
Prosiect Gwyrdd

Procurement of Waste Treatment Solution for
Residual Municipal Waste

Pre-Qualification Questionnaire v 1.B Final

Issue Date 5 January 2010

Document History

Document Location

1.1 Document Control

Title	Prosiect Gwyrdd - Procurement of Waste Treatment Services for Residual Municipal Waste - Pre-Qualification Questionnaire
Author	Liz Lucas & T King
Drafting	Procurement Sub-Group Technical Sub Group Finance Sub-group Legal Sub-Group Project Team (with advisors)
Owner	Tara King

1.2 Version History

Version	Date	Summary	Changes Marked	Initials
Final	05.11.09	Re-versioned	Final Status	
	09.11.09	Amended scores as result of reviewing by Bravo and draft uploaded, & limited submissions to no. of words not pages	Final for issue	TK(SK) & VT
	11.11.09	Added reference to word limitations, corrected scores on app 6 section G	Final for issue	TK(RS) & VT
Final For publication	19.11.09	Updated dates,	Final for uploading	TK
Final 1 a	23.12.09	Re-worded Q F3 regarding removal of EPC contracts. Reworded Evaluation methodology: for 1) F3 and 2) removed UK Reference in F4	Final 1A for uploading revised attachments to etenderwales	TK
Final 1 b	05.01.10	Changes made to table re: F3 – page 85 and F3 title changed - p. 46.	Final for uploading	TK

1.3 Approvals

This document requires the following approvals.

Name	Signature	Title/Role
Project Team		Tara King, Project Manager
Project Board		Stephen Davison, SRO
Joint Committee		Cllr Mark Stephens - Chair

1.4 Distribution

This document has been distributed to:

Name	Title/Area of work	Date of Issue	Version
Pinsent Masons	Final Issue2.2 signed off from Pinsent masons	05.11.09	V1.0 Final
Project Board Project Team, Committee Clerks	Final	09.11.09	V1.0 Final
D Dhillon, Ruth Smith E Weale	Final	09.11.09	V1.0 Final
Joint Committee	Final for decision	11.11.09	V1.0 Final
Project Board, Project Team Advisors	Final for publication	20.11.09	V1.0 Final
Potential Providers as Clarification, Project Board, Project Team Advisors	Final 1A for publication	23.12.09	V1 A Final
Potential Providers as Clarification, Project Board, Project Team Advisors	Final 1B for publication	05.01.10	V1 B Final

**Prosiect Gwyrdd – Procurement of Waste Treatment Solution for
Municipal Residual Waste**

This document should be completed and returned in accordance with the instructions to Potential Providers set out in this **Pre-Qualification Questionnaire**.

Questionnaires to be Submitted by: 12 noon on 22 January 2010 through the Value Wales eTendering Portal.

This can be found at www.etenderwales.bravosolution.co.uk. Further instructions are in this Pre-Qualification Questionnaire.

CONTENTS

INSTRUCTIONS TO POTENTIAL PROVIDERS	8
1. INTRODUCTION	11
2. ASSESSMENT PROCEDURE FOR PQQ	19
PRE-QUALIFICATION QUESTIONNAIRE	21
SECTION A – GENERAL COMPANY INFORMATION	22
SECTION B – ELIGIBILITY	27
SECTION C – FINANCIAL AND ECONOMIC INFORMATION	30
SECTION D – ABILITY AND APPROACH TO RAISING PROJECT AND/OR CORPORATE FINANCE.....	35
SECTION E – EXPERIENCE OF WORKING ON SIMILAR PROJECTS	38
SECTION F – TECHNICAL CAPACITY AND ABILITY OF THE POTENTIAL PROVIDER.....	41
SECTION G – ENVIRONMENTAL AND QUALITY MANAGEMENT	50
SECTION H – POTENTIAL PROVIDER'S ADVISERS AND CONFLICT OF INTEREST.....	52
SECTION I – HEALTH AND SAFETY	54
SECTION J – EQUAL OPPORTUNITIES.....	58
SECTION K - REFERENCES	61
SECTION L – CERTIFICATION.....	62
APPENDIX 1 – FINANCIAL REFERENCE AUTHORISATION FORM.....	64
APPENDIX 2 – QUESTION PROFORMA.....	65
APPENDIX 3 – NOT USED.....	66
APPENDIX 4 – CONSORTIUM ACKNOWLEDGEMENTS	67
APPENDIX 5 – POTENTIAL PROVIDER'S PARENT COMPANY LETTER OF SUPPORT	69
APPENDIX 6 – DETAILED SCORING METHODOLOGIES.....	70
APPENDIX 7 – CHECKLIST OF INFORMATION	98

Instructions to Potential Providers

The Partnership (which comprises The County Council of the City & County of Cardiff, Caerphilly County Borough Council, Monmouthshire County Council, Newport City Council and the Vale of Glamorgan Council and/or such other local authority(ies) in South Wales as may join these authorities or may be substituted for one or more of these authorities) invites expressions of interest from suitably experienced organisations for the Procurement of a Waste Treatment Solution for Municipal Residual Waste. For the purposes of this procurement reference to **the 'Authority'** means The County Council of the City & County of Cardiff who is acting as Lead Authority on behalf of the Partnership for the purposes of this procurement.

This Pre-Qualification Questionnaire (**PQQ**) is supported by an Initial Descriptive Document (**IDD**), which explains the **'Project'** (Prosiect Gwyrdd) its structure and the requirements, services and aspirations of the Partnership in terms of Residual Waste Management.

You do not need to respond to the matters set out in the IDD at this stage. It is sent to you for information only. The only information required at this stage is that detailed with this PQQ.

To enable the Authority to assess your company's suitability to become a Potential Provider, it requires all the information outlined in the PQQ. Responses to this PQQ will be used by the Authority to select those organisations to be invited into the dialogue stage of the Procurement Process.

The **'Potential Provider'** means a single applicant or a Consortium applicant however:

- Where a **Consortium** arrangement is proposed but the consortium has not yet formed a legal entity then each Consortium Member (indicated in the PQQ using the term "Relevant Organisation") should also provide all information sought (unless instructed otherwise) but the responses should be collated and submitted by the Lead Consortium Member.
- Where a Consortium arrangement is proposed and the consortium has formed a single legal entity then the response should be made by the Consortium itself and information should be provided of the extent to which it will call upon the resources and expertise of its members.
- Where a single applicant proposes a sub-contracting arrangement then certain information (as indicated in the PQQ with the term "Relevant Organisation") should also be provided in respect of significant sub-contractors.

Relevant Organisation means each individual Consortium Member where a single legal entity has not yet been formed (including Lead Consortium Member), prime contractor and/or significant sub-contractors and single entity Potential Providers.

Failure to complete the PQQ in full or to produce any of the documents requested may result in your expression of interest being rejected or your

submission not being considered for inclusion in the list of companies or persons proceeding to the next stage.

The PQQ can be accessed online via etenderwales portal (the "Portal"). All PQQ returns must be made electronically via the Portal. Hard copies will not be considered.

Any information and / or documents submitted in response to the PQQ must relate to the Potential Provider (including for the avoidance of doubt Relevant Organisations) only.

Any queries relating to this document must be made via the www.etenderwales.bravosolution.co.uk web portal

The Authority reserves the right to terminate the process at any time or not to award the contract.

Potential Providers should be aware that under no circumstances shall the Authority or any of its representatives incur any liability in respect of this PQQ or any supporting documentation and any costs or expenses incurred by the Potential Provider will not be reimbursed by the Authority.

Instructions on How to Express Interest in this Tender

1. Register your company on the etenderwales portal (this is only required once)

- Browse to the eSourcing Portal:
www.etenderwales.bravosolution.co.uk
- Click the "Suppliers register here" link
- Agree to the terms and conditions and click "continue"
- Enter your correct business and user details
- Note the username you chose and click "Save" when complete
- You will shortly receive an email with your unique password (please keep this secure)

2. Express an Interest in the Project reference OJEU notice number: [326432-2009](#)

- Login to the portal with the username/password
- Click the "PQQs Open to All Suppliers" link. (These are Pre-Qualification Questionnaires open to any registered supplier)
- Click on the relevant PQQ to access the content.
- Click the "Express Interest" button in the "Actions" box on the left-hand side of the page.
- This will move the PQQ into your "My PQQs" page. (This is a secure area reserved for your projects only)
- Click on the PQQ code, you can now access any attachments by clicking the "Settings and Buyer Attachments" in the "Actions" box

3. Responding to the PQQ

- You can now choose to "Reply" or "Reject" (please give a reason if rejecting)

- You can now use the 'Messages' function to communicate with the Authority and seek any clarification
- Note the deadline for completion, then follow the onscreen instructions to complete the PQQ
- There may be a mixture of online & offline actions for you to perform (there is detailed online help available)

If you require any further assistance use the online help, or the BravoSolution help desk is available Mon – Fri (8am – 6pm) on:

Email: help@bravosolution.co.uk

Phone: 0800 843 9183/ Fax: 020 7080 0480

PQQ responses must be sent to:

Official name:

www.etenderwales.bravosolution.co.uk

Portal Address:

The Authority will be conducting this procurement exercise through the Value Wales eTendering Portal. This can be found at www.etenderwales.bravosolution.co.uk, all information may be downloaded and returned through this channel. Further instructions can be found above.

Please ensure that you are familiar with the Portal system and allow sufficient time to upload your PQQ response in order to meet the deadline.

1. INTRODUCTION

1.1 This PQQ forms part of an Information Pack for Potential Providers comprising of:

- The PQQ and Appendices including PQQ Evaluation Methodology
- An IDD

1.2 The PQQ comprises of the following:

Section A requests details of the Potential Provider.

Section B concerns eligibility to tender for the Project.

Section C asks for financial and economic information for each Potential Provider.

Section D is included to inform the Authority on the experience of the Potential Provider in raising project finance and/or corporate finance.

Section E asks for details of the experience of the Potential Provider of working on projects similar to the Project.

Section F asks for information that will be used in determining whether the Potential Provider meets the Authority's requirements in relation to technical ability and capacity.

Section G asks for information on environmental and quality management.

Section H asks for details of the Potential Provider's advisors and any potential for conflict of interest.

Section I asks for information on health and safety.

Section J asks for information on equal opportunities.

Section K asks for references for Potential Providers.

Section L asks for a certificate to be provided by each Potential Provider.

Appendix 1 Financial Reference Authorisation Form

Appendix 2 Question Pro-forma

Appendix 3 Not Used

Appendix 4 Consortium Acknowledgement

Appendix 5 Potential Provider's Parent Company Letter of Support

Appendix 6 Detailed Scoring Methodologies

- 1.3 Please answer all of the questions in the PQQ in as much detail as required and ensure that you submit copies of the necessary supporting documentation clearly marking each with the name of the Potential Provider.
- 1.4 Potential Providers should note that:
- The Authority reserves the right to clarify any issues arising from the responses to the PQQ with Potential Providers during the assessment process;
 - The Authority will not reimburse any expenses incurred by Potential Providers in participating in this procurement, including (but not limited to) expenses associated with preparing their responses to the PQQ, submissions of Outline Solutions, Detailed Solutions and Tenders. Potential Providers complete the PQQ at their own risk and expense.
- 1.5 If any of the information supplied in response to the PQQ changes at any subsequent stage in the procurement process, the Potential Provider is required to notify the Project Team via www.etenderwales.bravosolution.co.uk accordingly. In the case of a Consortium submission, it is the responsibility of the Lead Consortium Member to send the information to the Authority via the Portal.
- 1.6 To assess your company's suitability to become a Potential Provider all sections must be completed and if a Potential Provider considers a section is not applicable to their/ the company's circumstances then '**Not Applicable**' should be inserted in the form and an explanation given. Potential Providers should read all parts of this PQQ to ensure you are capable of fulfilling all of the requirements.

Potential Providers should note the following:

- 1.7 The information contained in this questionnaire must be treated with the strictest confidence, both before and after the pre-qualification process. No information may be disclosed to any third party, other than relevant sub-contractors, without the prior written permission of the Project Control Officer via the Portal.
- 1.8 Potential Providers must include where requested any supporting documents or additional information, marking clearly on all electronic enclosures the name of your firm/company and the question to which it relates. All requested enclosures must be submitted. Failure to do so may result in your PQQ response being regarded as non-compliant and may lead to your exclusion from this process. Whilst the Portal allows for large individual attachments sizes (max 50mb at a time), we recommend that you keep attachments to a manageable size to ensure ease and speed of access. Potential Providers are discouraged from including general marketing literature as this will not be considered. On some questions limitations are set for the size of response (e.g number of words to be provided,) this must be complied with and it

should be noted that the evaluation team will only consider the response which falls within that limit and will disregard everything else.

