



# **PRE-QUALIFICATION QUESTIONNAIRE (PQQ)**

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## **Internal Audit Services**

Tenders must be received at the Association's Head Office no later than  
12 noon, Friday, 24<sup>th</sup> April 2020

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## **1. Notes for Completion**

- 1.1** The Pre-Qualification Questionnaire (PQQ) has been issued by Ark Housing Association in connection with a competitive procurement. Responses to the PQQ will be used to select a Service Provider who will progress to tender price stage.

This is an open public and competitive procurement conducted in accordance with the Public Contracts Regulations 2006.

- 1.2** Please answer every question. Procurements generate a great deal of interest from potential suppliers, so please ensure that the PQQ is completed, as requested. Failure to do so may result in the application being disqualified. If the question does not apply to you, please write N/A or if you don't know the answer, please write N/K.

- 1.3** 'You'/'Your'/'Service Provider' means the business or company which is completing this PQQ.

- 1.4** If necessary, the Service Provider may use continuation sheets, clearly labelled with the Service Provider's name and reference to the appropriate question.

- 1.5** The Service Provider is requested to ensure that all responses are relevant and focused on addressing the questions asked. No reliance will be placed upon information given elsewhere in this document or whether the Service Provider has previously worked with Ark Housing.

Failure to furnish the required information, make a satisfactory response to any question, or supply documents referred to in responses within the specified timescale, may mean that the Service Provider will not be able to participate further.

- 1.6** Where a consortium approach is proposed, all information requests should be given in respect of each consortium member. Ark Housing may require parent company guarantee where the organisation, wishing to be selected, is a subsidiary company or a performance bond where a special purpose vehicle is to be formed. Responses must enable Ark Housing to assess the Service Provider's overall ability to deliver the service.

- 1.7** Where the proposed Service Provider is a special purpose vehicle or holding company, information should be provided about the extent to which it will call upon the resources and expertise of its members and third parties

- 1.8** Service Providers have been asked to provide a single point of contact within the organisation with responsibility for responding to the PQQ. Ark Housing will not be responsible for contacting the Service Provider through any route other than the nominated contact. The Service Provider must undertake to notify any changes regarding contact promptly to Ark Housing.

## 2. Organisation and Contact Details

2.1	Full name of organisation tendering (or of the organisation acting as lead contact where a consortium bid is being submitted)	
2.2	Registered office address	
2.3	Company or Charity registration number	
2.4	VAT Registration Number	
2.5	Name of immediate parent company	
2.6	Name of ultimate parent company	
2.7	Type of organisation (please tick which is applicable)	i) public limited company
		ii) limited company
		iii) limited liability partnership
		iv) other partnership
		v) sole trader
		vi) other (please specify)

2.8	<b>CONTACT DETAILS FOR THIS PQQ</b>	
(a)	Name	
(b)	Address	
(c)	Post Code	
(d)	Country	
(e)	Phone	
(f)	Email Address	

<b>2.9</b>	<b>CONSORTIA OR SUB-CONTRACTING</b>	
	(Please tick which is applicable))	
(a)	The Service Provider is bidding to provide the goods and/or services required itself	
(b)	The Service Provider is bidding in the role of Prime Contractor and intends to use third parties to provide some of the goods and/or services	
(c)	The Service Provider is a Consortium or Special Purpose Vehicle	
<p>If your answer is (b) or (c) please indicate in a separate annex (by inserting the relevant company/organisation name) the composition and governance of the supply chain, indicating which member of the supply chain will be responsible for the elements of the requirement.</p>		

<b>2.10</b>	<b>COMPLETION BY NON-UK BUSINESSES ONLY</b>	
(a)	Is your business registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in <b><i>Annexes IX A-C of Directive 2004/18/EC</i></b> ) under the conditions laid down by that member state)?	
(b)	Is it a legal requirement in the State where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement? If yes, please provide details of what is required and confirm that you have complied with this.	

### 3. Grounds for Mandatory Rejection

**Important Notice:**

In some circumstances, Ark Housing is required by law to exclude you from participating further in this procurement. If you cannot answer 'no' to every question in this section, it is very unlikely that your application will be accepted and you should contact us for advice before completing this form.

