

DPS Entry and Operation Guide Part 1 - DPS Overview, Entry Criteria and Evaluation Methodology

1. Introduction

The London Borough of Haringey ("the Council") has worked with *adam* to introduce a web-based system, SProc.Net, to manage the Council's Dynamic Purchasing System (DPS). The Council will use this system for the procurement of **Residential and Nursing Services** for the Council's Adult Services Directorate department.

The local authorities set out below shall also be permitted to award contracts under the DPS for the provision of services in its own geographical area upon entering an access agreement with Haringey Council.

The following local authorities: London Borough of Barking & Dagenham, London Borough of Barnet, London Borough of Bexley, London Borough of Brent, London Borough of Bromley, London Borough of Camden, London Borough of Croydon, London Borough of Ealing, London Borough of Enfield, Royal Borough of Greenwich, London Borough of Hackney, London Borough of Hammersmith and Fulham, London Borough of Harrow, London Borough of Havering, London Borough of Hillingdon, London Borough of Hounslow, London Borough of Islington, Royal Borough of Kensington and Chelsea, Royal Borough of Kingston upon Thames, London Borough of Lambeth, City of London, London Borough of Lewisham, London Borough of Merton, London Borough of Newham, London Borough of Redbridge, London Borough of Richmond upon Thames, London Borough of Southwark, London Borough of Sutton, London Borough of Tower Hamlets, London Borough of Waltham Forest, London Borough of Wandsworth, London Borough of Westminster; and

Any local authority in the following counties: Hertfordshire, Essex, Bedfordshire and Berkshire

The DPS shall be divided into the following service categories (each being a "Service Category"):

- Residential
- Residential Respite
- Residential Step-down
- Residential Dementia
- Residential Dementia Respite
- Residential Dementia Step-down
- Nursing
- Nursing Respite
- Nursing Step-down

- Nursing Dementia
- Nursing Dementia Respite
- Nursing Dementia Step-down
- Residential Learning Disability
- Residential Learning Disability Respite
- Residential Learning Disability Step-down
- Nursing Learning Disability
- Nursing Learning Disability Respite
- Nursing Learning Disability Step-down
- Residential Dementia Mental Health
- Residential Dementia Mental Health Respite
- Residential Dementia Mental Health Step-down
- Nursing Dementia Mental Health
- Nursing Dementia Mental Health Respite
- Nursing Dementia Mental Health Step-down

When applying for membership of the DPS, potential suppliers will be invited to select which Service Category they wish to apply for. There is no limit on the number of Service Categories that a supplier may choose – this is entirely at the discretion of the supplier. Suppliers that are appointed to the DPS will be appointed to the service category/categories as determined by their selections in relation to the Service Category.

When a contract is being awarded under the DPS, the council shall select which Service Category applies to that contract, and the suppliers that are registered to the relevant Service Category shall be invited to submit an offer.]

This DPS Entry and Operation Guide, which consists of 2 Parts, will give you as a potential supplier an overview of what a DPS is and will outline the Entry Criteria you must meet to join the DPS and the evaluation methodology the Council will use to assess your capability to deliver **Residential and Nursing Services** to the Council. It will also explain how the Council will manage their procurement and invoicing processes using SProc.Net.

2.0 What is a DPS?

A DPS is a completely electronic system established by a contracting authority to purchase commonly used goods, works or services.

A DPS does not operate in the same way as a contract/framework in that it is an 'open market' product designed to provide access to a pool of suppliers or supply base which can be constantly refreshed. Interested suppliers will have to apply to be admitted to the DPS.

When the contracting authority needs to procure specific services, it will then follow a further bidding process amongst the suppliers admitted to the DPS in order to award a contract (called a Service Agreement) to provide the services.

2.1 How the DPS works

A supplier that wishes to provide **Residential and Nursing Services** to the Council will have to join the DPS by registering and by submitting Accreditation and Enrolment information (an Entry Submission) online via www.sproc.net.

As part of the Accreditation and Enrolment process, the Supplier will be required to indicate for which of the Service Categories it is able to provide services (please see section 1.0 above for further information regarding the selection of Service Categories).

The Supplier's Entry Submission will then be evaluated to establish the supplier's general capability offering against a number of pre-set selection criteria, the Entry Criteria.

The Accreditation and Enrolment process will encompass the evaluation of suppliers' capability (financial and technical) to provide the services described in the Council's Residential and Nursing Specification (the Services), which can be viewed at <http://demand.sproc.net>, against the Entry Criteria which will be evaluated on a pass / fail basis or such other basis as is explained further below.

All successful and unsuccessful suppliers will be notified of the outcome of the evaluation of their Entry Submissions applying for Accreditation and Enrolment. A supplier will either be accepted onto the DPS or rejected and provided with feedback in order to enable it to re-apply at a later date should it wish to do so. Suppliers will have 1 additional opportunity to submit to Enrolment. In the event of failure to meet requirement following the second attempt, suppliers will have to wait 6 months before resubmitting.

The feedback to unsuccessful suppliers will outline the areas in which they need to make improvements in order to submit a successful Entry Submission in the future. The process of applying to join the DPS is explained further in a step by step manner below.

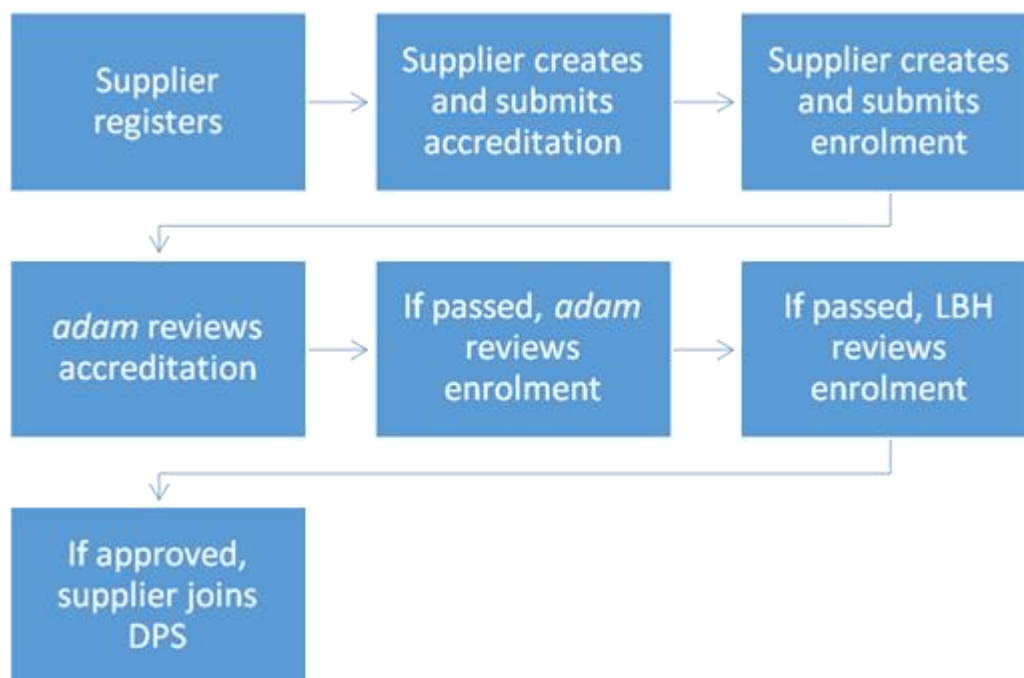
From time to time, when the Council requires specific **Residential and Nursing Services** it will notify suppliers accepted onto the DPS of the opportunity and will run a tender over