- 1.9 Potential Providers should note that they might be asked to clarify or provide additional information and that the provision of false information may disqualify a Potential Provider from this procurement process. The Project Team can only make its evaluations from the information you supply. It is the Potential Provider's responsibility to provide all the answers and information requested in a clear, concise and logical manner and at the appropriate points within the document. Cross-referencing and reliance on attachments (other than where specifically requested) should be avoided.
- 1.10 Should you be in any doubt as to the interpretation of either the content of this document or any instructions contained within it, please forward details of your enquiry using the 'messages' functionality contained in www.etenderwales.bravosolution.co.uk. Material questions and answers will be shared with all Potential Providers in an anonymous format except where the content relates to information that is commercially confidential. Potential Providers should indicate if they consider that their query should be treated as being commercially confidential and not for circulation to other Potential Providers. If the Authority disagrees with the Potential Provider the Potential Provider will be given the opportunity to withdraw the query or to agree that the response can be circulated. The closing date for receipt by the Project Team of questions is **ten** working days prior to the deadline for return of PQQs in order to provide feedback to all Potential Providers where appropriate.
- 1.11 The information contained within and supplied with this PQQ and Information Pack has been prepared by the Project Team in good faith but does not purport to be accurate, complete and exhaustive or to have been independently verified, nor to contain all of the information that a Potential Provider may require.
- 1.12 Potential Providers should not rely on the information supplied and should carry out their own due diligence checks and verify the accuracy of the Information Pack. Nothing in the Information Pack is warranted by the Project Team or its advisors nor shall be deemed a promise or representation as to the future. Potential Providers shall further be deemed to have carried out all necessary research, investigations and due diligence and all necessary enquiries in order to have satisfied themselves as to the nature, extent, volume and requirements of the Project, their obligations described in the Information Pack, the extent of the personnel, equipment, assets, plant and machinery which may be required and any other matter which may affect their bids.
- 1.13 None of the Partnership, the Project Team, its directors, officers, members, partners, employees, staff, agents or advisors accepts any responsibility for the information contained in the Information Pack or for its fairness, accuracy or completeness, or at any other stage of the procurement process for this Project leading up to the execution of the Project Agreement nor shall any of them be liable for any loss, damage or expense (other than in respect of fraudulent misrepresentation) arising as a result of reliance on such information or any subsequent communication. Only the express terms of

any written contract relating to the subject matter of this Information Pack, as and when it is executed shall have any contractual effect in connection with the matters to which it relates.

- 1.14 No information contained in this PQQ or in any communication made between the Authority and any Potential Provider in connection with this PQQ shall be relied upon as constituting a contract, agreement or representation that any contract shall be offered in accordance with this PQQ. The Authority reserves the right, subject to the appropriate procurement regulations, to change without notice the basis of, or the procedures for, the competitive tendering process or to terminate the process at any time or not to award a contract. Under no circumstances shall the Authority incur any liability in respect of this PQQ or any supporting documentation.
- 1.15 Direct or indirect canvassing of any Minister, Councillors, public sector employee or agent by any Potential Provider concerning this requirement, or any attempt to procure information from any Minister, public sector employee or agent concerning this PQQ or the Project **will** result in the disqualification of the Potential Provider from consideration for this requirement.

Instruction for Completion

- 1.16 Potential Providers should follow all of the instructions provided when completing this PQQ.
- 1.17 Questions (including all attachments should be answered in English.
- 1.18 The information supplied will be checked for completeness and compliance before responses are evaluated. Failure to furnish the required information, make a satisfactory response to any question, or supply documentation referred to in responses, within the specified timescales, may mean that a Potential Provider is not invited to participate further.
- 1.19 PQQ Responses will be evaluated in accordance with the procedures set out in Appendix 6. In the event that none of the PQQ responses are deemed satisfactory, the Authority reserves the right to terminate the procurement process.
- 1.20 The Project Team reserves the right to reject any PQQ response received after the deadline specified for responses at paragraph 1.21.

Deadline for Submission of Completed PQQ Responses

- 1.21 You must submit your completed PQQ via the Authority's eSourcing tool at www.etenderwales.bravosolutions.co.uk no later than **12 noon on 22 January 2010**. Completed PQQs may be submitted at any time before the closing date. Potential Providers must keep their contact details on the eSourcing tool up to date or they will be unable to receive communications from the Authority.

Purpose of this PQQ

- 1.22 This PQQ sets out the information which is required by the Authority in order to assess the suitability of Potential Providers in terms of their technical knowledge and experience, capability/capacity, organisational and financial standing to meet the requirements of the Project.

PQQ Stage Timetable

1.23

Activity	Date
Gateway Review	September 2009
Issue OJEU Notice	24 November 2009
Issue Pre-Qualification Questionnaire (PQQ)	On request to 11 January 2009
Bidders Day	07 December 2009
etenderwales Bidder Training	07 December 2009
Deadline for Receipts of PQQs	12 noon on 22 January 2010
Agree Shortlist	March 2010
Issue ITPD	March 2010

Further timetable information can be found in the Initial Descriptive Document

Freedom of Information

1.24 The Authority is committed to open government and to meeting their legal responsibilities under the Freedom of Information Act 2000 and the Environmental Regulations 2004. Accordingly, all information submitted to a public authority may need to be disclosed by the public authority in response to a request under the Act/Regulations. The Authority may also decide to include certain information in the publication scheme, which the Authority maintains under the Act.

1.25 If a Potential Provider considers that any of the information included in their PQQ is commercially sensitive, it should identify it and explain what harm may result from disclosure if a request is received, and the time period applicable to that sensitivity.

In respect of any information submitted by a Potential Provider that it considers to be commercially sensitive the Potential Provider should:

- (i) clearly identify such information as commercially sensitive;
- (ii) explain the potential implications of disclosure of such information; and
- (iii) provide an estimate of the period of time during which the Potential Provider believes that such information will remain commercially sensitive.

1.26 Please submit responses to 1.25 (i),(ii) or (iii) as an Annex with the completed PQQ.

Where a Potential Provider identifies information as commercially sensitive, the Authority will endeavour to maintain confidentiality. Potential Providers should note, however, that, even where information is identified as commercially sensitive, the Authority might be required to disclose such information in accordance with the Act or Regulations. Accordingly, the Authority cannot guarantee that any information marked 'commercially sensitive' will not be disclosed.

- 1.27 Potential Providers should also note that the receipt of any 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.

Provider Contact Point

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

Provider Selection

- 1.29 The objective of the pre-qualification process is to assess the responses to the PQQ and select Potential Providers to proceed to the next stage of the procurement.
- 1.30 The Authority may disqualify any Potential Provider who fails to:
- (i) Comply with the requirement of Regulation 23 (please see Section B and Appendix 6);
 - (ii) Provide a satisfactory response to any questions in the PQQ or inadequately or incorrectly completes any question; and/or
 - (iii) Submit its completed PQQ after the deadline specified in paragraph 1.21.
- 1.31 The PQQ responses of Potential Providers which comply with the requirements in paragraph 1.30 shall be evaluated against the pre-qualification criteria and evaluation methodology set out at Section 2 below and at Appendix 6, which takes into account the economic and financial standing and the technical or professional ability of the Potential Providers and will be in accordance with Regulations 23-25 of the Public Contracts Regulations 2006 (as amended). During the PQQ stage, the intention is to arrive at a short list of a maximum number of 8 qualified providers (9 if there is equal points scored at 8th place) for formal invitation to the dialogue stage against the requirement as advertised in OJEU Notice 20XX/s XX-XXXXX dated 20XX. The 8(9) providers to be taken forward will be those who achieve the highest weighted scores from the evaluation as described in section 2 and Appendix 6.
- 1.32 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 conduct reference site visits; ask for demonstrations; and /or presentations as part of the PQQ process.

- 1.33 Evaluation of tenders at the award stage will be undertaken in accordance with the contract award evaluation criteria and methodology that will be provided in subsequent Descriptive Documents which accompany the Invitation to Participate in Dialogue and subsequent invitations.

2. ASSESSMENT PROCEDURE FOR PQQ

PQQ Stage 1 & Stage 2 (Completeness & Compliance)

Stage 1

- 2.1. An assessment will be carried out to eliminate any Potential Providers that shall be disqualified in accordance with Regulation 23 of the Public Contract Regulations 2006 (please see Section B). Potential Providers will also be assessed to determine that there are no legal impediments to their continued participation in the process (such as to do so would be outside their powers or contrary to law) or any irreconcilable conflicts of interest.

Stage 2 Completeness & Compliance

- 2.2 Following confirmation that the Potential Provider is eligible to participate in the procurement process, the Authority will then establish whether the Potential Provider has complied with the information requirements, responded to all questions and signed the declarations and documents set out in the PQQ. Potential Providers who are found not to have provided a complete and compliant response may be rejected.

Stage 3 Scoring Responses

Minimum Economic and Financial Standing threshold

- 2.3 The Potential Provider must have financial solvency and strength such that it scores at least 50% of the total available marks for the Economic and Financial Standing criteria when applying the evaluation methodology set out in Appendix 6. (Note that continued and further assessment of financial standing prior to contract award will also be undertaken including at the ITPD and the Competitive Dialogue stages to ensure that the position at PQQ remains the same).
- 2.4 Where a Potential Provider has selected the option of the assessment being undertaken on the Parent Company Accounts or the accounts of a Guarantor, the preliminary assessment will be undertaken on those accounts provided that sufficient evidence has been supplied of actual parent company/guarantor support and participation (by way of example a willingness to provide Parent Company Guarantees, Guarantees, letters of Credit, equity injection and so on). Where it is confirmed by a Potential Provider/Relevant Organisation that Parent Company support will/would be provided but the assessment was not requested to be undertaken on the basis of the Parent Company, the Authority reserves the right to contact the company and request clarification that the assessment can be undertaken based on the Parent Company/group accounts.

Minimum Thresholds of Technical Capacity

- 2.5 Minimum technical thresholds have been set and the Potential Provider must demonstrate sufficient previous relevant experience in the delivery of major

infrastructure and waste treatment projects such that it scores at least 40% of the total marks available for Section F when its submission in respect of section F is assessed. It is also the case that Potential Providers may be excluded for failing to satisfy each of the pass/fail minimum thresholds set out in Appendix 6 for this section.

2.6 Within this assessment the Potential Provider will have demonstrated:

- 2.6.1 Previous experience in delivering a major infrastructure project of similar complexity to the Project. Major infrastructure projects of similar complexity could include: waste treatment facilities, water treatment facilities, power stations, chemical processing facilities.
- 2.6.2 Previous experience of operating a waste treatment facility (or services) (for the avoidance of doubt other than landfill) that have been commercially sustainable for a period of at least 18 months and demonstrated an annual operational availability of at least 8000 hours. For a Consortium bid, at least one Consortium Member should meet this threshold.
- 2.6.3 Other questions in the PQQ containing pass/fail minimum thresholds are set out in Appendix 6, together with further details of the Stage 3 scoring and evaluation process.

Ranking in Accordance with Objective and Non Discretionary Criteria

- 2.7 Full details of the PQQ evaluation criteria and methodology are set out in Appendix 6. In essence the PQQ evaluation methodology is designed to ensure that those invited to participate in the dialogue have the economic and financial standing and the technical capacity to meet the Authority's output requirements as outlined in the IDD and each of those elements are explored in the PQQ.
- 2.8 For those that achieve the minimum thresholds, a weighted 'score' out of 100 points will be awarded based on the responses to the PQQ questions (in turn based on Regulations 24-26) and achieved as shown in Appendix 6.

Interview

- 2.9 To assist in the evaluation of the response to the PQQ, the Team reserves the right to request Potential Providers attend an interview to clarify any outstanding issues arising from their responses to the PQQ.

Clarification of Potential Providers' Responses

- 2.10 The Team's approach to clarification will be consistent to ensure that one Potential Provider does not receive an unfair advantage over the rest. In addition, there will be a clear audit trail documenting the reasoning behind any attempt to seek clarification in writing (via etenderwales).
- 2.11 Potential Providers should be aware that the Project Team is under no obligation to seek clarification and it is the responsibility of the Potential Provider to ensure that their responses are unambiguous and complete and to seek clarification if necessary of the Authority's requirements.

PRE-QUALIFICATION QUESTIONNAIRE

Reminder of Definitions

Potential Provider – a single entity or Consortium applicant

Lead Consortium Member – the lead Consortium Member

Relevant Organisation – includes a single entity Potential Provider, Lead Consortium Member, all individual Consortium Members, prime contractor and significant sub-contractors.

SECTION A – GENERAL COMPANY INFORMATION

Questions A1 to A7 are to be completed by single entity Potential Providers and where a Consortium is proposed that has not formed a single legal entity questions A1 to A7 should be completed by the Lead Consortium Member.

Questions A8 to A11 should be completed by all Relevant Organisations including single entity Potential Providers.

Failure to provide the information sought in any of Q A1 to A11 inclusive where relevant may result in a FAIL and disqualification from the process.

A1 Name of Potential Provider

--

A2 Name and contact details of principal contact:

Name:

Position in Organisation:

Address:

E-mail:

Telephone:

Mobile:

Where a Consortium or sub-contracting arrangement is proposed:

- A3 Specify the role that each Relevant Organisation will deliver and its position in the Consortium or group.

Name of organisation	Whether the Relevant Organisation is an equity shareholder in any special purpose vehicle (SPV), proposed or existing subcontractor or participant in another way	Works/services to be delivered for the Project

- A4 The Authority will require a Consortium to form a single legal entity before entering into the contract for the Project. Please provide details of the likely share holding of each Consortium Member in the SPV for this project.

Please state if this is not applicable.

- A5 Please complete the table below setting out, in percentage terms, the anticipated split of costs between the Relevant Organisations or their guarantor (either costs borne or underwritten).

Relevant Organisation (or guarantor)	Capital costs to be borne/ underwritten (%)	Operating phase costs to be borne/ underwritten (%)
--------------------------------------	---	---

1		
2		
3		
4		
5		
6		
Total	100%	100%

A6 Please provide details of each Relevant Organisation's main areas of business and confirm the activity to be provided by that organisation is within the organisation's powers.

