all Potential Providers who have responded; have expressed an interest; or those that show an interest before the closing date for the submission of the PQQ.

2.7 PQQ Return Date

Three (3) paper copies of the PQQ must be sealed in a plain envelope clearly marked "CONFIDENTIAL, PQQ DOCUMENTS ENCLOSED".

The TITLE and REFERENCE NUMBER must be identified on the Envelope and returned to:

Confidential Documents
For the Attention of David Cooper
Centre for Process Innovation Limited
Wilton Centre
Wilton
Redcar TS10 4RF

The PQQ must be submitted to CPI, no later than 20th August 2012 at 12:00 noon.
The envelope, including the franking and any associated paperwork delivered with the PQQ envelope must not identify the sender.

CPI reserves the right to reject any PQQ received after the deadline for whatever reason. It is recommended that tenders be sent by registered post; recorded delivery service; Datapost or delivered by hand.

PQQ's must not be sent by email before the specified deadline as this will invalidate the PQQ.

3.0 COMPANY BACKGROUND

3.1 Centre for Process Innovation

Centre for Process Innovation is a company limited by guarantee, and a not-for-profit organisation in receipt of public funds from the EU and UK government for specific projects. It is also the major partner in the UK's recently formed High Value Manufacturing Catapult national innovation centre of excellence, funded by the Technology Strategy Board under the control of the Department for Business, Innovation and Skills.

As a publically funded technology innovation centre, CPI uses its market knowledge and technology understanding to develop and prototype products and processes quickly and efficiently with minimal risk to its public and private sector partners, working in the innovation space between the discovery of an idea and the delivery of a product or service to the commercial market. Our role is to help British industry make things in a better, quicker, cheaper, more innovatively, and also to help it develop new and innovative world-beating products. We help them improve what they make, and how they make it.

CPI is the guardian of in excess of £60m of national UK research assets including laboratories, industrial research facilities, high tech plant and experimental equipment, all at the cutting edge of industrial research and which is made available, along with a wide range of scientific and industrial research and process manufacturing experts, to British industry to boost its research capabilities. It also holds a significant portfolio of intellectual property.

CPI was set-up in April 2004 to address innovation in the process industries which is a major and key industrial sector for the UK's future. The CPI business model has already delivered substantial benefit because it links the needs of business to CPI assets and technology expertise in two main technology areas:

- Advanced Manufacturing for the Process Industries – CPI develops advanced manufacturing technologies for the process industries. Markets served include energy, high value chemicals, carbon capture and pharmaceuticals. This business unit is home to the National Industrial Biotechnology Facility (NIBF).
- Printable Electronics – CPI is home to the National Printable Electronics Centre where we transfer experimental processes to manufacturable products. It targets barrier coatings, advanced material deposition processes, printable electronic materials, printable circuits for high resolution display and smart packaging applications, solid state lighting and organic photovoltaics.

CPI has a wholly owned subsidiary, CPI Innovation Services Limited (CPIIS), which is its trading arm and offers contract research and development services, customer development projects, equipment access and consultancy on a normal commercial basis.

The group of companies includes several spin-out companies, shares of which are either wholly or partly owned by CPIIS, each of which is free to trade independently.

3.2 Contract Term

Three (3) years.

3.2.1 Approximate Contract Value (including information on any EU funding implications)

£200,000 to £400,000 over three years

CPI is in receipt of ERDF and FP7 funding

3.2.2 Additional Information

CPI Group currently has insurance policies in place up to the end of October 2012. The new insurance policies must be in place by 1st November 2012.

3.3 Contract Needs

An insurance broker is required to source the best possible insurance policies on behalf of the Centre for Process Innovation Limited to cover a three (3) year period.

CPI requires the following types of insurance/risk policies:

- Commercial Combined
- Personal Accident/Travel
- Professional Indemnity
- Employers Liability
- Public/Products Liability
- Premises Pollution Liability
- Computers
- Hire In Plant
- Directors and Officers
- Buildings and contents
- Machinery Erection
- Engineering Insurance
- Business Interruption
- Environmental Risk
- Property Insurance
- Terrorism
- Money and Assault

The policies will be split into 2 lots. Lot 1 will cover Professional Indemnity Insurance. Lot 2 will cover all other types listed above.