SProc.Net, during which interested suppliers will be able to submit Offers to provide the Services required. At the end of the tender, the Council will normally award a Service Agreement for provision of the Services. The award will be to the supplier that best meets the Council's requirements based on an evaluation of the Offers submitted. This process is more fully explained in the DPS Entry and Operation Guide – Part 2 (Requirements Process and DPS Management).

2.2 How to join the DPS

Suppliers who wish to join the Council's DPS for supply of **Residential and Nursing Services** will need to show that they meet the Council's Entry Criteria by applying online at www.sproc.net. It is a simple two step application process consisting firstly of Registration and secondly of Accreditation and Enrolment.

Step by Step process to be completed online:



Step 1: Registration

You must register your business on the system (www.sproc.net). An email will then be sent to you with a username and password to access the system and complete the remaining two

stages. To complete your registration, you will need to provide, at an absolute minimum, the following information:

- Full Business Name
- Trading Name (if different from above)
- Business Tax/VAT Number
- Charity Registration Number (Charities only)
- Company Registration Number (Companies only)
- SME status
- Unique Taxpayer Reference (UTR) Number (if a sole tenderer)
- Registered Business Address: line 1, City, County, Post Code
- Trading business address (if different from above)
- Telephone Number
- Email address

The business name you register will be the name shown on the system. You must then create your first administrative user by providing:

- First Name
- Last Name
- Job Title
- Email address

This user will be an administrator on the system and have the ability to create other users for your business at all additional locations you may have. For further details on how to complete this registration process, please see the Registration, Accreditation and Enrolment User Guide available at www.sproc.net in the Help Library.

The administrator will then receive a username and temporary password. Upon logging into SProc.Net, the administrator will be prompted to change the password.

Step 2: Accreditation and Enrolment

At the Accreditation and Enrolment stages, your business must show that you meet the Council's Entry Criteria to be admitted onto the DPS as one of the Council's **Residential and Nursing Services** suppliers. You must do so by completing an Entry Submission

(your application) by providing responses on SProc.Net to a series of questions and uploading documents to provide information about your organisation. The tables in sections 3.2 to 4.5 below set out a copy of the questions that a supplier will have to respond to when completing your Entry Submission on www.SProc.Net and they also indicate what documents you need to upload. Some questions will only have to be answered depending on the response to another question. The Entry Criteria you have to meet and how they are evaluated are also explained below in sections 3 and 4.

2.3 Entry Submission – notes for completion

2.3.1. The “Council” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process. [

2.3.2 . “You” / “Your” refers to the potential supplier completing the Entry Submission i.e. the legal entity seeking to join the DPS and be invited to submit Offers to provide Services required and which is responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations.

2.3.3. The Entry Submission to be completed has been designed to assess the suitability of a potential supplier to deliver the Council's contract requirement(s). If you are successful at this Accreditation and Enrolment Stage of the procurement process, you will be selected for the subsequent Requirements stage of the process.

2.3.4 Please ensure that all questions are completed in full on SProc.Net by creating and submitting an Accreditation and Enrolment via the tabs on the system and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex. Failure to ensure that all questions are completed may result in your Entry Submission being disqualified.

2.3.5 Where you are required to upload documents, this should be done to the location and/or in the manner indicated further on in this document.

2.3.6. The Council recognises that arrangements set out in response to questions 40 to 44 under section 3.1, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the Council immediately of any change in

the proposed arrangements and ensure questions 1 to 44 under section 3.1 are submitted for any new organisation relied on to meet the selection criteria. The Council will make a revised assessment of the submission based on the updated information.

2.3.7. For questions 1 to 44 under section 3.1, every organisation that is being relied on to meet the selection must complete and submit the self-declaration.

2.3.6. All sub-contractors are required to complete questions 1 to 44 under paragraph 3.1

2.3.7. For answers to questions under paragraphs 4.3 and 4.4 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

2.3.8. Save in respect of the contract details provided by potential suppliers as more particularly described in section 4.6.4.1, the Council confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

3.0 Part 1 - Accreditation

At the Accreditation stage, the questions you will be required to provide responses to and documents you need to upload are grouped into the following sections: Potential Supplier Information; Document Upload - Accreditation.

At the Accreditation stage, you will also be required to download and confirm your business's acceptance of a contractual document, the Supplier Agreement, that can be found at <http://demand.sproc.net>.

The Supplier Agreement signs you up to the terms and conditions of transacting business with the Council through the DPS and to delivering any Services required in accordance with the Council's Residential and Nursing Specification in the event that you are successful in being awarded work through the DPS.

The Supplier Agreement includes Self-Billing Procedure terms in Schedule 2. By accepting the Supplier Agreement, you will be agreeing to these terms including that you will submit weekly invoices (Service Receipts) to the Council via SProc.Net in relation to each Service Agreement you are awarded and to being paid by *adam* on behalf of the Council.

You will need to accept the Supplier Agreement electronically via SProc.Net, by ticking the relevant box on the application, in order to proceed.

3.1 Potential Supplier Information

This section is used to gather the necessary details to understand the nature of the organisation and legal entity participating in the procurement exercise, and where appropriate the composition of their supply chain. It is not scored as the answers to the questions are for information only, but a potential supplier may be excluded on the grounds of providing insufficient or false information.