Organisation Name:
Main Area Business:
Within organisation's powers: yes/no

A7 In respect of a Consortium or sub-contracting arrangement provide an organisation chart and details of the relationship between Relevant Organisations including details of any performance guarantees, between the organisations and whether this arrangement may change during the design, installation and operational phases of the contract.

Please give full details about:

- The intended contractual and legal relationships between Consortium Members
- Where a sub-contracting structure is proposed please explain the nature of the intended contract (e.g. flow down from SPV, consultant appointment on a standard form etc)
- Exactly what type of guarantee, warranty or other ancillary instruments would be provided and to whom
- Where the identity of a Relevant Organisation is not known (because, for example, a procurement process would be held) please set out the methodology and your evaluation criteria for selecting the appropriate player.

--

--

A8 Name of Relevant Organisation.

--

A9 Provide details of registered office and registered number, VAT number and date of registration if a company or LLP organisation (public / private limited company, limited liability partnership, or their equivalent, or other – please specify). If not a company, provide status of organisation, including details of the trading address. If based outside of the UK please provide equivalent information.

Registered Office:	
Registration number	
Date of registration	
VAT Number	

Please enclose a copy of the Company Certificate of Incorporation (if applicable) and any certificate of incorporation on change of name or equivalent documentation applying in the relevant jurisdiction of the Lead Consortium Member.

A10 Names of Directors and Secretary (if a company),
Names of Partners (if a partnership)

--

A11 If the organisation is a limited company, or its equivalent, is it a subsidiary of another company? If so, provide details of the name of each holding or parent company.

SECTION B – ELIGIBILITY

This section should be completed by all Relevant Organisations including single entity Potential Providers.

Grounds for mandatory rejection

- B1 We confirm that, to the best of our knowledge, the Relevant Organisation is not in breach of the provisions of Regulation 23 of the Public Contracts Regulations 2006 (as amended) and in particular that:

The Relevant Organisation or its directors or any other person who has powers of representation, decision or control of the named organisation has not been convicted of any of the following offences:

(a) conspiracy within the meaning of section 1 of the Criminal Law Act 1977 where that conspiracy relates to participation in a criminal organisation as defined in Article 2(1) of Council Joint Action 98/733/JHA (as amended);

(b) corruption within the meaning of section 1 of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906 (as amended);

(c) the offence of bribery;

(d) fraud, where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union, within the meaning of:

- (i) the offence of cheating the Revenue;
- (ii) the offence of conspiracy to defraud;
- (iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;
- (iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985 or section 993 of the Companies Act 2006;
- (v) defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994;
- (vi) an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; or
- (vii) destroying, defacing or concealing of documents or procuring the extension of a valuable security within the meaning of section 20 of the Theft Act 1968;

(e) money laundering within the meaning of the Money Laundering Regulations 2003 or Money Laundering Regulations 2007; or

(f) any other offence within the meaning of Article 45(1) of Directive 2004/18/EC as defined by the national law of any relevant State.

Organisation name	
Signed	
Position	
Date	

Discretionary grounds for rejection

B2 The Relevant Organisation confirms that it:

(a) being an individual is not bankrupt or has not had a receiving order or administration order or bankruptcy restrictions order made against him or has not made any composition or arrangement with or for the benefit of his creditors or has not made any conveyance or assignment for the benefit of his creditors or does not appear 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 not granted a trust deed for creditors or become otherwise apparently insolvent, or is not the subject of a petition presented for sequestration of his estate, or is not the subject of any similar procedure under the law of any other state;

(b) being a partnership constituted under Scots law has not granted a trust deed or become otherwise apparently insolvent, or is not the subject of a petition presented for sequestration of its estate;

(c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002 has not passed a resolution or is not 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, nor 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 not the subject of similar procedures under the law of any other state;

(d) has not been convicted of a criminal offence relating to the conduct of his business or profession;

(e) has not committed an act of grave misconduct in the course of his business or profession;

(f) has 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;

(g) has 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;

(h) is not guilty of serious misrepresentation in providing any information required of him under this regulation;

(i) in relation to procedures for the award of a public services contract, is licensed in the relevant State in which he is established or is 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.

Organisation name	
Signed	
Position	
Date	
If not possible to sign, please give reasons	

SECTION C – FINANCIAL AND ECONOMIC INFORMATION FOR EACH RELEVANT ORGANISATION

Questions C1 to C18 are to be completed by each Relevant Organisation including single entity Potential Providers on separate sheets, if applicable

Where a Relevant Organisation wishes its financial assessment to be based on its parent company/group or a guarantor, section C should be completed in relation to the Relevant Organisation **and** the parent company/group/guarantor.

C1 Name of the Relevant Organisation:

--

C2 Relevant Organisation's VAT number:

--

C3 Name and contact details of the officer responsible for finance for each Relevant Organisation to whom financial queries can be directed

Name:

Position:

Address:

E-mail:

Telephone:

Facsimile:

C4 Name and address of Relevant Organisation's principal bankers:

Name:

Address:

Contact Name: E-mail: Telephone: Facsimile:
--

- C5 Provide two copies of the full annual report and audited accounts for each of the previous three financial years. If the most recent balance sheet is more than ten months out of date, please include a copy of the chairman's half-yearly statement (if available) and a statement signed by the director responsible for financial matters setting out any known significant changes in the current financial position from the last available balance sheet.

Accounts Attached	Yes / No
-------------------	----------

- C6 Provide details of the Relevant Organisation's overall turnover and the turnover for waste treatment projects for the previous three financial years.

	2008/9:	2007/8:	2006/7:
Overall Turnover			
Waste treatment PFI/PPP turnover			
Other waste treatment turnover			
Other PFI/PPP Project (non-waste treatment) turnover			
Other turnover			

- C7 Provide a statement, as at the last reporting date, of any contingent liability or loss (where not otherwise reported) that would require disclosure in accordance with International Accounting Standard 10.

--

- C8 Please detail any claims or litigation currently outstanding or successfully made against your company in the last three years. Enter 'none' if no claims have been made.

--

- C9 Please give details of any changes in company policy since the last published accounts or any planned changes, for example acquisitions, mergers, share issues, major investment, major loans etc.

--

- C10 Please give details of any event between the date on which the latest set of accounts was authorised for issue and the date of the submission of this Questionnaire that, had the accounts not been authorised for issue until the submission date, would have required an adjustment or disclosure in accordance with the provisions of International Accounting Standard 10.

--

- C11 Please provide a statement indicating whether or not the ownership of the Relevant Organisation has changed significantly over the past twelve months. Where applicable, please provide details

State if "not applicable".

--

- C12 Please provide copies of any company announcement made to the authorities of the stock exchange, market or bourse on which the stocks or shares of the company are publicly traded, since the publication of the latest set of accounts.

State if 'not applicable'.

- C13 Please provide a statement indicating whether or not the Relevant Organisation has been subject to a financial investigation by an accredited UK or EU regulator or other comparable regulator. Please provide details where applicable.

- C14 Please state if you wish your financial assessment to be based on your parent company/group or a guarantor? A parent company guarantee will be required if the assessment is to be based on the parent company/guarantor's accounts.

The assessment is/is not* to be based on parent company/group accounts/guarantor.

A parent company guarantee or guarantee is/is not* available.

Section C has/has not* been completed in relation to both the Relevant Organisation and the parent company/guarantor.

* Please delete as appropriate

- C15 Provide evidence of the employers' liability insurance, public liability insurance, professional liability or indemnity insurance and environmental impairment and pollution liability insurance for the Relevant Organisation. The evidence should include the name of the insurers, policy numbers, expiry date, and limits for any one incident, any applicable aggregate annual cap and the excesses under the policy.

	Employer's Liability Insurance	Public Liability Insurance	Professional Liability or Indemnity Insurance	Environmental Impairment and Pollution Liability Insurance

Name of Insurers:				
Policy Numbers:				
Expiry Date:				
Value of Cover				
Limits for any one incident:				
Annual aggregate cap (if applicable):				
Excess Limit:				

- C16 It is a mandatory requirement that the Potential Provider holds and continues to hold (or is able to and will commit to holding if awarded the contract) Public Liability Insurance with a minimum indemnity value for any one incident of £50,000,000.

If you are intending to bid as a consortium, it is a mandatory requirement that the consortium holds and continues to hold (or is able to and will commit to holding if awarded the contract) Public Liability Insurance with a minimum indemnity value for any one incident of £50,000,000.

Please confirm, by answering "YES" that you are able to comply with this requirement.

- C17 It is a mandatory requirement that the Potential Provider holds and will continue to hold (or is able to and will commit to holding if awarded the contract) a Professional Indemnity Insurance of a minimum of £10,000,000 per incident. If you are intending to bid as a Consortium, it is a mandatory requirement that the Consortium holds and will continue to hold (or is able to and will commit to holding if awarded the contract) a joint Professional Indemnity Insurance of at least £10,000,000 per incident.

Please confirm, by answering "YES" that you are able to comply with this requirement.

- C18 It is a mandatory requirement that the Potential Provider holds and continues to hold (or is able to and will commit to holding if awarded the contract) Environmental Impairment and Pollution Liability Insurance with a minimum indemnity value for any one incident of £10,000,000.

If you are intending to bid as a consortium, it is a mandatory requirement that the consortium holds and will continue to hold (or is able to and will commit to holding if awarded the contract) Environmental Impairment and Pollution

Liability Insurance with a minimum indemnity value for any one incident of £10,000,000.

Please confirm, by answering “YES” that you are able to comply with this requirement.

- C.19 It is a mandatory requirement that your organisation holds and continues to hold (or is able to and will commit to holding if awarded the contract) Employers Liability Insurance with a minimum indemnity value for any one incident of £10,000,000.

If you are intending to bid as a consortium, it is a mandatory requirement that the consortium holds and continues to hold (or is able to and will commit to holding if awarded the contract) Employment Liability Insurance with a minimum indemnity value for any one incident of £10,000,000.

Please confirm, by answering “YES” that you are able to comply with this requirement.

SECTION D – ABILITY AND APPROACH TO RAISING PROJECT AND/OR CORPORATE FINANCE

To be completed by all Relevant Organisations including single entity Potential Providers

- D1 Provide details as to prior experience in raising project finance and/or corporate finance in excess of £10m (or equivalent value in other currency) in relation to similar infrastructure projects, ideally in respect of residual waste treatment facilities. Information should be provided as to the form of that finance and, where a Relevant Organisation is providing the information, the role played by that Relevant Organisation in that project (i.e. bidder, consortium member etc).

Details provided should include the following:

- (a) Name of Project
- (b) Date of Financial Close
- (c) Role played by the Relevant Organisation in the Project
- (d) Scale of debt finance raised
- (e) Type of finance raised (eg. bank sourced project finance, corporate finance)

--

- D2 Where applicable, please give details of prior corporately funded deals where the Relevant Organisation was able to provide evidence (e.g. a letter of support) that a parent company guarantee was available in relation to funding, stating the source and value of the guarantee and the terms associated with the relevant funding.

- D3 Where a corporate funding solution is proposed, please confirm and provide evidence (e.g. letter of support) that a Parent Company Guarantee is available in relation to funding, stating the source and value of the guarantee.

Question D4 is to be completed by the Lead Consortium Member or if the organisation is a consortium, by any Relevant Organisation intending to provide equity

- D4 Please provide details of your experience of providing risk / equity funding for waste or other PFI/PPP infrastructure projects (e.g. equity investment in a project company or on balance sheet), ideally in respect of residual waste treatment.

Details provided should include the following:

- (a) Name of Project
- (b) Date of Financial Close
- (c) Role played by the Relevant Organisation in the Project
- (d) Scale of equity raised and proportion of overall equity
- (e) Form of equity (i.e. pure equity, subordinated debt etc..)



SECTION E – EXPERIENCE OF WORKING ON SIMILAR PROJECTS

Questions E1-E3 are to be completed by all Relevant Organisations. Explanatory statements by each Relevant Organisation should be no more than 500 words.

- E1 – Provide details for the past 3 years as to whether the Relevant Organisations, either all or some have worked or are working together on other similar PPP projects. Disclose the date when the Relevant Organisation's involvement started and whether the scheme is at bidding stage, at Preferred Bidder, has reached financial close, has completed construction, is operational, has been cancelled, or if none of these are applicable, the stage the scheme has reached.

--

- E2 – Please provide details of your experience in contract interfacing with other contractors and/or waste collection/disposal authorities.

--

- E3 – If new relationships are being created for this Project, provide details as to how the Relevant Organisations are drawing on their experience of similar projects over the last three years to form the new relationships to create a Potential Provider.

--

Staff Experience

Questions E4-E5 to be completed by each Relevant Organisation, on separate sheets, if applicable. Response to this section should be no longer than 2000 words.

- E4 Please provide details of all the key persons who have experience in the development and provision of services similar to those described in Questions E1 and E2 and who are likely to be involved in the management structure and/or running of the project for the Relevant Organisation and state if these

are different from those who will be involved in negotiations with the Authority.
Please provide CVs for key personnel.

--

- E5 Provide details for the Relevant Organisation of any trade association membership, or awards subscribed to or achieved:

--

Please answer the following questions E6-E9 regarding contracts. If the answer to any of the questions is 'Yes', please provide a full explanatory statement in the box following question E9.

- E6 Has any Relevant Organisation ever suffered deductions for liquidated and/or ascertained damages in respect of any contract within the last two years.

	Please Delete
Deductions for liquidated and/or ascertained Damages	YES/NO
If yes, please answer the following two questions:	
Did the deduction exceed £50,000?	YES/NO
Was the deduction greater than 10% of the whole life value of the contract?	YES/NO

- E7 Has any Relevant Organisation ever had a contract terminated or its employment determined under the terms of the contract in the last three years?