These policies will need to cover all companies in the CPI Group. Please note that the CPI Group covers a broad spectrum of technologies and its subsidiaries either wholly or majority owned.

4.0 EVALUATION AND SHORTLISTING

In assessing the answers to the questions as set out in the online questionnaire, CPI will be seeking evidence of the Potential Provider's suitability to perform the services in terms of economic and financial standing, technical and professional ability. Qualification criteria will be a combination of both financial and non financial factors and will be in accordance with Regulations 23 to 26 of the Public Contract Regulations 2006.

CPI may disqualify any Potential Providers who fails to:

1. comply with the requirements of Regulations 23 and/or fails to certify at Section 7 that it has fulfilled these requirements
2. provide a satisfactory response to any questions in the PQQ or inadequately or incorrectly completes any question
3. submit its completed PQQ before the deadline

The Authority may seek independent financial and market advice to validate information declared or to assist in the evaluation. The Authority reserves the right to request and receive references from the organisations identified in section 4.9; conduct Reference site visits; ask for demonstrations; and/or presentations as part of the PQQ process.

The evaluation at this PQQ stage will be made against the criteria and minimum standards as set out in 4.2.

Evaluation of tenders at the award stage will be undertaken in accordance with award criteria that will be published in the invitation to tender documentation.

4.1 Selection Process

Bidders will be invited to tender where they have satisfied CPI's minimum standards – being a score of 50% or more on the technical questionnaire and achieving a pass mark in the other areas of the PQQ. Where there are a sufficient number of bidders suitable to be selected to be invited to tender, it is envisaged that no less and no more than 5 bidders who satisfy the minimum standards will be invited to tender.

See 4.2 for a full breakdown of the selection criteria.

4.2 Selection Criteria

Section	Questions	Allocated Maximum Score	Methodology
1 – The Identity of the Applicant	All	N/A	CPI will make an assessment of the business activities of the organisation in line with the contract needs.
2 – Compliance with EC Legislation	All	Pass/Fail	CPI will ensure that the organisation complies with the most up to date EC legislation.
3 – Financial Standing	All	Pass/Fail	CPI will assess the financial standing of an organisation based on the financial strength/viability, its sales volume and other financial indicators
4 – Performance Capability	4.1, 4.2, 4.3, 4.4, 4.5, 4.6	Pass/Fail	CPI will make an assessment of the business activities of the organisation in line with the contract needs.
4 – Performance Capability	4.7,	0 – 25 26 – 50 51 – 75 - Possible further 25 points	Inadequate identification of resources required to meet contract needs. Adequate identification of resources required to meet contract needs. Detailed identification of resources required to meet contract needs. Details provided meet the above criteria and additionally demonstrate innovative approaches to the requirements of CPI.
4 – Performance Capability	4.8,	0 – 25 26 – 50 51 – 75 - Possible further 25 points	Organisational structure does not meet needs of the contract. Organisational structure meets the needs of the contract. Organisational structure clearly identifies responsibility for liaison between the organisation and CPI. Details provided meet the above criteria and additionally demonstrate innovative approaches to the requirements of CPI.
4 – Performance Capability	4.9	0 – 25 26 – 50 51 – 75 - Possible further 25 points	Details provided do not meet specified contract needs. Details provided meet contract needs. Details provided meet contract needs and demonstrate how the methodology applied is relevant to the requirements of CPI. Details provided meet the above criteria and additionally demonstrate innovative approaches to the requirements of CPI.
4a – Supplementary Questionnaire	4a.1	Pass/Fail	You must be registered or authorised by the FSA
4a – Supplementary Questionnaire	4a.2 – 4.a.4	0 – 25 26 – 50 51 – 75 76 – 100 NB. (Each question will be scored individually)	Details provided do not meet specified contract needs. Details provided meet contract needs. Details provided meet contract needs and demonstrate how the experience cited applied is relevant to the requirements of CPI. Details provided meet the above criteria and additionally demonstrate innovative approaches to the requirements of CPI.