Please read, complete and sign the declaration statement. Please note that the declaration should be signed by you, the potential supplier, or a partner or authorised representative in his or her own name on behalf of the organisation.

	Question	Question Trigger
1	What is the full name of the potential supplier submitting the information?	
2	What is the address of your registered office? Please enter N/A if not applicable	
3	What is your registered website address? Please enter N/A if not applicable	
4	What is your trading status?	
5	Please specify your trading status.	Dependent on response to Q4
6	What is your organisation's date of registration in its country of origin?	
7	What is your company registration number? Please enter N/A if not applicable	

8	What is your charity registration number? Please enter N/A if not applicable	
9	What is your head office DUNS number? Please enter N/A if not applicable	
10	What is your registered VAT number? Please enter N/A if not applicable	
11	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	
12	Please provide the relevant details, including the registration number(s).	Dependent on response to Q11
13	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	
14	Please provide additional details of what is required and confirmation that you have complied with this.	Dependent on response to Q13
15	Please provide the trading name(s) that will be used if successful in this procurement.	
16	Relevant classifications - Is your organisation a Voluntary, Community and Social Enterprise (VCSE)?	
17	Relevant classifications - Is your organisation a Sheltered Workshop?	
18	Relevant classifications - Is your organisation a Public Service Mutual?	
19	Are you a Small, Medium or Micro Enterprise (SME)?	
20	Do you have Persons of Significant Control (PSC)?	
21	Please provide the Name of Persons of Significant Control (PSC).	Dependent on response to Q20

22	Please provide the Date of birth of Persons of Significant Control (PSC).	Dependent on response to Q20
23	Please provide the Nationality of Persons of Significant Control (PSC).	Dependent on response to Q20
24	Please provide the Country, state or part of the UK where the Persons of Significant Control (PSC) usually lives.	Dependent on response to Q20
25	Please provide the Service address of the Persons of Significant Control (PSC).	Dependent on response to Q20
26	Please provide the date he or she became a Person of Significant Control (PSC) (for existing companies the 6 April 2016 should be used).	Dependent on response to Q20
27	Please provide which conditions for the Persons of Significant Control (PSC) are met; - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more.	Dependent on response to Q20
28	Do you have an immediate parent company?	
29	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Full name of the immediate parent company	Dependent on response to Q28
30	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Registered office address (if applicable)	Dependent on response to Q28
31	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Registration number (if applicable)	Dependent on response to Q28
32	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Head office DUNS number (if applicable)	Dependent on response to Q28
33	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): - Head office VAT number (if applicable)	Dependent on

		response to Q28
34	Do you have an ultimate parent company (that is not the same as the immediate parent company)?	
35	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): - Full name of the ultimate parent company	Dependent on response to Q34
36	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Registered office address (if applicable)	Dependent on response to Q34
37	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Registration number (if applicable)	Dependent on response to Q34
38	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Head office DUNS number (if applicable)	Dependent on response to Q34
39	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): Head office VAT number (if applicable)	Dependent on response to Q34
40	Are you bidding as the lead contact for a group of economic operators?	
41	What is the name of group of economic operators (if you are the lead or a supporting bidder)? Please enter N/A if not applicable	
42	What is the proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded? If you do not propose to form a single legal entity, please explain the legal structure?	Dependent on response to Q40
43	Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	
44	Please confirm you have uploaded additional details for each sub-contractor in the downloadable template, which can be found on the accreditation page at www.SProc.Net .	Dependent on response to Q43

3.3 Document Upload - Accreditation

The below documents must be uploaded onto SProc.Net as part of your Accreditation submission:

	Document	What is required to pass review?	
	Sub-contractor Information	Completed Sub-Contractor Form uploaded to SProc.net	
	Declaration Statement	Signed Declaration Statement uploaded to SProc.net	

3.4 Evaluation Methodology - Accreditation

Once you have completed your Accreditation, you should move straight onto completing the Enrolment part of your application. However, moving onto the Enrolment does not mean that you have passed the Accreditation stage.

In due course, all suppliers will receive an email notification confirming whether or not your application has been approved.

If your application is failed at the Accreditation stage, you will be notified by *adam* who will provide feedback to allow you to rectify any issues and reapply if appropriate.

Self-Certification – All organisations that have self certified will be required to upload all supporting documentation upon request by the Council which will be reviewed prior to any Service Agreement/s being awarded for any Services through the DPS.

4.0 Part 2 – Enrolment

At the Enrolment stage, you will need to provide responses to a series of questions and upload documents in SProc.Net relating to the supplier's capabilities. The Council will use the responses and documents provided to assess the capability of your organisation to provide Residential and Nursing Services to the Council. [For the avoidance of doubt, the enrolment section of your submission will ask some questions that will be unique to the CQC registered location where the services are delivered. Therefore, the Potential Supplier must complete a separate enrolment for each location.

Upon commencement of the Enrolment section you will be required to select which of the Service Categories you can provide services for and you will want to receive requirements for.

Once you have selected from the above Service Categories, you will then need to submit answers to questions and upload documents under the following sections: Grounds for Mandatory Exclusion, Grounds for Discretionary Exclusion, Economic and Financial Standing, Project Specific Questions on Technical and Professional Ability (Trade Registration, Compliance with Legislation, and Document Upload - Enrolment.)

Please note that a completed European Single Procurement Document (ESPD) will be accepted in place of the Accreditation (Potential Supplier Information) and Enrolment (Mandatory Exclusion and Discretionary Exclusion) questions. If you submit an ESPD in place of the above, you must also submit the following where applicable

ESPD (Grounds relating to criminal convictions) - If you have answered 'Yes' to any of the questions in this section, please answer Enrolment Questions 3-7, 9-13, 15-19, 21-25, 27-31, 33-37.

ESPD (Grounds relating to the payment of taxes or social security contributions) - If you have answered 'Yes' to any of the questions in this section, please answer Enrolment Question 39.

ESPD (Grounds relating to insolvency, conflicts of interests or professional misconduct) - If you have answered 'Yes' to any of the questions in this section, please answer Question 41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 61, 63, 65.

4.1 Grounds for Mandatory Exclusion

A supplier will be excluded from becoming or continuing to be an approved supplier if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision under the laws of your organisation's country of establishment or of any UK jurisdiction which found a breach of legal obligations to pay tax or social security obligations (except either, on an exceptional basis, for overriding reasons

relating to the public interest such as public health or protection of the environment or where an exclusion is disproportionate e.g. only minor amounts involved).