Contract terminated / employment determined	YES/NO (Please delete)
---	---------------------------

- E8 Has any Relevant Organisation ever failed to receive a contract renewal on the basis of unsatisfactory performance in the last three years?

Failed to receive contract renewal	YES/NO (Please delete)
------------------------------------	---------------------------

- E9 Is there any material pending or threatened litigation or other legal proceedings connected with similar projects against the Relevant Organisation that may affect delivery of this Project?

Legal proceedings pending	YES/NO (Please delete)
---------------------------	---------------------------

If you have answered 'Yes' to any of questions E6-E9 please give an explanatory statement;

Brief statement (300 words or fewer)
(Either insert required details or state 'None')

State if not applicable

SECTION F – TECHNICAL CAPACITY AND ABILITY OF THE POTENTIAL PROVIDER

Answers to questions F1 to F4 are to be completed by the Potential Provider on separate sheets, if applicable. In responding to these questions, where the Potential Provider is a consortium it will be a matter for the consortium to determine in respect to which most appropriate Relevant Organisations the questions are completed to best demonstrate the Potential Provider's previous experience.

For the avoidance of doubt, up to six examples in total are required from the Potential Provider for each question. The examples will be scored overall, but it should be appreciated for each question that if 6 examples are given which all score highly then this will lead to an overall higher score than if only 2 high scoring examples are given.

Experience of proposed consortium roles in Comparable Project

- F1** Please provide details of up to six successful and recent contracts in which the Relevant Organisation (as illustrated by the structure chart provided in answer to A7) has performed, participated in, or those contracts where the Relevant Organisation has provided services comparable with its proposed role within the Consortium. Ideally these should be examples of projects within the last three years, but up to six of your most recent examples should be submitted, even if older.

Please input data into the Facility Data Sheet below. Copy the data sheets as many times as is necessary and reference number them to provide details for each project.

Relevant Organisation:			
Q.F1 Example Number:		1 of X	
Role of Relevant Organisation in Project (Select as applicable)	<input type="checkbox"/> Design	<input type="checkbox"/> Construction	<input type="checkbox"/> Operate
	<input type="checkbox"/> Manage as part of system		<input type="checkbox"/> Technology provider
	<input type="checkbox"/> Other - specify		
Contract Award Date:		Contract end date:	
Facility Operational Date:		Contract award procedure used:	
Final Facility Cost:		Funding raised and source:	
<u>Facility Reference</u>			
Name of Facility or Service:			
Location:			
<p>Description of Facility/Service (including size/scope). Please include any sustainability of design rating (e.g. BREEAM, or other externally recognised standard) for the facility and/or any external recognition /awards.</p> <p>NB. For each Facility Data Sheet you may attached up to 1000 words of descriptive text, and two A3 sized schematic/layout images:</p>			

Area of Client Served:
If the facility described is a waste treatment facility, please provide the following additional information:
Feedstock Description (including nature/composition):
Design Capacity:
Current Operating Throughput:
Performance of Facility or Service:
Please give details of any professional advisors utilised in the delivery of the project: Advisor 1 Firm: Name: Function: Advisor 2 Firm: Name: Function: Advisor 3 Firm: Name: Function:
Regulatory Authority (Stating local office where appropriate):
Customer Contact:

Experience of Waste Treatment Facilities

F2 Please provide information, which demonstrates recent experience or involvement that the Relevant Organisation(s) have had, ideally over the past three years, in:

- Operating a major waste treatment facility (or other similar processing facility);
- Providing municipal waste treatment services; and
- On-going operation and contract management of municipal waste treatment facilities.

Only examples that can meet the following criteria will be considered in the assessment of your response:

- facilities that have been commercially sustainable for a period of at least 18 months.
- facilities that have demonstrated an annual operational availability of at least 8000 hours.

And Potential Providers must provide evidence to support its achievement of these thresholds.

Your most recent examples (up to six in respect of the most appropriate Relevant Organisation(s)) should be submitted, even if older than three years, and the table below completed for each.

Relevant Organisation:			
Q.F2 Example Number:	1 of X		
Role of Relevant Organisation in Project (Select applicable)	<input type="checkbox"/> Design	<input type="checkbox"/> Construction	<input type="checkbox"/> Operate
	<input type="checkbox"/> Manage as part of system		<input type="checkbox"/> Technology provider
	<input type="checkbox"/> Other - specify		
Contract Award Date:	Contract end date:		
Facility Operational Date:	Contract award procedure used:		
Final Facility Cost:	Funding raised and source:		
<u>Facility Reference</u>			
Name of Facility or Service:			
Location:			
<p>Description of Facility/Service (including size/scope). Please include any sustainability of design rating (e.g. BREEAM, or other externally recognised standard) for the facility and/or any external recognition /awards.</p> <p>NB. For each Facility Data Sheet you may attached up to 1000 words of descriptive text, and two A3 sized schematic/layout images:</p>			
Area of Client Served:			
Feedstock Description (including nature/composition):			
Design Capacity:			
Current Operating Throughput:			
Performance of Facility or Service:			
<p>Please give details of any professional advisors utilised in the delivery of the project:</p> <p>Advisor 1 Firm: Name: Function:</p> <p>Advisor 2 Firm: Name: Function:</p> <p>Advisor 3 Firm: Name: Function:</p>			

Regulatory Authority (Stating local office where appropriate):
Customer Contact:

Experience in Designing, Constructing and Commissioning Waste Treatment Facilities.

F3 Please provide from the examples given in question F1 and F2, up to two relevant examples of where the Relevant Organisation has previously designed, constructed and commissioned waste treatment facilities. The response should clearly state the contractual arrangements in place, whether EPC (Engineer, Procure and Construct) Contracts or otherwise.

Relevant Organisation:			
Q. F3 Example Number:	1 of X		
Role of Relevant Organisation in Project (Select applicable)	<input type="checkbox"/> Design	<input type="checkbox"/> Construction	<input type="checkbox"/> Operate
	<input type="checkbox"/> Manage as part of system		<input type="checkbox"/> Technology provider
	<input type="checkbox"/> Other - specify		
Contract Award Date:	Contract end date:		
Facility Operational Date:	Contract award procedure used:		
Final Facility Cost:	Funding raised and source:		
Key features of Payment mechanism:			
Name of Facility / Building or Service:			
Location:			
Brief description of Solution/Service (including size/scope).			
Area of Client Served:			
Identify any model contract documents used in procurement:			
Customer Contact:			
Potential Providers may append no more than 1000 words providing further relevant details.			

Experience in delivering Operating Contracts

F4 Please provide from the examples given in question F1 and F2, up to two relevant examples of where the Relevant Organisation has previously delivered an Operating Contract.

Both cases should preferably be waste projects.

Relevant Organisation:	
Q.F4 Example Number:	1 of X
Contract Award Date:	Contract end date:
Facility Operational Date:	Contract award procedure used:
Name of Facility / Building or Service:	
Location:	
Brief description of Facility/Service (including size/scope).	
Area of Client Served:	
Identify any model contract documents used in procurement:	
Customer Contact:	
Potential Providers may append no more than 500 words providing further relevant details.	

Questions F5 to F8 should be completed by the most appropriate Relevant Organisation(s) of the Potential Provider in order to effectively demonstrate the experience of the Potential Provider in relation to the Project.

Experience of identifying and Securing Sites

- F5** With regard to the facilities identified in Question F1 and F2 the most appropriate Relevant Organisation should provide comprehensive details of how the sites were identified and acquired.

Information provided should outline key milestone activities including details of the site selection process, and the process undertaken to acquire (purchase or lease) a site(s), facility type and scale, and the timescales for the site acquisition process. Include details of your methodology surrounding site surveys, investigations and consultation.

The response to this question must not exceed 1000 words.

Experience in gaining planning permission

- F6** With regard to those facilities mentioned in Question F1 and F2 the most appropriate Relevant Organisation shall provide comprehensive details on its experience in gaining and securing planning permission.

Information provided should outline key milestone activities for site(s), facility type and scale and the timescales for the planning processes broken down by: preparing the Environmental Statement and design and Access Statements; carrying out pre-planning application consultation and community engagement; submitting the planning application and securing the planning decision notice. If any of the planning determinations were subject to objections or judicial review (or the equivalent in the jurisdiction of the relevant organisation) the details of how these issues were addressed or overcome must be included.

Ideally, planning permissions will have been secured in the past three years, but please submit your most recent examples, even if older. Please outline your understanding of the processes and explain the approach you would take to a future major application.

The response to this question must include a summary of no more than 4,000 words in total with reference to background papers for no more than one example of

- An Environmental Impact Assessment
- A Planning Application
- An Appropriate Assessment (pursuant to the Conservation (Natural Habitats) (Amendment) (England and Wales) Regulations, 2007 or equivalent legislation).
- An explanation of any experience you have in Planning Appeals.

Experience in the development, operation and management of Residual Waste Management Facilities

- F7** With regard to those facilities mentioned in Question F2 the most appropriate Relevant Organisation(s) shall please provide details of Environmental Permits and Waste Management Licenses or equivalent that have been obtained in the last 3 years, including permit and license serial numbers.

Information provided should include details of the issuing authority, facility type and scale/capacity, length of application process, location, date of issue and expiry and whether undertaken in-house or through external consultants. If any of the license applications were subject to objections or judicial review (or the equivalent in the jurisdiction of the Relevant Organisation) the details of how these issues were overcome must be included.

If no licenses / permits have been obtained in the past three years, please outline your understanding of the processes, any older experience that you have, and explain the approach you would take to such application(s). Your response is limited to 1000 words in respect of each example.

Experience of managing materials, outputs and residues arising from the treatment process

- F8** It is likely, that as part of the treatment process, materials and residues that could be recycled, reused or require further disposal will be produced. With regard to those facilities mentioned in response to Question F2 the most appropriate Relevant Organisation(s) shall provide details of their experience of marketing and disposing of the recyclable and residue materials from waste facilities of a comparable scale to that anticipated in this contract (including recyclates, refuse derived fuel, bottom ash, APC residues, stabilised bio-waste, process rejects, power, heat, etc). Your response is limited to 2000 words.

Question F9 should be completed by the most appropriate Relevant Organisation(s) of the Potential Provider in order to effectively demonstrate the experience of the Potential Provider in relation to the Project.

- F9** Using **one** example from the facilities identified in your response to Questions F1 and F2, provide details of the most appropriate Relevant Organisation's methodology (as appropriate) used for:

- Design,
- Permitting,
- Procurement,
- Construction,
- Installation,
- Operation,
- Maintenance and
- Expiry of the facilities.

Your submission in respect of each of the above methodologies should not exceed 500 words (up to 4000 words in total).

SECTION G - ENVIRONMENTAL & QUALITY MANAGEMENT

Questions G1 to G7 are to be completed by each appropriate Relevant Organisation, on separate sheets, if applicable.

- G1** Does the Relevant Organisation have an environmental management system*?
(*Where 'System' means processes and procedures that ensure that the subject is properly managed. This includes making sure that legal requirements are met.)

Yes ☐No ☐

- G2** If so, does the environmental management system meet the standards in BS7750, ISO14001, EMAS, Green Dragon or equivalent?

Yes ☐No ☐

- G3** Do you have an environmental policy and/or 'green' policy for any service likely to be provided in the proposed projects?

Yes ☐No ☐

- G4** If so, please provide details and state which part of the works/service the policy(s) relates to.

--

- G5** Within the last 3 years has any Relevant Organisation been prosecuted for breaching any UK, EU or other Environmental Law?

Yes ☐No ☐

- G6** Within the last 3 years has any Relevant Organisation had any notice served upon it by any environmental regulator or authority?

Yes ☐No ☐

- G7** If the answer to either question G5 or question G6 is yes, please give details of the breaches or prosecutions and their outcomes. Please also provide

details of remedial actions taken or recommended, and any mitigating measures put in place to prevent future occurrences.

G8 Does the Relevant Organisation hold a recognised quality assurance accreditation, for example BS/EN/ISO 9000 or recognised equivalent?

Yes ☐

No ☐

G9 If you do hold a recognised quality assurance accreditation, please provide details of the accreditation body, when the accreditation was awarded, and to which business functions the accreditation applies.

G10 If no to G9, does the Relevant Organisation have a quality assurance system*.

Yes ☐

No ☐

G11 If you do have a non accredited quality assurance system, please provide details.

SECTION H – POTENTIAL PROVIDER’S ADVISORS & CONFLICT OF INTEREST

This section must be completed in full. **Questions H1 to H5 are to be completed by each Relevant Organisation (including single entity Potential Providers).**

- H1 Provide details of existing or likely legal, financial, technical and other advisors for this project and provide details of any potential conflicts of interest that may arise.

--

- H2 Are you willing to change any advisers in order to avoid the potential for conflict of interest?

Yes ☐

No ☐

- H3 Has any Director, Partner, Associate or employee of the Relevant Organisation been employed by the Partnership? If yes, please provide details.

--

- H4 State if any Director, Partner, Associate or employee of the Relevant Organisation has a relative(s) who is/are employed by the Partnership at senior level.

--

- H5 Identify any other potential conflicts of interest that may arise in the light of other current or previous projects if the Potential Provider were selected (taking into account all Relevant Organisations).

--

SECTION I – HEALTH AND SAFETY

Questions I1 to I28 are to be completed by each Relevant Organisation, on separate sheets, if applicable.