Selection Criteria Continued

Section	Questions	Allocated Maximum Score	Methodology
5 – Equal Opportunities	All	Pass/Fail	CPI will ensure that the organisation meets the required legal minimum requirements.
6 - Health and Safety	All	Pass/Fail	CPI will ensure that the organisation meets the required legal minimum requirements.
7 – Environmental Management	All	Pass/Fail	CPI will make an assessment of the business activities of the organisation in line with the contract needs.
8 – Quality Assurance	All	Pass/Fail	CPI will make an assessment of the business activities of the organisation in line with the contract needs.

SECTION 1 – THE IDENTITY OF THE APPLICANT

- 1.1 Name address telephone. E-mail and fax number of your Company. This should be the Company that will submit the tender, if it is selected.

Details

- 1.2 Registered address, if different from above

Details

- 1.3 Registration Number & Date of Registration

Number

Date

- 1.4 Name of person making application on your behalf, and their position in the Company.

Details

- 1.5 Is your Company?

Yes/No

- i) a public limited company
- ii) a limited company
- iii) a sole trader
- iv) a partnership
- v) a limited partnership

- 1.6 Date Company was formed? (Please provide a brief history on a separate sheet).

Details

- 1.7 Date on which trading commenced.

Details

- 1.8 Date of any incorporation in U.K. (if different from 1.6)

Date

- 1.9 VAT registration number

Number

- 1.10 Is your Company registered under the Data Protection Act 1998? If so what is your DPA registration number

Yes / No

Number

- 1.11 Please enclose details of your company structure, e.g. organisation charts

Details are enclosed Yes /No

- 1.12 Is your Company a subsidiary of another company? If YES please provide the name and registered office address of the holding or parent company and the ultimate parent (if applicable)

Yes / No

Details

- 1.13 Is your Company affiliated or associated with any other company that would be capable of tendering for this opportunity? If YES please provide the name and registered office address

Yes / No

Details

- 1.14 Please give the names and responsibilities of the Executive Directors of your company.

Name

Responsibilities

- 1.15 Please provide the number and locations of the premises from which your company supplies Services similar to that required by CPI

Number

Locations

- 1.16 Please provide a statement detailing who within your Company will co-ordinate communication with CPI during the bid process? If several departments/sections of your Company are to be involved, please identify each department/section, the role

that they will play in the process, and describe the lines of accountability between the individual departments/sections.

Details

SECTION 2 - COMPLIANCE WITH EC LEGISLATION**UK Procurement Legislation**

- 2.1 Do any of the circumstances as set out in the Public Contracts Regulations 2006 (SI 2006 no: 5) Regulation 23(1) (Grounds for mandatory rejection (ineligibility) apply to your Company? Namely:

Has the Company named above (or its directors or any other person who has powers of representation, decision or control of such organisation) been convicted of any of the following offences?

- (a) conspiracy within the meaning of section 1 of the Criminal Law Act 1977 where that conspiracy relates to participation in a criminal organisation as defined in Article 2(1) of Council Joint action 98/733/JHA; **Yes / No**
- (b) corruption within the meaning of section 1 of the Public Bodies Corrupt Practices Act 1989 or section 1 of the Prevention of Corruption Act 1906; **Yes / No**
- (c) the offence of bribery; **Yes / No**
- (d) fraud, where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union, within the meaning of:
 - (i) the offence of defrauding the Revenue; **Yes / No**
 - (ii) the offence of conspiracy to defraud; **Yes / No**
 - (iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978; **Yes / No**
 - (iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985; **Yes / No**
 - (v) defrauding the HMRC within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994; **Yes / No**
 - (vi) an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; **Yes / No** or
 - (vii) destroying defacing or concealing of documents or procuring the extension of a valuable security within the meaning of section 20 of the Theft Act 1968; **Yes / No**

- (e) money laundering within the meaning of the Money Laundering Regulations 2003; **Yes / No** or
- (f) any other offence within the meaning of Article 45(1) of the Directive. 2004/181EC **Yes / No**

2.2 If any answer to 2.1 (a) to (f) is YES please give full details including any court actions and or industrial tribunal hearings. **Details**

2.3 Do any of the following circumstances as set out in the Public Contracts Regulations 2006 (SI 2006/No5) Regulation 23(4) (Grounds for rejection (non-mandatory)) apply to your Company (or its directors or any other person who has powers of representation, decision or control of such organisation)? Namely:

Discretionary grounds for rejection:

- (a) being an individual is bankrupt or has had a receiving order or administration order or bankruptcy restrictions order made against him or has made any composition or arrangement with or for the benefit of his creditors or has made any conveyance or assignment for the benefit of his creditors or appears unable to pay or to have no reasonable prospect of being able to pay, a debt within the meaning of section 268 of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate, or is the subject of any similar procedure under the law of any other state; **Yes / No / NA**
- (b) being a partnership constituted under Scots law has granted a trust deed or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of its estate; **Yes / No / NA**
- (c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002 has passed a resolution or is the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or has had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company's business or any part thereof or is the subject of the above procedures or is the subject of similar procedures under the law of any other state; **Yes / No / NA**
- (d) has been convicted of a criminal offence relating to the conduct of his business or profession; **Yes / No / NA**
- (e) has committed an act of grave misconduct in the course of his business or profession; **Yes / No**
- (f) has not fulfilled obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which the organisation is established; **Yes / No**

- (g) has not fulfilled obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which the economic operator is established; **Yes / No**
- (h) is guilty of serious misrepresentation in providing any information required of him under this regulation; **Yes / No**
- (i) in relation to procedures for the award of a public services contract, is not licensed in the relevant State in which he is established or is not a member of an organisation in that relevant State when the law of that relevant State prohibits the provision of the services to be provided under the contract by a person who is not so licensed or who is not such a member. **Yes / No**

Where applicable, the Candidate is registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in Annex IX B of Directive 2004/18/EC) under the conditions laid down by that member state.

- 2.4 If the answer to 2.3 (a) – (i) is YES please give full details including any court actions or industrial tribunal hearings.

Details

SECTION 3 - FINANCIAL STANDING AND INSURANCES

- 3.1 What is the name of the person in the Company responsible for financial matters?
What position does that person hold?

Name**Position**

- 3.2 Please enclose copies of all audited accounts and annual reports for the last three full years of trading and where the last financial year's accounts and reports are unsigned, draft accounts for that year should be provided. Please ensure that these include:-

Enclosed
(Tick box)

Balance sheet
Profit and loss accounts or income and expenditure accounts
Full notes to the accounts
Managing partner's or director's report,
Auditor's report.

☐
☐
☐
☐
☐

- 3.3 Please provide the name and address of your Company's bankers, and confirm that we may obtain references from them.

Details

- 3.4 Please provide details of your Company's current turnover in respect of the Services in which you are expressing an interest in supplying.

Details**Insurance**

- 3.5 Please give details of insurance as indicated below, supplying in each case a copy of the policy held by your Company in relation to that insurance.

- 3.6 Employers Liability Insurance held.

Insurer**Policy Number****Indemnity Value (£)****Expiry Date****Details are enclosed Yes / No**

- 3.7 Public Liability (Third Party) Insurance held.

Insurer

Policy Number

Indemnity Value (£)

Expiry Date

Details are enclosed Yes / No

3.8 Professional Indemnity Insurance held.

Insurer

Policy Number

Indemnity Value (£)

Expiry Date

Details are enclosed Yes / No

3.9 Please enclose full details of any claims in excess of £15,000 made under your Company's professional indemnity policy within the last three years.

Details are enclosed Yes / No

SECTION 4 – PERFORMANCE CAPABILITY

The following questions are intended to indicate your Company's general technical capacity and ability. Where necessary, please expand your answers to cover any particular arrangements which would apply to individual elements of the Services.

- 4.1 Has your Company ever suffered a deduction for liquidated and ascertained damages in respect of any contract within the last 3 years?

Yes / No

If YES please give details

- 4.2 Has your Company ever had a contract terminated or your employment determined under the terms of a contract?

Yes / No

If YES please give details

- 4.3 Has your Company ever not had a contract renewed for failure to perform to the terms of a contract?

Yes / No

If YES please give details

- 4.4 Have any of your Company's contracts ended early by mutual agreement or following allegations of default on your Company's part?