Any supplier that answers 'Yes' to questions 2, 4, 6, 8 10 or 12 below should provide, in the relevant space for this on SProc.Net, sufficient evidence that provides a summary of the circumstances and of any remedial actions that it has taken which are sufficient to demonstrate its reliability as a supplier despite the conviction in question. The supplier has to demonstrate it has taken such remedial action to the Council's satisfaction in each case.

If such evidence is considered sufficient by the Council (whose decision will be final), the supplier concerned shall be allowed to continue in the DPS process.

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

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

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

If you answer 'Yes' to question 38 below on the non-payment of taxes or social security contributions, and have not paid or entered into a binding arrangement to pay the full amount, you may still avoid exclusion if only minor tax or social security contributions are unpaid or if you have not yet had time to fulfil your obligations since learning of the exact amount due. If your organisation is in that position, please provide details in the relevant section for this on SProc.net.

	Enrolment Question	Question Trigger
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1	Has your organisation completed the European Single Procurement Document? Please upload	
2	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Participation in a criminal organisation	Dependent on response to Q1
3	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q2
4	Please provide the identity of who has been convicted.	Dependent on response to Q2
5	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q2
6	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q2
7	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q2
8	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Corruption	Dependent on response to Q1
9	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q8
10	Please provide the identity of who has been convicted.	Dependent on response to Q8
11	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to

		Q8
12	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q8
13	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q8
14	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Terrorist offences or offences linked to terrorist activities	Dependent on response to Q1
15	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q14
16	Please provide the identity of who has been convicted.	Dependent on response to Q14
17	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q14
18	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q14
19	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q14
20	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Money laundering or terrorist financing	Dependent on response to Q1
21	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q20

22	Please provide the identity of who has been convicted.	Dependent on response to Q20
23	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q20
24	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q20
25	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q20
26	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf . - Fraud	Dependent on response to Q1
27	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q26
28	Please provide the identity of who has been convicted.	Dependent on response to Q26
29	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q26
30	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q26
31	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q26
32	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within	Dependent on response to Q1

	the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf - Child labour and other forms of trafficking in human beings	
33	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q32
34	Please provide the identity of who has been convicted.	Dependent on response to Q32
35	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q32
36	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q32
37	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q32
38	Regulation 57(3) Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?	Dependent on response to Q1
39	Please provide further details and confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.	Dependent on response to Q38

4.2 Grounds for Discretionary Exclusion

The Council may exclude any supplier who answers 'Yes' to questions 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62 and 64 below.

Any supplier that answers 'Yes' to questions 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62 and 64 below should provide, in the relevant space for this on SProc.Net, sufficient evidence that provides a summary of the circumstances and of any self-cleaning measures that it has taken which are sufficient to demonstrate its reliability as a supplier despite the situation in question. The supplier has to demonstrate it has taken such remedial action to the Council's satisfaction in each case.

If such evidence is considered sufficient by the Council (whose decision will be final), the supplier concerned shall be allowed to continue in the DPS process.

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

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

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

	Question	Question Trigger
40	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. -Breach of environmental obligations?	Dependent on response to Q1
41	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q40
42	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Breach of social obligations?	Dependent on response to Q1
43	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q42
44	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Breach of labour law obligations?	Dependent on response to Q1
45	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q44
46	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Bankrupt or is the subject of insolvency or winding-up	Dependent on response to Q1

	proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State?	
47	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q46
48	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Guilty of grave professional misconduct?	Dependent on response to Q1
49	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response Q48
50	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Entered into agreements with other economic operators aimed at distorting competition?	Dependent on response to Q1
51	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q50
52	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	Dependent on response to Q1
53	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q52
54	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Been involved in the preparation of the procurement procedure?	Dependent on response to Q1
55	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q54
56	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions?	Dependent on response to Q1

57	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q56
58	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.	Dependent on response to Q1
59	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q58
60	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation has withheld such information.	Dependent on response to Q1
61	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q60
62	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation is not able to submit supporting documents required under regulation 9 of the Public Contracts Regulations 2015.	Dependent on response to Q1
63	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q62
64	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.	Dependent on response to Q1
65	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q64

4.3 Economic and Financial Standing

For the purpose of assessing your organisation's financial viability you are required to provide the information set out below.

If you have indicated that you are part of a wider group, you will also be required to provide further details regarding the Parent company as detailed below:

	Enrolment Question	Question Trigger
66	Has your organisation been operating for more than three years?	
67	Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past two years of trading.	Dependent on response to Q66
68	Has your organisation been operating for between two and three years?	Dependent on response to Q66
69	<p>Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past two years of trading.</p> <p>If you are unable to upload the information required above, please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least one year of trading;</p> <p>AND</p> <p>Cash flow forecast for the next 3-5 years and projected profit and loss;</p> <p>AND</p> <p>Projected year-end balance sheet position for the current year of trading, both of which must have been certified by a qualified accountant or independent auditor.</p>	Dependent on response to Q68
70	Has your organisation been operating for less than two years?	Dependent on response to Q68
71	<p>Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past one year of trading;</p> <p>AND</p> <p>A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year, if the full year is not applicable) trading and a year-end balance sheet, which must have been certified by a qualified accountant or independent auditor.</p> <p>If you are unable to upload the information required above, please confirm that you have uploaded a statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year, if the full year is not applicable) trading and a year-end balance sheet;</p> <p>AND</p> <p>Cash flow forecast for the next 3-5 years, both of which must have</p>	Dependent on response to Q70

	been certified by a qualified accountant or independent auditor; AND A bank letter outlining the current cash and credit facility position available to the organisation.	
72	Please self-certify that your organisation is part of a wider group (e.g. a subsidiary of a holding/parent company)?	
73	What is the name of the organisation?	Dependent on response to Q72
74	What is the relationship of the organisation to your organisation?	Dependent on response to Q72
75	Are you able to provide parent company accounts if requested to at a later stage?	Dependent on response to Q72
76	Would the parent company be willing to provide a guarantee if necessary?	Dependent on response to Question 72
77	Would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Dependent on response to Question 72

4.4 Technical and Professional Ability

The Council wants to ensure the capability of all suppliers admitted onto the DPS. Your response to these questions in section 4.4 will not be evaluated. However, to the extent that your responses elsewhere in the Enrolment process refer to these previous contracts, the Council may contact the relevant customers to verify your responses.