I1	Does the Relevant Organisation have a health and safety policy?	YES / NO (Delete as appropriate)
I2	Does the Relevant Organisation have a health and safety at work system *?	YES / NO (Delete as appropriate)
I3	If “no” to either I1 or I2, please give reasons.	
I4	<p>Are copies of the written statement (as required by section 2(3) of the Health and Safety at Work Act 1974 and Regulation 4 of the Management of Health and Safety at Work Regulations 1999, (or comparable equivalent) enclosed of the Relevant Organisation's:</p> <ul style="list-style-type: none"> • General policy on health and safety at work? • Allocation of organisational responsibilities at work? • Adopted preventative and protective measures, such as safety codes of practice and safety instructions, relevant to the type of project proposed, and its adopted arrangements for the effective planning, control, monitoring and review of these preventative and protective measures? 	<p>YES / NO (Delete as appropriate)</p> <p>YES / NO (Delete as appropriate)</p> <p>YES / NO (Delete as appropriate)</p>
I5	Does the Relevant Organisation have processes and procedures to ensure that these Regulations are followed?	YES / NO (Delete as appropriate)
I6	State the name and status of the person responsible for the implementation of the Relevant Organisation's health and safety policy.	
I7	Give brief details of safety audits and inspections	

	carried out in similar activities to this project, including details of frequency, whether records are kept and who is responsible for remedial action.	
I8	Does the Relevant Organisation train staff in health and safety according to their particular job?	YES/ NO (Delete as appropriate)
I9	Does the Relevant Organisation keep health and safety training records for staff?	YES/ NO (Delete as appropriate)
I10	Does the Relevant Organisation have a clear process for consulting staff on health and safety matters?	YES/ NO (Delete as appropriate)
I11	Is this consultation process set out in the Relevant Organisation's health and safety procedures?	YES/ NO (Delete as appropriate)
I12	Does the Relevant Organisation have health and safety representatives?	YES/ NO (Delete as appropriate)
I13	Does the Relevant Organisation have clear arrangements for staff to report health and safety risks and issues to management?	YES/ NO (Delete as appropriate)
I14	Does the Relevant Organisation have a risk assessment process applicable to each type of area of work?	YES/ NO (Delete as appropriate)
I15	Does the Relevant Organisation record the findings?	YES/ NO (Delete as appropriate)
I16	Are they regularly reviewed?	YES/ NO (Delete as appropriate)
I17	Does the Relevant Organisation produce method statements of how to work safely, based on risk assessments?	YES/ NO (Delete as appropriate)
I18	Does the Relevant Organisation have procedures to make sure its' staff understand these method statements?	YES/ NO (Delete as appropriate)
I19	Does the Relevant Organisation have access to competent health and safety advice (either within the organisation or external)?	YES/ NO (Delete as appropriate)
I20	Does the Relevant Organisation belong to any safety organisations?	YES/ NO (Delete as appropriate)
I21	Does the Relevant Organisation report incidents and accidents when required under the applicable EU or equivalent requirements?	YES/ NO (Delete as appropriate)
I22	Does the Relevant Organisation keep records and statistics of accidents and incidents?	YES/ NO (Delete as appropriate)
I23	Does the Relevant Organisation make sure it	YES/ NO

	learns from incidents and accidents, and change working practices as necessary?	(Delete as appropriate)
I24	Does the Relevant Organisation have a nominated manager to whom any employee health problems can be reported?	YES/ NO (Delete as appropriate)
I25	Does the Relevant Organisation provide any necessary personnel protective equipment to staff free of charge?	YES/ NO (Delete as appropriate)
I26	Does the Relevant Organisation make sure that its managers and supervisors understand the duties under CDM Regulations (or equivalent)?	YES/ NO (Delete as appropriate)
I27	State (and provide details if necessary) whether any Prohibition Notices or Improvement Notices (or comparable equivalent) have been served on the Relevant Organisation or any of its directors / managers in the last three years with respect to health and safety or fire safety issues in relation to PPP / PFI projects or similar projects to this Project.	
I28	<p>State the number of fatal accidents and major injury accidents (requiring immediate notification to the relevant Health and Safety enforcing authority) which have occurred to:</p> <p>a) the Relevant Organisation's employees over the past three years arising from the conduct of activities similar to those covered by PPP projects, or projects similar to this Project;</p> <p>b) people other than its employees (for example, members of the public) over the past three years arising from the conduct of such activities.</p>	

* "System" means processes and procedures to ensure that the subject is properly managed. This includes making sure that legal requirements are met.

** A Health and Safety Policy usually consists of three distinct sections, namely:

- General Policy Statement – a short statement outlining the Company's commitment to health and safety signed and dated by the senior company official (for example, the Managing Director).
- Organisation – how the Company is organised for health and safety; lines of communication; and any specific duties / responsibilities assigned within the organisation

- Arrangements – the systems and procedures in place for ensuring employee's health and safety at work.

SECTION J – EQUAL OPPORTUNITIES

Questions J1 to J9 of this section are to be completed by each Relevant Organisation, on separate sheets, if applicable.

J1	Does the Relevant Organisation have an equal opportunities policy, to avoid discrimination?	YES / NO (Delete as appropriate)
J2	Is the Relevant Organisation's policy as an employer to comply with your obligations under the Race Relations Act 1976 (as amended by Race Relations (Amendment) Act 2000) (or comparable equivalent), and 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 (Delete as appropriate)
J3	Is it the Relevant Organisation's policy to comply with its obligations under the Disability Discrimination Act 1995 (or equivalent)?	YES / NO (Delete as appropriate)
J4	Is it the Relevant Organisation's policy to comply with its obligations under The Employment Equality (Religion or Belief) Regulations 2003 and the Employment Equality (Sexual Orientation) Regulations 2003 (or equivalents)?	YES / NO (Delete as appropriate)
J5	In the last three years has any finding of unlawful	YES / NO (Delete as appropriate)

	discrimination been made against the Relevant Organisation by any court or employment tribunal?	
J6	In the last three years has the Relevant Organisation been the subject of formal investigation by the Commission for Racial Equality (or equivalent) on grounds of alleged unlawful discrimination?	YES / NO (Delete as appropriate)
J7	If the answer to question J5 or J6 is "yes", what were the breaches and what steps did the Relevant Organisation take in consequence of that finding or investigation?	
J8	<p>Is the Relevant Organisation's policy on race relations equality set out:</p> <ul style="list-style-type: none"> • In instructions to those concerned with recruitment, training and promotion? • In documents available to employees, recognised trade unions or other representative groups of employees? • In recruitment advertisements or other literature? • If asked, could the Relevant Organisation supply examples of the instructions, documents, recruitment advertisements or other literature? 	<p>YES / NO (Delete as appropriate)</p> <p>YES / NO (Delete as appropriate)</p> <p>YES / NO (Delete as appropriate)</p> <p>YES / NO (Delete as appropriate)</p>

J9	Does the Relevant Organisation 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 (or comparable equivalents)?	YES / NO (Delete as appropriate)

SECTION K REFERENCES

Please provide details of three recent contracts relevant to this Project and applicable to the Lead Consortium Member (for Consortium Potential Providers) or single entity Potential Providers. If the reference relates to a project identified in your responses to questions F1 to F9 please cross refer to this in your response below. Please note it is the Potential Provider's responsibility to ensure that references are provided when requested by the Authority. It is therefore recommended that you notify the references listed below that a reference may be sought.

Reference 1	
Organisation Name and Address:	
Contact Name and Telephone Number:	
Email Address:	
Brief Description of Contract:	
Value of Contract:	
Reference 2	
Organisation Name and Address:	
Contact Name and Telephone Number:	
Email Address:	
Brief Description of Contract:	
Value of Contract:	
Reference 3	
Organisation Name and Address:	
Contact Name and Telephone Number:	
Email Address:	
Brief Description of Contract:	
Value of Contract:	

SECTION L – CERTIFICATION

(To be signed by the single entity Potential Provider or Lead Consortium Member if the Potential Provider is a Consortium)

I certify that the information supplied is accurate to the best of my knowledge and understanding and I accept the conditions and undertakings in this questionnaire.

I understand that the Authority may contact anyone to verify this information, and that false or misleading information could result in my/our exclusion from the list of contractors and in the event that any false declaration is discovered after the award of any contract, may lead to the rescission of any contract awarded.

SIGNED.....

PRINT

NAME.....

POSITION.....

COMPANY NAME

COMPANY

ADDRESS.....

.....
.....

.....
.....

.....
.....

DATE.....

Before returning this application form, please ensure that you have: -

- Answered all questions.
- Enclosed all relevant documents.
- Enclosed any additional information to be taken into account.
- Completed the above declaration.

N.B. FAILURE TO COMPLETE THE ABOVE INFORMATION IN FULL MAY
INVALIDATE YOUR RESPONSE.

Appendix 1 – Financial Reference Authorisation Form

[To be completed on headed notepaper and addressed to your principal bankers]

Prosiect Gwyrdd RESIDUAL WASTE TREATMENT CONTRACT

FINANCIAL REFERENCE AUTHORISATION

Dear Sirs

You are hereby authorised to provide to the Authority (the County Council of the City and County of Cardiff) upon request a financial reference in respect of our financial position. We confirm that any costs associated with the provision of such a financial reference will be met by us.

Yours faithfully

Name:

Company name:

Appendix 2 – Question Pro-Forma

PROSIECT GWRYDD RESIDUAL WASTE TREATMENT PROJECT (THE "PROJECT")

All questions relating to completion of the Questionnaire should be submitted in writing using the pro-forma below and sent by email to:

www.etenderwales.bravosolution.co.uk

Please note that to ensure open/fair competition material questions and answers will be shared with all Potential Providers in an anonymous format except where the content relates to information that is commercially confidential. Potential Providers should indicate if they consider that their query should be treated as being commercially confidential and not for circulation to other Potential Providers. If the Authority disagrees with the Potential Provider the Potential Provider will be given the opportunity to withdraw the query or to agree that the response can be circulated. The closing date for receipt by the Project Team of questions is **ten** working days prior to the deadline for return of PQQs in order to provide feedback to all Potential Providers where appropriate.

<u>Name:</u>		
<u>Name of Organisation:</u>		
<u>Organisation Name:</u>		
<u>Telephone:</u>		
<u>Email:</u>		
<u>NO:</u>	<u>QUESTION</u>	

Appendix 3 – Not Used

Appendix 4 – Consortium Acknowledgement

PROJECT GWRYDD RESIDUAL WASTE TREATMENT CONTRACT

CONSORTIUM ACKNOWLEDGEMENT

To: The Authority

We the undersigned confirm that we are actual/proposed members of the Consortium referred to in this expression of interest in the Project.

We further confirm that we agree that is to be the Lead Consortium Member.

We are aware that in the event that the Authority awards the contract to this Consortium we or any special purpose vehicle that we form will be required to become liable for the full and proper provision of the complete service as will be detailed in the contract documentation.

Potential Provider (Lead Consortium Member)

Signed Date

Signed Date

For and on behalf of

.....

Proposed/Actual Consortium Member (Relevant Organisation)

Signed Date

Signed Date

For and on behalf of

.....

Signed Date

Signed Date

For and on behalf of

.....

Signed Date

Signed Date

For and on behalf of

.....
This acknowledgement should be signed:

- (a) in the case of an individual, by that individual;
- (b) in the case of a partnership, by two duly authorised partners; and
- (c) in the case of a company, by two directors or a director and the secretary of the company.

Please use additional sheets as required.

Appendix 5 – Potential Provider’s Parent Company Letter of Support

Please insert Potential Provider’s Parent Company Letter of Support in this Appendix where appropriate.

APPENDIX 6

EVALUATION OF STAGE 3 - DETAILED SCORING METHODOLOGIES

In the stage 3 evaluation responses to questions will be evaluated. Scoring will be on the basis of information only, pass/fail, or scoring as set out in detail in this appendix. For the avoidance of doubt, an information only question will not be scored but failure to supply this information may result in rejection of the response at stage 2 (Completeness and Compliance, as set out in paragraph 2 of the introductory section of the PQQ).

Evaluation matrix giving summary of scoring approach and over-arching weightings

	Stage 3 – Scoring Responses All PQQ's that have passed the initial checks will be evaluated in line with the detailed methodologies provided in this Appendix 6. Questions within each area have been weighted and some questions require minimum thresholds to be met. Failure to meet a minimum threshold may result in disqualification from the process.	Total maximum weighted points available out of a total of 100
A	General Company Information	Pass/fail
B	Eligibility	Pass/fail
C	Financial and Economic Standing	25
D	Ability & Approach to Raising Finance	5
E	Experience of working on similar projects	15
F	Technical Capacity and Ability	40
G	Environmental & Quality Management	5
H	Potential Provider's Advisors & Conflict of Interest	Pass/fail
I	Health & Safety	5
J	Equal Opportunities	5
K	References	References will be used to verify the responses provided in this PQQ
L	Certification	Pass/fail

SECTION A – GENERAL COMPANY INFORMATION

Question Ref No:	Stage 2 Completed	Comments
A1	Yes / No	Pass / Fail
A2	Yes / No	Pass / Fail
A3	Yes / No	Pass / Fail
A4	Yes / No – N/A	Pass / Fail / Not Applicable
A5	Yes / No	Pass / Fail
A6	Yes / No	Pass / Fail
A7	Yes / No – N/A	Pass / Fail / Not Applicable
A8	Yes / No	Pass / Fail
A9	Yes / No	Pass / Fail

A10	Yes / No	Pass / Fail
A11	Yes / No	Pass / Fail / Not Applicable

This section asks for details of the Potential Provider and Relevant Organisations.