Yes / No

If YES please give details

- 4.5 Please provide details of the overall number of staff employed by your organisation and the number involved directly in the Supply of the Services of a similar nature to which this questionnaire relates.

Overall Number

Directly Involved

- 4.6 Would your organisation require additional staff for this contract?

Yes / No

- 4.7 Please provide a statement of the staff or technical resource available to you (the bidder) to carry out the contract including those responsible for quality control/assurance.
- 4.8 Please provide (on a separate sheet) the managerial structure you would work to when providing services of the type required by CPI. Please include a diagram setting out the relationship between partners/consortia members and sub-contractors where relevant. Clearly mark the separate sheet "Section 4 Question 4.8".

Details are enclosed Yes / No

If answer to above is yes, please identify category and number.

Details

- 4.9 Ability and experience of similar supplies of the Services as specified in "Section Suppliers Capabilities" with specific detail as the types of contract where consortia bids have been undertaken

Please list below the full names, addresses and other details requested of principal organisations to whom your Company has provided similar Services at any time during the last three years. Note. A minimum of three examples is required.

	Name and Address of Organisation or Nature of Business if Commercially Sensitive	Contact Name	Approx Value to Date £	Nature of Services	Dates of Contract
1					
2					
3					
4					
5					
6					

Please use additional sheets if necessary, but please mark clearly "Section 4 Question 4.9".

Details are enclosed Yes / No

SECTION 4a – SUPPLEMENTARY QUESTIONNAIRE

Ref.	Technical Question	Answer
4a.1	Are you registered or authorised by the FSA? Please provide certificates and details	
4a.2	Please provide the CVs of the individuals who will be providing the services along with details of the role they will perform	
4a.3	Please provide details of savings you have made for clients in the past and how you achieved this	
4a.4	Please provide details of your contacts and relationships with insurance providers and how you are able to use them to secure competitive prices for your clients	

SECTION 5 – EQUALITY AND DIVERSITY

Non-UK based Companies should attempt to answer each of the following questions, substituting where relevant the appropriate legislation/codes of practice etc which are applicable within their domestic jurisdiction.

- 5.1 Do you comply with the Sex Discrimination Act 1975 and the Equal Pay Act 1975?

Yes / No

- 5.2 Do you comply with the Disability Discrimination Act 1995?

Yes / No

- 5.3 Is it your policy as an employer to comply with your statutory obligations under the Race Relations Act 1976 as amended by the Race Relations (Amendment) Act 2000 and accordingly, is it your practice not to treat one group of people less favourably than others because of their colour, race, nationality or ethnic origin in relation to decisions to recruit, train or promote employees?

Yes / No

- 5.4 In the last three years, has any finding of unlawful racial discrimination been made against your Company by any court or industrial tribunal?

Yes / No

- 5.5 In the last three years, has your organisation been the subject of formal investigations by the Commission for Racial Equality on grounds of alleged unlawful discrimination?

Yes / No

If the answer to question 5.4 is yes or, in relation to question 5.5, the Commission made a finding adverse to your Company, then what steps did you take as a consequence of that finding?

Details

- 5.6 Is your policy on race relations set out in instructions to those concerned with recruitment, training and promotion and employees

Yes / No

Please supply relevant examples of the instructions, documents, recruitment advertisements or other literature.

Details are enclosed Yes / No

- 5.7 Do you observe as far as possible the Commission for Racial Equality's Code of Practice for Employment, as approved by Parliament in 1983, which gives practical guidance to employers and others on the elimination of racial discrimination and the promotion of equality of opportunity in employment, including the steps that can be

taken to encourage members of the ethnic minorities to apply for jobs or take up training opportunities.

Yes / No

If yes, please enclose copies and summarise the areas your policies covers.

Details are enclosed Yes / No

- 5.8 Are your employees with managerial responsibilities required to receive equal opportunities training?

Yes / No

If yes, please enclose details.

Details are enclosed Yes / No

- 5.9 Please provide details of how you communicate your commitment to equal opportunities to your employees and recognised trade unions.

Details are enclosed Yes / No

- 5.10 Do you have procedures in place to protect employees from all forms of discrimination, harassment and victimisation?

Yes / No

If yes, please provide details.