	Relevant experience and contract examples	
78	<p>Please confirm that you will provide, on the downloadable form, details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.</p> <p>The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.</p> <p>Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).</p> <p>Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.</p>	

	If you cannot provide examples, see question 81.	
79	Does your organisation intend to sub-contract a proportion of the contract?	
80	Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s). Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).	Dependent on response to Q79
81	If you cannot provide at least one example, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.	Dependent on response to Q78

	Modern Slavery Act 2015	
82	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	
83	Are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Dependent on your response to Q82
84	Please provide the relevant URL to view the statement.	Dependent on your response to Q82
85	Please provide an explanation.	Dependent on your response to Q82

	Trade Registrations	
86	Please provide your most recent CQC inspection rating for the location you are enrolling	

4.5 Additional Questions

Insurances

In order to supply services to the Council, the Council requires you to have particular insurance cover. The questions below are arranged in such a way that you do not need to have the required level of insurance at the time of your submission, but if you do not you must commit to having the correct levels once you begin delivering services to the Council. If you have the required cover, you must upload the insurance schedule as part of your application.

	Question	Question Trigger
87	<p>Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:</p> <ul style="list-style-type: none"> - Employer's (Compulsory) Liability Insurance = £10 million <p>* It is a legal requirement that all companies hold Employer's (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.</p>	
88	<p>Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:</p> <ul style="list-style-type: none"> - Public Liability Insurance = £5 million 	
	Business Continuity	
90	<p>Please self-certify that your organisation has a Business Continuity Policy that complies with the following and upload it into the relevant area of Sproc.Net</p> <p>What systems and personnel are always in place within your organisation to deliver this contract?</p> <ul style="list-style-type: none"> • Have the critical activities been identified in providing the service / product to the Council/service users and how are the risks that could affect them being mitigated? • What is the supplier's plan for responding to and recovering the service in the event of disruptive incident? • How will their plan be communicated both in advance and in the event of an incident including out-of-hours • How will the supplier's Business Continuity Management System be improved and/or how has this been done in the past?– 	
	Safeguarding	
91	<p>Please self-certify that your organisation has a Safeguarding Policy that complies with the following and upload it into the relevant area of Sproc.Net</p>	

	<p>How your organisation intends to keep service user's safe</p> <ul style="list-style-type: none"> - Whom the policy applies and relates to (e.g. all staff and volunteers, service users) - Brief definitions of abuse categories and how they might manifest in the service users your organisation works with - Brief outline of the main law and guidance that relates to the policy - Acknowledgement of difference in needs and a commitment to anti-discriminatory practice - Clear practical steps showing how your organisation will respond to concerns - What procedures are in place for referrals including allegations against professionals - How the policy links to other relevant policies (e.g. use of electronic media, Information sharing and recording keeping protocol, whistle blowing, Prevent etc.) - Policy includes name and position of the senior manager operationally responsible for safeguarding within the organisation - Procedures are in place for safer recruitment? 	
	<p>Health and Safety</p>	
<p>92</p>	<p>Please confirm that your organisation has a Health and Safety Policy/ Statement that complies with current legislative requirements and covers all the requirements listed below into the relevant area of Sproc.Net</p> <p style="text-align: center;"><u>Organisations with 5 or more employees (including managers)</u></p> <ul style="list-style-type: none"> • Clear details of organisational delegation or responsibilities. • Description/Evidence of how health and safety is communicated within the organisation. • Evidence of commitment to review policies and supporting details showing how this is done. • Demonstrate requirement for sub- contractors to evidence their Health & Safety policies including the requirement to undergo training in Health & Safety. <p style="text-align: center;"><u>Organisations with 5 or less employees (including managers)</u></p> <ul style="list-style-type: none"> • How your company identifies hazards, assesses & removes or minimises the risk relevant to the services/works provided. • Who within the company is responsible for health & safety provision and how health & safety issues are communicated within the company. • Who is responsible for ensuring that the company operatives are trained in relation to health & safety? Evidence of risk/health safety assessments, safe practises, training records. 	

	Medication Management policy	
93	<p>Please confirm that your organisation has a Medication Management Policy which meets the requirements of the Residential and Nursing Specification and specifically covers the items listed below. Upload it in into the relevant area of SProc.Net</p> <ul style="list-style-type: none"> - Compliance with Regulation 12 (Safe Care and Treatment) - Who is responsible for maintaining and replenishing stocks of medication? - Who is responsible for the management and administration of medication? - Compliance with statutory requirements around supply; storage, administration; disposal and recording - Procedures in place for managing medication and infection control, in line with statutory requirements - How the policy links to other relevant policies (e.g. safeguarding and incident management, Business Continuity Planning Information sharing and record keeping protocol etc.) - Policy includes name and position of the senior manager operationally responsible for medication management within the organisation 	
94	<p>Please confirm that your organisation has and Incident Management Policy which meets the requirements of the Residential and Nursing Specification and specifically covers the items listed below. Upload it into the relevant area of SProc.Net</p> <ul style="list-style-type: none"> - Definition of incidents (critical and otherwise) - Details of how incidents are recorded - Details of how and by who incidents are investigated - Details of how incidents are reported and to who - Measures to ensure compliance with regulatory guidance - How policy links to other relevant policies - How and by who policy is reviewed 	
95	Please upload a copy of your Induction and Recruitment policy	
96	Please upload a copy of your DoLS and MCA policy	
97	Please upload a copy of your Care Planning / Admissions Policy	

Enrolment Documents

Document Type	What is required to pass review?	
Adult Safeguarding Policy and Procedure	Please upload	Mandatory
Induction and Recruitment Policy	Please upload	Mandatory
Incident Management Policy and Procedure	Please upload	Mandatory
Medication Management Policy	Please upload	Mandatory
Care Planning / Admission Policy	Please upload	Mandatory
DoLS and MCA Policy	Please upload	Mandatory
Financial Documentation	Upload the required information as set out in questions 66 – 71, as applicable	Mandatory
Contract Details	Upload the completed contract reference document	Mandatory
Health and Safety Policy	Either your Health and Safety Policy or confirmation that you will adhere to the Council's Policy.	Mandatory
European Single Procurement Document (ESPD)	A completed ESPD document (Please upload)	Optional
Evidence of Employer's Liability Insurance	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	Mandatory
Evidence of Public Liability Insurance	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	Mandatory

4.6 EVALUATION METHODOLOGY – ENROLMENT

4.6.1 Grounds for Mandatory and Discretionary Exclusion

This area is assessed on a Pass / Fail basis in accordance with the evaluation approach set out in sections 4.1 and 4.2. Essentially Suppliers will be excluded where they answer yes

to the questions under the section setting out the grounds for mandatory exclusion and they may be excluded where they answer yes to the questions under the section setting out the grounds for discretionary exclusion unless they give explanations that satisfy the Council that they have taken adequate remedial action.