	Scoring	Weighting
A1 – name of Potential Provider	Information only	N/A
A2 – contact	Information only	N/A
A3 – consortium arrangement	Information only	N/A
A4 – SPV	Information only	N/A
A5 – split of costs	Information only	N/A
A6 – Main areas of business	Information only	N/A
A7 – organisational chart	Information only	N/A
A8 - name	Information only	N/A
A9 – details	Information only	N/A
A10 – management	Information only	N/A
A11 – parent	Information only	N/A

SECTION B – ELIGIBILITY

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
B1	Yes / No	
B2	Yes / No	

This section seeks to confirm that Relevant Organisations are eligible to participate in accordance with Regulation 23 of the Public Contracts Regulations 2006.

	Scoring	Weighting
B1 – mandatory grounds	Pass/fail. If a Relevant Organisation cannot sign in respect of this section then in accordance with Regulation 23, they must be excluded from this procurement.	N/A
B2 – discretionary grounds	Pass/fail. If a Relevant Organisation cannot sign in respect of this section	N/A

	then the Authority has discretion as to whether the Relevant Organisation will be excluded from this procurement.	
--	---	--

SECTION C – FINANCIAL AND ECONOMIC INFORMATION (25 POINTS)

Insurance related questions C15-C19 are pass or fail questions. Should a Relevant Organisation fail on one of these questions then the submission will be regarded as non-compliant and may be excluded from the procurement process.

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
C1	Yes / No	
C2	Yes / No	
C3	Yes / No	
C4	Yes / No	
C5	Yes / No	
C6	Yes / No	
C7	Yes / No	
C8	Yes / No	
C9	Yes / No– N/A	
C10	Yes / No– N/A	
C11	Yes / No – N/A	
C12	Yes / No– N/A	
C13	Yes / No– N/A	
C14	Yes / No	
C15	Yes / No	
C16	Yes / No	
C17	Yes / No	
C18	Yes / No	
C19	Yes / No	

3.1 Evaluation

3.1.1 The assessment of Economic and Financial Standing will be undertaken in accordance with the "Detailed Scoring" methodology set out in 3.3 below.

3.1.2 In some circumstances, it may be appropriate to review financial information presented from a Relevant Organisation's parent or guarantor company, dependent on the organisational and legal structure of the Relevant Organisation as presented in the PQQ and the Relevant Organisation's response to questions C14 of the PQQ. This will be dependent on the Relevant Organisation's responses to the PQQ. The evaluator of the financial information will be careful to justify the decision made with regard to the information reviewed in the evaluation (having regard to the response to question C14 of the PQQ).

3.1.3 Potential Providers should achieve at least 50% of the total available marks for Economic and Financial Standing. The Authority reserves the right at its

sole discretion to exclude a Potential Provider where it, or any of the relevant organisations that comprise it, does not meet this minimum threshold.

- 3.1.4 In applying the scoring and assessment procedures, we reserve the right to consider other commercial factors (including but not limited to credit rating assessments, trading statements, articles in the financial press) which, if left unadjusted, would give a distorted view of a Relevant Organisation's financial position.

3.2 Consortia

- 3.2.1 Although the PQQ refers to each member of a Consortium being a Relevant Organisation, for the purposes of the Economic and Financial Standing criteria, assessment of Relevant Organisations within a Consortium will be limited only to those organisations who will either be making a significant financial contribution and accordingly exposed to a significant level of risk within the Consortium and/or who are a significant member of the Consortium in terms of importance and cannot easily be replaced (e.g. a Relevant Organisation such as a specific technology supplier).
- 3.2.2 For a Consortium bid, subject to paragraph 3.2.1 above, the responses of each Relevant Organisation will be weighted by the Authority's evaluation team to arrive at a score for the Consortium as a whole. The weighting for the Consortium will be derived using estimates derived from the Authority's Outline Business Case and the weightings provided by the Potential Provider in response to question A5.
- 3.2.3 The Consortium as a whole should pass the 50% threshold set out at paragraph 3.1.3 above.

3.3 Detailed Scoring

- 3.3.1 The table below sets out the framework to be used to derive an Economic and Financial Standing score for each Relevant Organisation. The evaluation is based on reviewing the size, profitability and stability of each Relevant Organisation, and its ability to deliver a project of the same magnitude as this Project.
- 3.3.2 The Economic and Financial Standing scoring methodology produces a weighted score out of 100.
- 3.3.3 Once a Potential Provider's total score out of 100 has been calculated, it is then applied to the 25 points available for the "Economic and Financial Standing" criteria to get to the total number of points earned for the "Economic and Financial Standing" criteria overall (e.g. a weighted score of 80 out of 100 for Economic and Financial Standing gives a Potential Provider 20 points overall ($(80/100) * 25 = 20$ points overall))

Economic and Financial Standing Criteria	Evaluation Information	Economic and Financial Standing Weighting
--	------------------------	---

Assessment of financial health, assessed through:	Last three years' statutory audited accounts	
Profitability The Relevant Organisation's profitability trend will be reviewed with due account taken of the nature of the Relevant Organisation and its performance comparative to its industry.	Accounts/ Mints (or appropriate similar) Questions C5 C7, C8, C9, C10, C12	15
Gearing Assessing the financial gearing of each Relevant Organisation will assist the evaluator in reviewing the financial risk of each Relevant Organisation	Accounts/ Mints (or appropriate similar) Questions C5 C7, C8, C9, C10, C12	10
Liquidity In reviewing the financial and economic robustness of each Relevant Organisation, the evaluator will ensure that each Relevant Organisation has sufficient liquidity such that, in the short term, the company is in sound financial health and can meet its obligations (under this Project) as they fall due	Accounts/ Mints (or appropriate similar) Questions C5 C7, C8, C9, C10, C12	15
Sub total		40

Economic and Financial Standing Criteria	Evaluation Information	Economic and Financial Standing Weighting
Significance of project to the Bidder		
Turnover and net asset analysis In assessing the ability of each Relevant Organisation to deliver the Project evaluators will review: <ul style="list-style-type: none"> The monetary value of projects undertaken by the Relevant Organisation against the predicated cost of this Project; and The net asset position of the Relevant Organisation in relation to the size of the Project in capital expenditure terms at the front end of the Project. 	Accounts/ Mints (or appropriate similar) Question C5, C6, C7, C8, C9, C10 & C12	30
Significance of similar schemes to the business of the Relevant Organisation	Questions C5, C6, C7, C8, C9, C10 & C12	10
Sub Total		40
Financial Health Risk Assessment		

Qui Score	<ul style="list-style-type: none"> Qui scores 	10
Other publicly available information	<ul style="list-style-type: none"> Mint report Questions C7 – C13 Other publicly available information Other available credit scores 	10
Sub total		20
Economic and Financial Standing Criteria TOTAL		100

3.4 Assessment of Financial Health

3.4.1 The assessment of the financial health of each Relevant Organisation is assessed using the financial information supplied in response to the PQQ, to include the last three years' statutory accounts.

3.4.2 The evaluator will examine absolute values and trends in each of the following measures:

3.5 Profitability (15%)

- The profitability of each Relevant Organisation will be assessed by evaluating turnover against profit on ordinary activities before tax, to give a net profit margin.
- The relevant Organisation's profitability trend will be reviewed with due account taken of the nature of the Relevant Organisation and its performance comparative to its industry.
- The following scoring framework will be applied:

Net Profit	
Margin (%)	Score
(5%) <	0
(5%) – < (1%)	1
(1%) – < 0	2
0 – <1	3
1 – <2%	4
2 – <3%	5
3 – < 5 %	6
5 – < 7%	7
7 – < 9%	8
9 – < 11%	9
> 11%	10

- For each of the three years being reviewed, the net profit margin will be calculated, scored using the framework above and a weighted average of

those scores taken (the most recent year counting for 50%, the second most recent year counting for 30%, and the third most recent year counting for 20% of the average) to derive the score for that measure.

3.6 Gearing (10%)

- Assessing the financial gearing of each Relevant Organisation will assist the evaluator in reviewing the financial risk of each Relevant Organisation.
- The following gearing ratios will be assessed using information provided in statutory accounts:
 - Interest cover (operating profit/Interest payable and similar charges); and
 - Financial gearing (debt/debt plus equity)
- Interest cover represents the number of times historical interest expense is covered by operating profits and is an important indicator of a Relevant Organisation's historical financial risk. The financial gearing of an organisation is an indication of the debt burden borne by that organisation. The lower the gearing, the less constrained by debt the organisation is.
- The following scoring framework will be applied:

Interest Cover	
Ratio	Score
< 0	0
0 – 0.5 <	1
0.5 – 1 <	2
1 – 1.5 <	3
1.5 – 2 <	4
2 – 2.5 <	5
2.5 – 3 <	6
3 – 3.5 <	7
3.5 – 4 <	8
4 – 4.5 <	9
> 4.5	10

Gearing	
%	Score
100%	0
90 – 100%	1
80 – 90%	2
70 – 80%	3
60 – 70%	4
50 – 60%	5
40 – 50%	6
30 – 40%	7
20 – 30%	8
10 – 20%	9
0 – 10%	10

- For each of the three years being reviewed the interest cover ratio will be calculated, scored using the framework above and a weighted average of the scores taken the most recent year counting for 50%, the second most recent year counting for 30%, and the third most recent year counting for 20% of the average to derive the score for that measure. A weighted average gearing percentage will also be calculated (using the 50:30:20 split) to derive the gearing score.
- The scores for interest cover and gearing will then be summed and divided by 2 to give the total score for gearing (maximum 10, minimum 0) to be used in the score out of 100 for the assessment of financial health of the Relevant Organisation.

3.7 Liquidity (15%)

- Each Relevant Organisation's liquidity will be assessed by reviewing the following ratios:
 - Current ratio (current assets/current liabilities); and
 - Quick ratio (current assets less stock/current liabilities.)
- In reviewing the financial and economic robustness of each Relevant Organisation, the evaluator will need to ensure that each Relevant

Organisation has sufficient liquidity such that, in the short term, the Relevant Organisation is in sound financial health and can meet its obligations as they fall due.

- The ratios above, when calculated, are a simple indication of the current trading position of the Relevant Organisation. Year on year comparisons will also show the trend in the liquidity position of an organisation through the years. However, care will be taken with regards to short term fluctuations in the ratio as a result of trading conditions prevailing as at the date of the financial statements. It should also be noted that the more historical ratios are of less relevance than the more recent ratios.
- The following scoring framework will be applied:

Current Ratio		Quick ratio	
Ratio	Score	Ratio	Score
0.0 - 0.2 <	0	0.0 - 0.1 <	0
0.2 - 0.4 <	1	0.1 - 0.2 <	1
0.4 - 0.6 <	2	0.2 - 0.3 <	2
0.6 - 0.8 <	3	0.3 - 0.4 <	3
0.8 - 1.0 <	4	0.4 - 0.5 <	4
1.0 - 1.2 <	5	0.5 - 0.6 <	5
1.2 - 1.4 <	6	0.6 - 0.7 <	6
1.4 - 1.6 <	7	0.7 - 0.8 <	7
1.6 - 1.8 <	8	0.8 - 0.9 <	8
1.8 - 2.0	9	0.9 - 1.0	9
>2.0	10	>1.0	10

- For each of the three years being reviewed the current ratio will be calculated, scored using the framework above and a weighted average taken (the most recent year counting for 50%, the second most recent year counting for 30%, and the third most recent year counting for 20% of the average) to derive the score for that measure. The quick ratio will also be calculated and scored (using the 50:30:20 split) to derive the quick ratio score.
- The scores for the current and quick ratios will then be summed and divided by 2 to give the total score for liquidity (maximum 10, minimum 0) to be used in the score out of 100 for the financial health evaluation of the Relevant Organisation.

3.8 Significance of Project to the Potential Provider (40%)

The assessment of the significance of the Project to the Potential Provider is based on an assessment of:

3.9 Turnover and net asset analysis (30%)

- In assessing the ability of each Relevant Organisation to deliver the Project the evaluators will review:
 - The monetary value of projects undertaken by the Relevant Organisation against the predicted cost of this Project; and

- The net asset position of the Relevant Organisation in relation to the size of the Project in capital expenditure terms at the front end of the Project.
- To achieve this, the evaluator will establish the approximate costs envisaged for the Project, broken down by year and by type of cost incurred, before being able to compare the Project to each Relevant Organisation's historical operations. This information is based on the Project estimates.
- The Potential Provider selected for the Project should not be dependent on this Project for its future viability. The Project should be manageable for the Potential Provider in order to make the Project deliverable.
- The comparison will assist in determining the overall Project risk by assessing the Potential Provider's dependence on income from the Project. Greater dependence of the Potential Provider's on income from the Project will expose the Authority to the risk of company failure should the Project not proceed as planned.
- For each measure in the tables below, the estimated income to the Relevant Organisation from the Project will be expressed as a percentage of the income to the Relevant Organisation for each of the previous three years. As for the previous measures, a weighted average will be taken (with the most recent year counting for 50%, the next most recent counting for 30%, and the third most recent counting for 20% of the average), and the corresponding score for that percentage derived from the tables overleaf.