Please state 'Yes' or 'No' to each question

Has your organisation or any directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences?		Yes/No
<b>3.1</b>	Conspiracy within the meaning of Section 1 or 1A of the Criminal Law Act 1977 or Article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983 where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA;	
<b>3.2</b>	Corruption within the meaning of Section 1(2) of the Public Bodies Corrupt Practices Act 1889 or Section 1 of the Prevention of Corruption Act 1906; where the offence relates to active corruption;	
<b>3.3</b>	The offence of bribery, where the offence relates to active corruption;	
<b>3.4</b>	Bribery within the meaning of Section 1 or 6 of the Bribery Act 2010;	
<b>3.5</b>	<p>Fraud, where the offence relates to fraud affecting the European Communities' financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Communities, within the meaning of:</p> <ul style="list-style-type: none"> <li>(i) the offence of cheating the Revenue;</li> <li>(ii) the offence of conspiracy to defraud;</li> <li>(iii) fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;</li> <li>(iv) fraudulent trading within the meaning of Section 458 of the Companies Act 1985, Article 451 of the Companies (Northern Ireland) Order 1986 or Section 993 of the Companies Act 2006;</li> <li>(v) fraudulent evasion within the meaning of Section 170 of the Customs and Excise Management Act 1979 or Section 72 of the</li> </ul>	

	<p>Value Added Tax Act 1994;</p> <p>(vi) an offence in connection with taxation in the European Union within the meaning of Section 71 of the Criminal Justice Act 1993;</p> <p>(vii) destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of Section 20 of the Theft Act 1968 or Section 19 of the Theft Act (Northern Ireland) 1969;</p> <p>(viii) fraud within the meaning of Section 2, 3 or 4 of the Fraud Act 2006; or</p> <p>(ix) making, adapting, supplying or offering to supply articles for use in frauds within the meaning of Section 7 of the Fraud Act 2006;</p>	
<b>3.6</b>	Money laundering within the meaning of Section 340(11) of the Proceeds of Crime Act 2002;	
<b>3.7</b>	An offence in connection with the proceeds of criminal conduct within the meaning of Section 93A, 93B or 93C of the Criminal Justice Act 1988 or Article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996; or	
<b>3.8</b>	An offence in connection with the proceeds of drug trafficking within the meaning of Section 49, 50 or 51 of the Drug Trafficking Act 1994; or	
<b>3.9</b>	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.	

## 4. Economic and Financial Standing - Regulation 24

Responses to Section 6.0 will be used to undertake an assessment of your organisation's economic and financial standing. You will be contacted by Ark Housing if this assessment identifies that a parent or other type of guarantee is required.

4.1	FINANCIAL INFORMATION	
	Please provide <b>one</b> of the following set out below:- <b>(please indicate which one by ticking the relevant box)</b>	
	<i>A copy of your audited accounts for the most recent two years</i>	
	<i>A statement of your turnover, profit &amp; loss account and cash flow for the most recent year of trading</i>	
	<i>A statement of your cash flow forecast for the current year and a bank letter outlining the current cash and credit position</i>	
	<i>Alternative means of demonstrating financial status if trading for less than a year</i>	



## 5.0 Technical and Professional Ability - Regulation 25

Responses to Section 7.0 will be used to undertake an assessment of your organisation's technical and professional ability to provide the goods/services.

Where the Potential Service Provider is a Special Purpose Vehicle and not intending to be the main provider of the goods or services, the information requested should be provided in respect of the principal intended provider of the services.

5.1	<b>EXPERIENCE AND CONTRACT EXAMPLES</b>			
	Please provide details of up to three current or completed (within the last 3 years) projects that are of similar nature, scale and complexity. The customer contact should be prepared to speak to Ark Housing to confirm the accuracy of the information provided below if we wish to contact them).			
		Contract 1	Contract 2	Contract 3
(a)	Name of Customer Organisation			
(b)	Customer Contact Name, Phone Number and Email			
(c)	Contract Start Date Contract Completion Date Contract Value			

(d)	Brief Description of Contract (Max 150 words including evidence as to your technical capability in this market)			
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If you cannot provide at least one example, please provide an explanation on a separate sheet. (100 words max)

## 6.0 Declaration & Signature

I declare that to the best of my knowledge the answers submitted in this PQQ are correct. I understand that the information will be used to assess my organisation's suitability to progress to tender stage I understand that Ark Housing may reject this PQQ if there is a failure to answer all relevant questions fully or if I provide false/misleading information.

I am signing on behalf of my organisation.

**PQQ COMPLETED BY:**

(a) Name:

(b) Position:

(c) Date:

(d) Signature:

## Appendix A PQQ Marking Scheme

Criteria	Information Requested	Scoring
Grounds for Mandatory Rejection	Regulation 23 of the Public Contracts Regulations 2006	Pass/Fail
Economic and Financial Standing	Regulation 24 of the Public Contracts Regulations 2006	If no attachments/evidence provided, score awarded = Fail
Previous Relevant Experience	Demonstrate through previous contract examples carried out within the last 2 years, relevant and substantial experience	If no attachment provided or if not completed = Fail If insufficient experience is demonstrated = Fail If sufficient experience demonstrated = Pass

Tendering companies that post any fails in the PQQ will **NOT** be considered for Stage 2 – Detailed Tender Response.