Details are enclosed Yes / No

- 5.11 Do you ask sub-contractors to provide proof of their equal opportunities policies and practices?

Yes / No

If yes, please provide details of what kind of evidence you ask sub-contractors to provide.

Details are enclosed Yes / No

SECTION 6 – HEALTH AND SAFETY

- 6.1 If your Company has more than five employees, please enclose a copy of the Company's health & safety policy and/or other declaration, information, or instruction issued by your Company, as necessary, to protect the health & safety of staff at work.

Details are enclosed Yes / No

- 6.2 Has your Company, during the last three years, been prosecuted for contravention of the Health & Safety at Work etc Act 1974, or equivalent national legislation? Has your Company been the subject of a formal investigation by the Health & Safety Executive, or similar national body charged with improving health & safety standards? (If so, please give full details).

Yes / No

Details

- 6.3 How are your health and safety policies and procedures conveyed to your employees and administered within your Company? (Please supply details).

Details are enclosed Yes / No

- 6.4 Does your organisation have Risk Assessment Procedures (for general, manual handling, COSHH etc) as required by the Management of Health and Safety at Work Regulations 1999 and associated legislation?

Yes / No

If yes, please provide a copy of a procedure and a copy of an assessment undertaken within the last 6 months appropriate to this contract.

Details are enclosed Yes / No

- 6.5 Does your organisation have a health and safety training programme for your employees to ensure that they are competent for their duties?

Yes / No

If yes, please provide details.

Details are enclosed Yes / No

SECTION 7 – ENVIRONMENTAL MANAGEMENT

7.1 Do you have an Environmental Policy?

Yes / No

If no, please explain why.

If yes, please provide a copy.

Details are enclosed Yes / No

7.2 Do you have a Sustainability Policy?

Yes / No

If no, please explain why.

If yes, please provide a copy.

Details are enclosed Yes / No

7.3 Please provide details of any environmental management certifications that your company has achieved e.g. ISO 14001 or equivalent and provide copies where relevant.

Details enclosed Yes / No

SECTION 8 – QUALITY ASSURANCE

- 8.1 Please provide details of any Quality Assurance systems operated by your organisation, both internally and externally through the supply chain.
- 8.2 Please describe the internal controls used by your organisation to manage the delivery of this type of contract to ensure that the requirements are met fully in terms of quality and timely delivery.
- 8.3 Please provide details of any quality assurance certification achieved by your organisation, relevant to this contract need. Please include a copy of relevant certificates where applicable.

Documents Enclosed Yes/No

SECTION 9 – DECLARATION

When you have completed the questionnaire, please ensure that:

- 9.1 You have answered all questions appropriate to your application;
 9.2 You have enclosed all documents requested;

Documents	Section	Attached
Organisation Chart	1	Y/N
Financial Information as requested	3	Y/N
Employers Liability Insurance	3	Y/N
Public Liability (Third Party) Insurance held	3	Y/N
Professional Indemnity Insurance	3	Y/N
Details of claims made under Professional Indemnity Insurance	3	Y/N
Managerial Structure / Consortia Structure	4	Y/N
FSA certificates	4	Y/N
Relevant Equal Opportunities Documents	5	Y/N
Relevant Health and Safety Documents	6	Y/N
Environmental Documents	7	Y/N
Quality Assurance Documents	8	Y/N

- 9.3 You have read and signed the section below.

I/We certify that the information supplied is accurate to the best of my knowledge and that I/We accept the conditions and undertakings requested in the questionnaire. I/We understand and accept that false information could result in rejection of my/our application to tender.

I/We understand that the offering or giving of any gift or consideration as an inducement will empower CPI to cancel any contract currently in force and will result in rejection of our application to tender.

NB. This undertaking is to be signed by a partner or authorised representative in their own name on behalf of your Company.

Signed for and on behalf of the Company _____

Name

Position/status in the Company

Company's name

Company's address

Date

IMPORTANT NOTE :
PLEASE NOTE THAT THE FULLY COMPLETED QUESTIONNAIRE ALONG WITH ALL SUPPORTING INFORMATION MUST BE RETURNED NO LATER THAN 12:00 NOON ON THE DATES SET OUT IN THIS DOCUMENT.