Turnover	
Project income as a %age of historical results	Score
>= 20%	0
15 - < 20%	2.5
10 - < 15%	5
5 - < 10%	7.5
< 5%	10

Net Assets	
Net assets as a proportion of Project capital expenditure	Score
Less than or equal 1	0
1 - <2 times	2
2 - < 3 times	4
3 - < 4 times	6
4 - < 5 times	8
>= 5 times	10

- To derive an overall score for each Relevant Organisation, the weighted average turnover score represents 2 parts and the weighted average net asset score represents 1 part. For example, if the organization has a weighted average score of 10 for turnover, and 4 for net assets, then the score out of 30 would be:

$$(10 \times 2) + 4 = 24$$

A score of 24 will be carried to the overall score for the Significance of Project to the Bidder evaluation of the Relevant Organisation.

3.10 Significance of similar schemes to the business (10%)

- This assessment relates to the level of turnover of each Relevant Organisation which is derived from waste treatment projects, whether procured through PFI/PPP or otherwise. It also includes PFI/PPP income from projects in sectors other than waste.

- As for the previous measures, a weighted average will be taken (with the most recent year counting for 50%, the next most recent counting for 30%, and the third most recent counting for 20% of the average), and the corresponding score for that percentage derived from the tables below.
- The scores will be awarded as follows:

Turnover of Waste Projects/Non Waste PFIs/PPPs	
Turnover as % of overall turnover	Score
< 10%	2
10 - <40%	4
40 - <70%	6
70 - <90%	8
>= 90%	10

3.11 Financial Health Risk Assessment (20%)

Qui Score (10%)

- 3.11.1 Part of this assessment relies on "Qui" scores provided by MINT. The Qui score is a measure of the likelihood of company failure in the year following the date of calculation. Qui Scores take into account a range of factors; these include the presence of any adverse documents appearing against the company on the public file, and the timeliness of filing the financial accounts.
- 3.11.2 In addition, the underlying economic conditions are considered in the analysis. However, the most important factors relate to the financial performance of the company as evidenced by their balance sheet and profit and loss account
- 3.11.3 In determining a score, a number of separate calculations are performed using various combinations of the key financial items. These include turnover, pre-tax profit, working capital, intangibles, cash and bank deposits, creditors, bank loans and overdraft, current assets, current liabilities, net assets, fixed assets, share capital, reserves, shareholders funds.
- 3.11.4 Each Relevant Organisation is scored in the range 0 to 100. For ease of interpretation the score is categorised into one of five bands: Secure, Stable, Normal, Unstable and High Risk. These Qui score bands are classified as having the following generic characteristics:

Qui Score	Band	Characteristics
81-100	Secure	Many large and successful public companies, and profitable companies with no borrowings, are in this band. Failure is very unusual and normally occurs only as a result of exceptional changes within the company or its market
61-80	Stable	Here again company failure is a rare occurrence and will only come about if there are major company or marketplace changes
41-60	Normal	This sector contains many companies that do not fail, but some that do

Qui Score	Band	Characteristics
21-40	Caution	Here, as the name suggests there is a significant risk of company failure: in fact, companies in this band are on average, four times more likely to fail than those in the Normal band
1-20	High Risk	Companies in this sector may find it difficult to continue trading unless significant remedial action is undertaken, or there is support from a parent company, or special circumstances apply. A low score does not mean that failure is inevitable

Scores will be awarded based on the table below:

Overall Risk	
Qui Score	Points
0 - 20	0
21 - 40	2.0
41 - 60	4.0
61 - 80	6.0
81 - 90	8.0
> 90	10.0

- Two Qui scores will be used, the most recent and one for the year before. The most recent score will have a weighting of 75% whereas the score of the year preceding the most recent year will have a weighting of 25% of the total score.
- Qui scores from Mint are not usually available for foreign companies. In such instances the score for this section will be removed, and so the overall scoring for the Economic and Financial Standing will be out of 90. However, the "Other publicly available information" will be adjusted upwards if a Dun & Bradstreet (or similar report) shows an above average credit rating.

"Other publicly available information" (10%)

- Current news and stock market information will also be used to assess market's perception of the Relevant Organisation's stability and future prospects and scores will be awarded as follows:
 - Either no current information/information that demonstrates no material change from the accounts will have a 'par' score of 5 out of 10;
 - Information that either shows a better or worse current position/prospects will be scored either higher or lower (as appropriate) than the 'par' score to a minimum of 0 and a maximum of 10 out of 10.

SECTION D – ABILITY AND APPROACH TO RAISING PROJECT AND/OR CORPORATE FINANCE

Question Ref No:	Information Provided (Stage 2 – see evaluation)	Result for Stage 2 (PASS/FAIL/N/A)
------------------	--	---------------------------------------

	methodology)	
D1	Yes / No	
D2	Yes / No	
D3	Yes / No	
D4	Yes / No	

In assessing ability and approach to raising finance (which will include project finance and corporate finance) the responses to questions D1, D2, D3 and D4 of the PQQ will be considered as a whole and assessed using the scoring rationale set out below:

Score	Rationale
5	Response indicates significant and appropriate experience of both equity and debt raising for similar projects in terms of nature and value
4	Response indicates a good level of experience of raising finance for similar projects in terms of nature and value (some maybe of smaller value and one aspect of finance raising, e.g. equity, maybe slightly weaker)
3	Response indicates an acceptable level of experience of raising finance for similar projects (but maybe of smaller value and less experience in one element of financing)
2	Response indicates that experience in one elements of finance raising is weak and / or overall experience may be limited
1	Response indicates that experience in both elements of finance raising is weak and that overall experience is weak
0	Response contains insufficient information to make a judgement

SECTION E – EXPERIENCE OF WORKING ON SIMILAR PROJECTS

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
E1	Yes / No	
E2	Yes / No	
E3	Yes / No	
E4	Yes / No	
E5	Yes / No	
E6	Yes / No	
E7	Yes / No	
E8	Yes / No	
E9	Yes / No	

In assessing responses to questions E1 to E9 a score will be allocated within the range stated for the question according to the quality of and evidence provided in the response.

Question Ref No:	Criteria	Range of scores	Weighting	Max weighted score	COMMENT
E1	Current and previous partnership experience	0-3	6	18	
E2	Contract interfacing	0-3	5	15	
E3	Partnership methodology	0-3	5	15	
E4	Staff experience	0-3	5	15	
E5	Trade association Membership	0-1	2	2	
E6-9	Pending/ received contract litigation and performance deductions	0-2	5	10	Where none of the circumstances in questions E6 to E9 apply the response will receive the maximum score and the score, the greater the number of circumstances which apply the lower the score that will be given.
Criteria Total Score				75	
Total Weighted Points available				15	

SECTION F – TECHNICAL CAPACITY AND ABILITY OF THE POTENTIAL PROVIDER

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
F1	Yes / No	
F2	Yes / No	
F3	Yes / No	
F4	Yes / No	
F5	Yes / No	
F6	Yes / No	
F7	Yes / No	
F8	Yes / No	
F9	Yes / No	

These criteria assess the ability that the Relevant Organisation(s) are, through past project and contractual experience, adequately experienced to deliver the technologies and provide the services. The criteria score will be weighted according

to the table below. **Questions F1, F2, F3, F4, F6, F7 are pass or fail questions. Should a Relevant Organisation fail on one of these questions then the submission will be regarded as non-compliant and will be excluded from the procurement process.** Responses will be scored according to the scoring rationale below.

Question	Criterion	Max	Weighting	Max. Weighted Score	COMMENT
F1	Extent of previous comparable experience (not necessarily waste specific)	10	3	30	CONTAINS Pass / Fail
F2	Extent of experience of Operating Waste treatment Facilities	10	3	30	CONTAINS Pass/Fail
F3	Extent of experience in designing, constructing and commissioning waste treatment facilities.	10	2	20	CONTAINS Pass / Fail
F4	Extent of Experience in delivering operating contracts	10	2	20	CONTAINS Pass / Fail
F5	Extent of experience of identifying and securing Site options	10	1	10	
F6	Extent of experience in obtaining planning permission	10	3	30	CONTAINS Pass / Fail
F7	Extent of Experience of gaining Environmental Permits and/or ABPR licenses for management & Operation of residual waste management facilities	10	2	20	CONTAINS Pass / Fail
F8	Experience in managing the marketing of waste treatment products	10	2	20	
F9	Methodology & Approach	10	2	20	
Criteria Total Score				200	Minimum pass threshold = 80pts
Total Weighted Points available				40	

Scoring Rationale

	Weighting (1/2/3)	Scoring Criteria	Score
PROJECT EXPERIENCE			
Question F1 Experience of proposed consortium roles in Comparable Contracts <p>Use the responses received to PQQ Question F1 in respect of the Relevant Organisation(s) to assess its experience of fulfilling the proposed role in a consortium for comparable projects, ideally within the last three years.</p>	3	<p>Judgement regarding relevance of Relevant Organisation's experience of current and recent contracts and services.</p> <ol style="list-style-type: none"> No relevant experience demonstrated. Experience of contracts that are not comparable, e.g. private sector DBFO contracts, or public sector contracts that do not involve DBFO. Experience of contracts with some comparability with a minimum capital cost of £40m (e.g. public sector contracts involving only operation or only construction). Experience of comparable contracts in the public sector with a minimum capital cost of £40m involving DBFO. Experience of comparable contracts in the public sector with a minimum capital cost of greater than £100m involving DBFO. 	<p>FAIL</p> <p>2</p> <p>4</p> <p>8</p> <p>10</p>
Question F2 Experience of Waste Treatment Facilities. <p>Use the responses received to PQQ Question F2 in respect of the Relevant Organisation(s) to assess its experience or involvement that the Potential Provider has in:</p> <p>Operating a major waste treatment facility (or other similar processing facility);</p> <p>Providing municipal waste treatment services; and</p> <p>On-going operation and contract management of</p>	3	<p>Judgement regarding relevance of Relevant Organisation's experience or involvement:</p> <ol style="list-style-type: none"> No relevant experience of <ul style="list-style-type: none"> facilities that have been commercially sustainable for a period of at least 18 months. facilities that have demonstrated an annual operational availability of at least 8000 hours. 	Pass/fail

	Weighting (1/2/3)	Scoring Criteria	Score
<p>municipal waste treatment facilities, ideally over the past three years.</p> <p>Only examples that can meet the following criteria will be considered in the assessment of your response:</p> <ul style="list-style-type: none"> facilities that have been commercially sustainable for a period of at least 18 months. facilities that have demonstrated an annual operational availability of at least 8000 hours. 		<ol style="list-style-type: none"> Experience of contracts that are not comparable in either scale or feedstock. Contracts that are comparable in either scale or feedstock. Experience of contracts that are comparable in both scale and feedstock. Experience of contracts that are of comparable scale and feedstock and which have been operating for over 5 years. 	0
			3
			6
			10
Question F3 Experience in designing, constructing and commissioning waste treatment facilities.	Weighting (1/2/3)	Scoring Criteria	Score
<p>Use the responses received to PQQ Question F3 in respect of the Relevant Organisation(s) to assess the Potential Provider's experience and skills in the designing, constructing and commissioning waste treatment facilities.</p>	2	<p>Judgement regarding relevance of the Relevant Organisation's experience in the last three years of designing, constructing and commissioning waste treatment facilities.</p> <ol style="list-style-type: none"> No relevant experience demonstrated. 1 example of relevant experience in designing, constructing and commissioning waste treatment facilities up to £20m in Capital cost. 1 example of relevant experience in designing, constructing and commissioning waste treatment facilities up to £40m in Capital cost. 	FAIL
			3
			5

	Weighting (1/2/3)	Scoring Criteria	Score
		4. 2 examples of relevant experience in designing, constructing and commissioning waste treatment facilities from £20m to £40m in Capital cost.	8
		5. 2 examples of relevant experience in respect of designing, constructing and commissioning waste treatment facilities contracts, to a value of over £40m capital.	10
Question F4 Experience in delivering Operating Contracts.	Weighting (1/2/3)	Scoring Criteria	Score
Use the responses received to PQQ Question F4 in respect of the Relevant Organisation(s) to assess the Potential Provider's experience and skills in the management of Operating Contracts.	2	Judgement regarding relevance of the Relevant Organisation's experience in the last three years of the management of Operating contracts.	FAIL
		1. No relevant experience demonstrated.	
		2. 1 example of relevant experience in subcontracted operating contracts to £3m pa.	3
		3. 1 example of relevant experience in subcontracted operating contracts up to £7m pa.	5
		4. 2 examples of relevant experience in subcontracted operating contracts up to £7m pa.	8
		5. 2 examples of relevant experience in subcontracted operating contracts, to values over £7m pa.	10
Question F5 Experience of identifying and securing sites.	Weighting (1/2/3)	Scoring Criteria	Score

	Weighting (1/2/3)	Scoring Criteria	Score
Use the responses to Question F5 to assess the most appropriate Relevant Organisation(s) experience of and methodology for identifying and securing sites in respect of the facilities identified in Question F1 and F2.	1	<p>Judgement regarding relevance of the most appropriate Relevant Organisation's experience in the last three years of identifying and acquiring sites suitable for residual waste treatment technology facilities.</p> <ol style="list-style-type: none"> 1. No experience demonstrated. 2. Some experience in identifying and acquiring sites but of a size <1 hectare; or larger sites for purposes other than waste treatment. 3. Experience in identifying and acquiring sites > 1 hectare in size for waste treatment operations (e.g. transfer station/ HWRC/ windrow facilities) but not for residual waste treatment facilities. 4. Experience in identifying and acquiring one site >1 hectare in size for residual waste treatment facilities 5. Experience in identifying and acquiring two or more sites > 1 hectare in size for residual waste treatment facilities. 	0
			2
			4
			8
			10
Question F6 Experience in gaining planning permission.	Weighting (1/2/3)	Scoring Criteria	Score
Use the responses to Question F6 to assess the most appropriate Relevant Organisation(s) experience in gaining planning permission in respect of the facilities identified in Question F1 and F2.	3	<p>Judgement regarding relevance of the most appropriate Relevant Organisation(s) experience of gaining planning permission in respect of the facilities identified in Question F1 and F2.</p> <ol style="list-style-type: none"> 1. No experience demonstrated. 2. Some relevant experience, e.g. have submitted a planning application in respect of waste facilities 	FAIL
			2