4.6.2 Finance

To assess your organisations financial viability a credit check will be undertaken. Any organisation that has a Delphi Score of High, maximum or undetermined risk will have a full evaluation undertaken in accordance with the criteria set out below.

A full financial assessment in accordance with the criteria below may also be carried out in the following instances:

- A. During the monitoring process a significant change occurs to an organisations financial standing
- B. If over the course of the DPS a supplier has 5 or more placements at any one time.

4.6.2.1 This section will be completed based on a risk analysis of financial information provided by the supplier.

The financial information provided will be evaluated in a number of ways. It will be used to calculate a number of financial ratios for evaluating the financial well-being of your organisation and of the organisations seeking to be involved in tendering for Service Agreements with your organisation.

4.6.2.2 Your submitted information will be assessed using the following criteria:

4.6.2.2.1 Where the preferred provider is a subsidiary of a parent company (and will be providing a parent company guarantee) or is a member of a consortium, then all of the information requested in this section is required from both the bidder and the parent company or from each consortium member. Please note that the Financial Statements of the bidder company, parent company and all consortium members are to be provided where applicable.

4.6.2.2.2 If you are applying as a consortium and/or propose to sub-contract any material part of the provision of the services under the Contract, each consortium member (in the case of a consortium bid) and material sub-contractor (in addition to the potential supplier, in the case of a prime contractor/sub-contractor arrangement) will be required to submit its financial information, which will then be assessed in line with the evaluation criteria set out below. The Council reserves the right to exclude the Potential supplier (and so exclude all members of the relevant consortium/both the prime contractor and its sub-contractors) from further participation in this procurement process where (in the case of a consortium bid) any consortium member fails the financial assessment or (in the case of any prime contractor/sub-contractor arrangement) either the Potential supplier as prime contractor or any material sub-contractor fails the financial assessment.

A financial assessment that results in a score of 15 or below will be referred for further review at which your organisation may be required to submit supplementary information.

A decision as to whether your organisation Pass or Fail will be at the sole discretion of the Council. A fail will result in your organisation being eliminated from the process.

Score	Outcome
0-15	Fail
16-40	Pass

Note: Potential suppliers are advised to check their credit report with Experian for any inaccuracies that can be rectified before the Council obtains the report for financial evaluation.

If credit report is unavailable, the Council's Finance Team will carry out assessment based on risk analysis of overall financial statements supplied by the potential suppliers and will apply the scores accordingly.

NHS Trusts, local authorities and public sector organisation tendering for the contract will be treated as government organisations for the purposes of credit scoring and will be awarded maximum points allocated for credit scoring.

4.6.2.3 Established companies set up for longer than 3 years

Established companies set up for longer than 3 years MUST provide audited or independently examined company financial accounts that provide figures for at least the past two years of trading.

4.6.2.4 New companies trading for 3 years or less.

Companies trading for 3 years or less are required to provide the following information:

- (a) Companies trading 2-3 years: To provide minimum one year's audited accounts.

If an organisation is unable to provide 2 years of audited trading figures, then they should also provide:

- (i) cash flow forecast for next 3-5 years; projected P&L; and
- (ii) projected year end balance sheet position for the current year of trading

These statements must be certified by a qualified accountant or independent auditor

- (b) Companies trading less than 2 years:

- (i) To submit one year's audited accounts; and
- (ii) A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet (these statements must be certified by a qualified accountant or independent auditor).

If no audited accounts, then:

- (iii) A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet;
- (iv) Cash flow forecast for next 3-5 years; and
- (v) A bank letter outlining the current cash and credit facility position available to the company

The statements in (i) to (iv) must be certified by a qualified accountant or independent auditor

4.6.2.5 The following methodology will be used to calculate the scores for established companies set up for longer than 3 years and new companies trading for 3 years or less

1.	Net Profit Margin %	
	Range	Score
	> 10	5

	9 - 10	4
	7 - 8	3
	5 - 6	2
	3 - 4	1
	0 - 2	0
2.	Current Asset Ratio %	
	Range	Score
	> 2.5	5
	2.1 - 2.5	4
	1.8 - 2.0	3
	1.5 - 1.7	2
	1.1 - 1.4	1
	0 -1.0	0
3.	Return on Capital Employed (ROCE) %	
	Range	Score
	> 20	5
	> 16 - 20	4
	> 11 – 15	3
	> 6 – 10	2
	> 0 – 5	1
	0	0
4.	Gearing %	
	Range	Score
	0	5
	1 - 5	4
	6 - 15	3
	16 - 25	2
	26 – 40	1
	> 40	0
5.	Credit Rating / Risk Analysis	
	Range	Score
	Minimum, low or very low risk	20
	Lower than average risk	15
	Higher than average risk	10
	High, maximum or undetermined risk	0
Definitions		
1.	Net profit margin PBIT / Turnover as a %	
2.	Current ratio	Current Assets / Current Liabilities
3.	ROCE	Profit before Interest & Tax / Total Assets less Current Liabilities

4. Gearing	Total long term debt / Capital Employed
5. Credit Rating	Based on Experian credit report if available; if, unavailable assessed by the Council's Finance Team based on risk analysis of overall financial statements supplied.

4.6.2.6 Not-For-Profit (NFP) organisations

NFP organisations must submit the following:

(a) Companies trading 3 years or more
Must provide audited or independently examined company financial accounts that provide figures for at least the past two years of trading.

(b) Companies trading 2-3 years

To provide minimum 1 year's audited accounts.

If this does not indicate 2 years of audited trading figures, then you should also provide a cash flow forecast for next 3-5 years; projected P&L and projected year end balance sheet position for the current year of trading

These statements must be certified by a qualified accountant or independent auditor

(c) Companies trading less than 2 years

(i) To provide minimum of 1 year's audited accounts.

If no audited accounts are available, then you must provide:

(ii) A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and an end year balance sheet;

(iii) Cash flow forecast for next 3-5 years; and

(iv) A bank letter outlining the current cash and credit facility position available to the company.