	Weighting (1/2/3)	Scoring Criteria	Score
		and are awaiting a decision.	4
		3. Relevant experience in most areas, e.g. have gained planning permission for waste treatment operations (e.g. transfer station/ HWRC/ windrow facilities) but not for residual waste treatment facilities.	8
		4. Relevant experience in all areas, e.g. have gained planning permission for one or more residual waste treatment facilities handling over 50,000 tpa.	10
		5. Relevant experience in all areas, e.g. have gained planning permission for one or more residual waste treatment facilities handling over 100,000 tpa.	
Question F7 Experience in the development, operation and management of Residual Waste Management Facilities	Weighting (1/2/3)	Scoring Criteria	Score
Use the responses to Question F7 to assess the most appropriate Relevant Organisation(s) experience of gaining and retaining Environmental Permits and Waste Management Licences, ideally over the past three years.	2	Judgement regarding relevance of the most appropriate Relevant Organisation(s) experience of gaining and retaining Environmental Permits and Waste Management Licences over the past three years.	
		1. No demonstrable relevant experience of achieving Environmental Permits and Waste Management Licences.	Fail
		2. Limited demonstrable experience of achieving Environmental Permits and / or Waste Management Licences, e.g. bidder is in the process of applying for these in respect of a waste facility that could meet or exceeds EU permit standards.	0
		3. Some experience in achieving Environmental Permits and / or Waste	4

	Weighting (1/2/3)	Scoring Criteria	Score
		Management Licences, e.g. the bidder holds a minimum of one EP and WML that meets or exceeds EU permit standards.	8
		4. Demonstrable experience of achieving Environmental Permits and / or Waste Management Licences, e.g. bidder holds at least one comparable EP and WML that meets or exceeds EU permitting standards for a residual waste treatment facility handling at least 100,000tpa.	10
		5. Demonstrable experience of achieving Environmental Permits and / or Waste Management Licences, e.g. bidder holds at least one comparable EP and WML that meets or exceeds UK permitting standards for a residual waste treatment facility handling at least 100,000 tpa.	
Question F8 Experience of managing materials, outputs and residues arising from the treatment process.	Weighting (1/2/3)	Scoring Criteria	Score
Use the responses to Question F8 to assess the most appropriate Relevant Organisation(s) experience of marketing and disposing of the recyclable and residual materials from waste facilities of a comparable scale to that anticipated in this contract (including recyclates, refuse derived fuel, bottom ash, APC residues, stabilised bio-waste, process rejects, power, heat, etc).	2	Judgement regarding relevance of the most appropriate Relevant Organisation(s) experience of marketing and disposing of the recyclable and residual materials from waste facilities.	
		1. No demonstrable relevant experience.	0
		2. Limited relevant experience, e.g. bidder is new to the market and is in the process of developing markets for recyclable and residual materials.	2
		3. Relevant experience in some areas, e.g. bidder has experience of marketing waste derived recyclables and organics, but not all likely outputs and residues from residual waste	6

	Weighting (1/2/3)	Scoring Criteria	Score
		<p>treatment facilities.</p> <p>4. Relevant experience in all areas, e.g. bidder has experience of marketing waste derived recyclables and organics including likely outputs and residues from residual waste treatment facilities.</p>	10
Question F9 Methodology / Approach	Weighting (1/2/3)	Scoring Criteria	Score
<p>Use the responses to Question F1/2 to assess the most appropriate Relevant Organisation's experience of and methodology for:</p> <ul style="list-style-type: none"> ▪ Design, ▪ Permitting, ▪ Procurement, ▪ Construction, ▪ Installation, ▪ Operation ▪ Maintenance ▪ Expiry of the facility. ▪ Meeting deadlines and budgets. 	2	<p>Judgement regarding the most appropriate Relevant Organisation's previous methodology and approach to a similar project.</p> <p>1. No details submitted for relevant activities.</p> <p>2. Details submitted for relevant activities are inadequate, or do not comprise a considered methodology.</p> <p>3. Details submitted comprise an adequate methodology for relevant activities but in respect of waste facilities other than residual waste</p>	<p>0</p> <p>1</p> <p>4</p>

	Weighting (1/2/3)	Scoring Criteria	Score
		treatment facilities.	6
		4. Details submitted comprise a considered methodology for relevant activities but in respect of residual waste treatment facilities handling up to 40,000 tonnes pa.	9
		5. Details submitted comprise a considered methodology for relevant activities and in respect of residual waste treatment facilities handling 40,000 tonnes pa - 100,000 tonnes pa.	
		6. Details submitted comprise a considered methodology for relevant activities and in respect of residual waste treatment facilities handling 100,000 tonnes pa or more.	10

SECTION G – ENVIRONMENTAL AND QUALITY MANAGEMENT

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
G1	Yes / No	
G2	Yes / No	
G3	Yes / No	
G4	Yes / No	
G5	Yes / No	
G6	Yes / No	
G7	Yes / No	
G8	Yes / No	
G9	Yes / No	
G10	Yes / No	
G11	Yes / No	

Questions G1 to G4 and G8 to G11 will be scored within the range stated for the question according to the quality of and evidence provided in the response.

Questions G5 to G7 will not be scored separately but will be scored as a whole. The score given will be according to the severity of the breach, the number of breaches and the mitigating measures taken.

Question	Criterion	Range of scores	Weighting	Max. Weighted Score
G1	Provision of Environmental Management System	0-1	0.5	0.5
G2	Certified Environmental	0-1	1	1

	Management System			
G3-4	Provision of Environmental / “green” policy Environmental or “green” policy	0-1	0.5	0.5
G5-7	Environmental Prosecutions & Remedy	0-1	1.5	1.5
G8	Accredited quality assurance system	0-1	1	1
G9	Details of accredited quality assurance system	0-1	0.5	0.5
G10	Other quality assurance system	0-1	0.5	0.5*
G11	Details of other quality assurance system	0-1	0.5	0.5*
Criteria Maximum Total Score				5
Total Weighted Points available				5

*Only applies if G8 and G9 are not applicable

SECTION H – POTENTIAL PROVIDER'S ADVISORS & CONFLICT OF INTEREST

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
H1	Yes / No	
H2	Yes / No	
H3	Yes / No	
H4	Yes / No	
H5	Yes / No	

Potential Providers may be excluded in the event of an irreconcilable conflict of interest. Please note that the Authority will have the sole right to determine whether an irreconcilable conflict of interest exists or may exist.

SECTION I – HEALTH AND SAFETY

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
I1	Yes / No	
I2	Yes / No	
I3	Yes / No	
I4	Yes / No	
I5	Yes / No	
I6	Yes / No	
I7	Yes / No	
I8	Yes / No	
I9	Yes / No	
I10	Yes / No	
I11	Yes / No	
I12	Yes / No	
I14	Yes / No	
I15	Yes / No	
I16	Yes / No	
I17	Yes / No	
I18	Yes / No	
I19	Yes / No	
I20	Yes / No	
I21	Yes / No	

I22	Yes / No	
I23	Yes / No	
I24	Yes / No	
I25	Yes / No	
I26	Yes / No	
I27	Yes / No	
I28	Yes / No	

Questions I1-I5 are pass or fail questions. Should a Relevant Organisation fail on one of these questions then the submission may be regarded as non-compliant and excluded from the procurement process .

Questions I6 to I7 will be scored within the range stated for the question according to the quality of and evidence provided in the response.

Question	Criterion	Min Pass Score	Range of Score	Weighting	Max. Weighted Score
I1-2	Health and safety statements (pass/fail)	pass	n/a	n/a	n/a
I3	Adequacy of reason for lack of system	pass	n/a	n/a	n/a
I4-5	Health and Safety Regulation procedures (pass/fail)	pass	n/a	n/a	n/a
I6	Identification of responsible person	n/a	0-1	0.5	0.5
I7	Provision of safety audit and inspection information Health and safety training provision	n/a	0-1	0.5	0.5
I8-9	Health and safety training & records	n/a	0-1	1	1
I10-11	Health and safety consultation process and acknowledgement	n/a	0-1	0.5	0.5
I12	Health and safety representatives	n/a	0-1	0.5	0.5
I13	Health and safety reporting & issues	n/a	0-1	1	1
I14-15	Risk assessment process and recording	n/a	0-1	1	1
I16	Risk assessment review	n/a	0-1	1	1
I17-18	Risk assessment method statements & Training	n/a	0-1	0.5	0.5
I19	Competent Health and Safety advice	n/a	0-1	0.5	0.5
I20	Safety organisation membership	n/a	0-1	0.5	0.5
I21	Accident and incident reporting	n/a	0-1	1	1
I22	Accident and incident recording and statistics	n/a	0-1	1	1
I23	Changes in working practices as a result of accidents and incidents	n/a	0-1	1	1
I24	Nominated health manager	n/a	0-1	0.5	0.5
I25	Provision of personal protective equipment	n/a	0-1	1	1
I26	Acknowledgement of CDM regulation duties	n/a	0-1	1	1

I27	Statement of prohibition notices	n/a	0-1	1	1
I28	Fatal Accidents	n/a	0-1	1	1
Criteria Total Score					15
Total Weighted Points available					5

SECTION J – EQUAL OPPORTUNITIES

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
J1	Yes / No	
J2	Yes / No	
J3	Yes / No	
J4	Yes / No	
J5	Yes / No	
J6	Yes / No	
J7	Yes / No	
J8	Yes / No	
J9	Yes / No	

Questions J1, J2, J3 and J4 are pass or fail questions. Should a Relevant Organisation fail on one of these questions then the submission may be regarded as non-compliant and will be excluded from the procurement process . Questions J5 and J6 will be allocated a score of 1 for a No and 0 for a Yes. Question J7 will only be taken into account if Potential Providers respond with a Yes to either question J5 or J6. Questions J8 and J9 will be allocated a score of 1 for each Yes and a 0 for each No. The criteria score will be weighted accordingly

Question	Criterion	Min Pass Score	Max Score	Weighting	Max. Weighted Score
J1	Equal opportunities policy (pass/fail)	Pass/fail	n/a	n/a	n/a
J2	Compliance with Race Relations Action 1976 (or EU equivalent) (pass/fail)	Pass/fail	n/a	n/a	n/a
J3	Compliance with Disability Discrimination Act 1995 (or EU equivalent) (pass/fail)	Pass/fail	n/a	n/a	n/a
J4	Compliance with Employment Equality (Religion or Belief) Regulations 2003 and Employment Equality (Sexual Orientation) Regulations 2003 (or EU equivalents) (pass/fail)	Pass/fail	n/a	n/a	n/a
J5	Unlawful discrimination under court or employment tribunal	n/a	1	2	2
J6	Investigation by the commission for Racial Equality (or EU	n/a	1	1	1

	equivalent)				
J7	Details of action taken as a result of J5 and J6, if required	n/a	1	0.5	0.5*
J8	Race relations policy communications material	n/a	4	0.25	1
J9	Race relations code of practice	n/a	1	1	1
Criteria Total Score					5
Total Weighted Points available					5

*only applicable if answer Yes to J5 and/or J6

SECTION K – REFERENCES

Question Ref No:	Information Provided (Stage 2 – see evaluation methodology)	Result for Stage 2 (PASS/FAIL/N/A)
Reference 1	Yes / No	
Reference 2	Yes / No	
Reference 3	Yes / No	

References will not be scored separately but will be used to verify the Potential Provider's responses to other sections of the PQQ.

Appendix 7 – Checklist of Information to be returned to be completed once PQQ is complete.

(To be completed by each Relevant Organisation)

To assist in ensuring that all information has been supplied, questions have been answered and additional information included, please use the checklist below and return a copy with the completed questionnaire:

Paragraph Number	Question answered and supporting information enclosed.	Tick or cross
	Bid team have been consulted in preparation of responses?	
	The response is compliant with completion instructions?	
	Freedom of Information confidential listing?	
Section A	Questions A1-A11 fully completed?	
	A7 – Organisation chart enclosed?	
	A9 – Certificate of Incorporation enclosed?	
Section B	Questions B1 and B2 fully completed?	
Section C	Questions C1-C17 fully completed?	
	C5 – Accounts included?	
	C12 - Company announcements included?	
Section D	Questions D1-D4 fully completed?	
Section E	Questions E1-E9 fully completed?	
	E4 - CVs included?	
Section F	Questions F1-F9 fully completed?	
Section G	Questions G1-G11 fully completed?	
Section H	Questions H1 - H5 fully completed?	
Section I	Questions I1 - I28 fully completed?	
	I4 – statement included?	
Section J	Questions J1 - J9 fully completed?	
Section K	References 1-3 provided?	

Section L	Certification provided?	
Appendix 1	Financial Reference Authorisation Form completed & signed?	
Appendix 4	Consortium Acknowledgement Form completed & signed?	
Appendix 5	Parent Company Letter of Support enclosed?	