The statements in (ii) and (iii) must be certified by a qualified accountant or independent auditor).

4.6.2.7 The following methodology will be used to calculate the scores for Not-For-Profit (NFP) organisations

1. Current Asset Ratio	
Range	Score
> 2.5	5
2.1 - 2.5	4
1.8 - 2.0	3

	1.5 - 1.7	2	
	1.1 - 1.4	1	
	0 -1.0		0
2.	Gearing %		
	Range		Score
	0		5
	1 - 5		4
	6 - 15		3
	16 - 25		2
	26 – 40		1
	> 40		0
3.	Defensive Interval also known as ‘Cash to Expenses’ ratio		
	Cash + Marketable Securities + Receivables Average Monthly Expenses		
	Range		Score
	12		5
	9-11		4
	6-8		3
	3-5		2
	1-2		1
	0		0
4.	Turnover to Net Assets ratio (%)		
	Turnover Net Assets		
	Range		Score
	> 20		5
	16 - 20		4
	11 - 15		3
	6 - 10		2
	1 - 5		1
	0		0
5.	Credit Rating / Risk Analysis		
	Range		Score
	Minimum, low or very low risk	20	
	Lower than average risk		15
	Higher than average risk		10
	High, maximum or undetermined risk	0	

4.6.3 Economical and Financial Standing of those organisations involved in your Tender and/or any Guarantor(s).

4.6.3.2 The Council will use the information that you provide in this section, to evaluate the economic and financial standing of those organisations involved in your Tender and/or any Guarantor(s).

4.6.3.3 Pass – If you have answered ‘Yes’ to question 72. The preferred provider may be required to submit parent company accounts and guarantee, if requested by the Council.

If you have answered ‘Yes’ to 76, the Council may require you to submit the guarantee.

The Council will carry out financial risk assessment of the parent company or Guarantor(s) and reserve the right to exclude the potential supplier from further participating in this procurement process where parent company or Guarantor(s) fails the financial risk assessment. Please refer to paragraph 4.6.2.1 to 4.6.2.7. for evaluation methodology.

4.6.3.4 Fail - The potential supplier states 'Yes' in response to question 72 or question 75 but fails to provide the relevant information, upon request by the Council;
Or
the potential supplier states ‘Yes’ in response to question 72 but states ‘No’ in response to question 75 or vice versa and has not provided a sufficient explanation.

4.6.4 Technical and Professional Ability

4.6.4.1 Relevant experience and contract examples

The Council has requested details of up to three contract examples demonstrating experience that are relevant to its requirements. Potential suppliers are asked to submit details of contracts where the named customer contact is prepared to provide written evidence to the Council to confirm the accuracy of the information provided.

By providing the contract details requested, the potential supplier is agreeing to waive, for the purposes of this selection process, any contractual or other confidentiality rights and obligations associated with the contract details provided.

The Council reserves the right to contact the named customer contact in Section 4.4 regarding the contract examples.

This section will be evaluated using a Pass/Fail criterion.

Pass – The potential supplier has provided the requested details for up to 3 relevant contracts in response to question 78 or provided a satisfactory explanation in response to question 81 which demonstrates that the potential supplier has the technical and professional ability to perform in some other way that still shows relevance to the Council's requirements.

If potential supplier does not intend to use Sub-contractor(s) and stated 'no' in response to question 79; Or provided a satisfactory explanation and sufficient evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

Fail - The potential supplier has not provided any relevant contract details in response to question 78 and has not provided a satisfactory response to question 81 or has provided limited evidence to demonstrate experience relevant to the Council's requirements; Or

In response to question 80, potential supplier has indicated that Sub-contractor will be used in delivering the requirement services specified in this procurement and have provided insufficient explanation and supporting evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

4.6.4.2 Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015

The Council as a contracting authority is required to determine if potential suppliers are relevant commercial organisations (as defined by Section 54 of the Modern Slavery Act 2015) and, if so, if they comply with:

The annual reporting requirements contained within Section 54 of the Modern Slavery Act 2015

If the potential supplier ticks 'Yes' and provides the relevant url link or if the potential supplier is not a relevant commercial organisation and so ticks 'No' then this will be accepted by the Council.

This section will be evaluated using a Pass/Fail criterion.

Pass – The potential supplier states 'Yes' in response to question 82 and states 'Yes' and provides the relevant url link in response to questions 83 and 84 or the potential supplier states 'No' in response to question 82. Or the potential supplier states 'Yes' in response to question 82 and states 'No' in response to question 83 and provides a satisfactory explanation and commitment to comply in future in question 85.

Fail – The potential supplier states 'Yes' in response to question 82 and question 83 but fails to provide the relevant url link in question 84. Or the potential supplier states 'Yes' in response to question 82 but states 'No' in response to question 83 and has not provided a sufficient explanation and commitment to comply in future in response.

4.6.4.3 Trade Registrations

This part of the evaluation is Pass / Fail

A Suppliers' CQC rating, in line with inspection regulations will be used as part of the admission criteria for getting on to the DPS.

Inspection ratings below 'good' and 'outstanding' will be a Fail.

Suppliers with no inspection score

New Company:

Where a new supplier is registered with the CQC, is not inspected, but achieves a pass mark on the enrolment evaluation, the Council will approve the enrolment and place the enrolment on suspension. This suspension will remain in force until a CQC inspection has taken place and the rating of 'good' or 'outstanding' is obtained.

Change of address:

If a supplier changes location and holds a previous score of Good or Outstanding, the decision to pass or fail this supplier will be at the discretion of the Council.

4.6.5 Additional Questions

This part of the evaluation will be on a Pass/Fail basis.

4.6.5.1 Insurances

Your response to questions 87 and 88 will be evaluated using a **Pass/Fail** criterion.

- Pass – The potential Supplier answered 'Yes' to self-certify that either it has the necessary insurance levels in place at the time of completing the SQ or it can commit to obtain the required levels if successful prior to contract commencement.
- Fail – The potential Supplier self certifies that it does not already have the required levels of insurance and can not commit to obtaining them in time. Or the potential supplier does not answer the question.

4.6.6 Policies and Procedures (Business Continuity, Health and Safety, Medication Management, Safeguarding and Incident Management Policy)

All organisations that have self-certified that they have a policy that meet the criteria (set out in questions 90, 91, 92, 93 and 94 respectively) will be required to upload the policy and all supporting documentation upon request by the Council which will be reviewed prior to any contract/s being awarded for any services via the DPS. The evaluation matrix set out in section 4.6.7 would then be used to assess the policy documents and any supplier whose policy scores 2 or below will fail this part of the Enrolment process and would not be awarded any contract/s via the DPS

4.6.6.1 Induction and Recruitment Policy, Care Planning / Admissions and DoLS and MCA Policy will not be evaluated but must be uploaded for information only.

4.6.6.2 Quality Assurance Spot checks

Commissioning will spot check policies as part of their Quality Assurance process, any policy submitted as part of an enrolment that raises concerns to the quality of service delivery the Commissioning team will undertake a full review. If, as part of the review the Council deem the policy to be inadequate or identify potential risk to

service users, the Council reserves the right to suspend a supplier from receiving further requirements. The suspension will be lifted once LBH are satisfied the Policy has been updated in accordance with actual services delivered and there is no associated risk to service users.

4.6.7 Evaluation Matrix

Assessment	Score	Interpretation
Excellent	5	Clear demonstration by the Supplier of an excellent level of relevant experience, ability, flexibility, understanding, skills, resource and/or quality measures. Appropriate evidence provided to support the response.
Good	4	Clear demonstration by the Supplier of a good level of relevant experience, ability, flexibility, understanding, skills, resource and/or quality measures. Appropriate evidence provided to support the response.
Acceptable	3	Demonstration by the Supplier of an acceptable level of relevant experience, availability, understanding, skills, resource and/or quality measures. Appropriate evidence provided to support the response.
Minor Reservations	2	Some minor reservations in respect of the Supplier's relevant experience, ability, flexibility, understanding, resources and /or quality measures, with little or no evidence to support the response.
Serious Reservations	1	Considerable reservations in respect of the Supplier's relevant experience, ability, flexibility, understanding, skills, resource and/or quality measures. Little or no evidence to support the response.
Unacceptable	0	Inappropriate and irrelevant response and/or insufficient information provided to demonstrate that the Supplier has the experience, ability, understanding, skills, resource and/or or quality. Little or no evidence provided to support the response.

5. Next Steps

For fuller details on how to create and submit your Enrolment information, please see the Registration, Accreditation and Enrolment User Guide available at www.sproc.net in the Help Library and at <http://demand.sproc.net>.

Once your Enrolment submission has been reviewed by the Council against the Enrolment evaluation criteria set out in the Evaluation Methodology above, you will receive an email notification confirming whether or not your application has been approved.

If you are rejected at the Enrolment stage, you will be able to resubmit your enrolment a further two times, on the second time of applying the Council will contact the supplier. Should the 3rd attempt fail a supplier will have to wait 6 months before they can re apply.

Draft Accreditations and Enrolments

All draft Accreditations or Enrolments longer than 6 months will be cancelled and you will then be required to submit a fresh application.

GLOSSARY

Accreditation – this is the first part of the second step (selection) of the process that a Supplier is required to complete in order to join the DPS. It involves a responding to a series of objective questions and uploading documents.

Adam – *adam* HTT Limited trading as *adam* as the provider of **SProc.Net**, who will also act as the Council's payment agent.

DPS – Dynamic Purchasing System used for the procurement of services.

Enrolment – this is the second part of the second step (selection) of the process that a Supplier needs to complete in order to join the DPS. It involves submitting further information based on which the Council makes a subjective evaluation of the capability of your organisation to deliver services to the Council.

Enrolment – this is the second part of the second step (selection) of the process that a Supplier is required to complete in order to join the DPS. It involves responding to a series of questions and uploading documents relating to the supplier's capabilities.

Entry Criteria – the criteria that a service provider must meet and maintain throughout the duration of the DPS in order to successfully complete and to retain their Accreditation and Enrolment in the DPS.

Entry Submission - the Accreditation and Enrolment information and documents which the Council requires a supplier to submit via SProc.Net as part of the Accreditation and Enrolment process.

Experian UK – A credit checking service.

Evaluation Methodology - the methodology the Council will use to evaluate Entry Submissions against the Council's Accreditation and Enrolment standards and to evaluate Offers to rank suppliers in the process of awarding a Service Agreement.

Intermission – a “hold” on the delivery of a service whilst the Service Agreement remains in force.

Offer – your tender against a Requirement confirming that you are able to deliver the Services required and at what price.

Open for Offers – the period during which you are able submit an Offer against a Requirement distributed by the Council on the DPS.

Public Contract Regulations – The Public Contract regulations 2015, as amended from time to time, that govern how public sector public sector procurements must be carried out.

Registration – this is the first step of the process that a Supplier is required to complete when joining the supply chain, it involves uploading onto the DPS certain basic information about the supplier's organisation.

Requirement – A request issued by the Council from time to time on the DPS describing the specific Services that the Council requires and for which it is seeking to award a Service Agreement.

Self-Billing Procedure – Arrangements you sign up to as part of the Supplier Agreement in order for adam to generate invoices billing the Council on your behalf and to process payments to you on behalf of the Council.

Service Agreement – this is the contract to deliver a Requirement issued by the Council accepting your Offer and confirming agreement on what Services are going to be delivered and at what price.

Service Category – a category of service, as described in section 1.0 of DPS Entry and Operation Guide Part 1 and in the Residential and Nursing Specification (as the case may be), in relation to which a supplier may be admitted to the DPS to provide Services.

Service Receipt – this is a weekly electronic record you must submit via the DPS to confirm the services you have delivered in the specified week. This is instead of sending the Council a paper invoice.

Nursing Specification – the outline description of the nursing Services the Council may require from time to time via the DPS

Residential Specification – The outline description of the residential Services the Council may require from time to time via the DPS.

Services – These are the Residential and Nursing services (as the case may be) that the Service Provider will provide where required by the Council from time to time in accordance with the Supplier Agreement as more fully described in the Residential and Nursing Specification (as the case may be) and further detailed by a Requirement.

SProc.Net – this is an internet based technology platform through which the Council will be operating the DPS to procure Services (web link is www.sproc.net).

Supplier Agreement – This is the overarching agreement between the Council and a supplier setting out how the Council will award Service Agreements via the DPS for the delivery of specific Services and the terms and conditions applicable to such Service Agreements.

Suspension – A process where the supplier's enrolment is suspended from receiving any new requirements and all current offers are cancelled.