



Llywodraeth Cynulliad Cymru
Welsh Assembly Government

**COMMERCIAL ENERGY CERTIFICATE REGISTER &
ASSOCIATED SERVICES
(Procurement Reference: CPD004\078\026)**

**INVITATION TO SUBMIT OUTLINE PROPOSAL:
QUESTIONNAIRE**

FOREWORD

Definition

Reference to “the Authority” means the Department for Communities and Local Government, who will be the Contracting Authority for this project.

Purpose of this document

This Invitation to Submit Outline Proposal: Questionnaire ("Questionnaire") has been produced to enable the Authority to evaluate which organisations that have met the pre-qualification criteria should be taken through to the next stage of the procurement process.

Related documents

Instructions to suppliers: This gives a background to the project and instructions on the completion of this questionnaire.

Services Requirements Specification: This gives an outline of the service required.

Pre-Qualification Questionnaire Responses: These form the baseline for the selection of the 'long-list' of suppliers invited to submit Outline Proposals.

Financial Model the Authority requires the Suppliers to provide a populated financial model as a precondition to contract negotiations.

Draft Contract: The Authority requires potential suppliers to comment upon or mark up the draft contract as a precondition to contract negotiations. Full instructions are set out in the ***Instructions to Suppliers*** document.

All these documents may have one or more Annexes. These will be listed in the Table of Contents at the front of each document.

ISOP: Questionnaire	Page 2 of 24
Requests for quotation - template	Version 1.0 17 August 2007

QUESTIONNAIRE

1 ORGANISATION IDENTITY

This is a repeat of the information requested in the PQQ. Please restate and confirm these details or highlight any changes in bold font.

1.1 Name of the company (Prime or single contractor) in whose name the tender would be submitted	
1.2 Contact name:	
1.3 Address:	
1.4 Telephone number:	
1.5 Facsimile number:	
1.6 E-mail address:	
1.7 Company Registration number:	
1.8 Date of Registration:	
1.9 Registered address if different from the above:	
1.10 VAT Registration number:	
1.11 Website address (if any)	

2. PRIME CONTRACTOR

This is a repeat of the information requested in the PQQ. Please restate and confirm these details or highlight any changes in bold font.

2.1 Please tick the box below which applies		
a) Your organisation is bidding to provide the services required		
b) Your organisation is bidding in the role of Prime Contractor and intends to use third parties to provide specific elements of the services		
2.2 If your answer to 3.1 is (b) please identify intended subcontractors/ partners for the bid (if currently known) below:		
Organisation name	Organisation address and contact details	Service provision responsibility
2.3 Please give a brief outline on your policy regarding the use of sub-contractors and, if applicable, the extent to which you might envisage using them for this requirement.		

3. BUSINESS CAPABILITY

3.1	<p>Please provide a description of your proposed business model (with diagrams) clearly stating how it is intended the various elements will interact and an outline plan covering all resourcing required for:</p> <ul style="list-style-type: none">(a) preparation and planning,(b) design, delivery, testing and implementation of the proposed system solution(c) business as usual(d) exit plan <p>Please also state any assumptions made, risks identified and proposed mitigating measures.</p>
------------	--

4 MANAGEMENT SUMMARY

4.1	<p>Please provide a statement (maximum of six A4 pages of not less than 11pt font) to include, but not be limited to the following items:</p> <ul style="list-style-type: none">a) An overview of your approach for the work described in this ISOPb) Why you believe your organisation is best placed to deliver those services to the Authority.	
------------	---	--

5 PROGRAMME INFORMATION AND PLANS

5.1	Implementation and testing will take place according to a timetable with contractually binding milestones agreed by both parties. Failure to meet these milestones may lead to payment of liquidated damages and, eventually, could lead to termination.	<p>Please provide a draft Implementation Plan identifying appropriate milestones.</p> <p>Please provide a draft Testing programme to support the Implementation Plan.</p> <p>In the separate Financial Proposal please state what amounts would be payable and under what circumstances.</p>
5.2	Please attach an outline Exit Plan. Please list the assumptions made and issues for discussion.	
5.3	Value added services and continuous improvement. The Authority would like to understand whether you propose to offer other specific improvements during the term of the contract. These could include improving Service Level Agreements, committing to deliver specific savings on top of the pricing that you will be submitting or passing on efficiency savings.	Please describe such value adding services if any you would propose if you are selected. Please give details of the services they would apply to.
5.4	Please confirm the 3 customer references that have used or are using your main products/services and who will be available for discussions with the Authority team and possible site visits. The Authority will select 2 of these organisations to meet with. You must be able to demonstrate your experience in providing and implementing a comparable solution together with a case study(s) and suitable customer reference(s) for that piece of work. We would like to talk to these customer references after submission of your responses. Where you suggest delivering the services via a Related Organisation, we would like to talk to customers using the same Related Organisation. Representatives from the Authority may need to visit reference sites to evaluate the Supplier's capabilities.	

5.5	Specify your project delivery team including those members of staff who will have key operational roles once the service 'goes live'.	
5.6	Please provide an example of a relevant business continuity strategy, and up to 3 examples of detailed related procedures.	
5.7	Please attach a diagram outlining your proposed internal change control process. Please provide an example of these procedures.	
5.8	Please indicate the location where data will be held. Please also describe the procedure(s) you will use to ensure data is secure at all times.	
5.9	Please provide a proposal on quality arrangements that would be used on this project.	

6

PERSONNEL

6.1	Please highlight the future career opportunities, training and development that would be made available to staff working on the register.	
6.2	What is your approach to performance management and appraisal?	
6.3	What is your approach to training and development? Please provide figures relating to spend per employee (if applicable) and detail any external accreditation you have achieved	
6.4	What methods of training and development do you utilise within your organisation?	
6.5	Please provide details of your equal opportunities policies, procedures and practices in relation to your staff and customers.	
6.6	What policies do you operate in relation to disability, age, religious belief, race, gender, sexual orientation and family issues?	
6.7	<p>What induction programme will you provide for staff?</p> <p>What methods of induction do you use?</p> <p>How will you align and integrate staff into your organisation and culture?</p> <p>How would you describe your organisation's culture and how do you measure this?</p>	Please provide a summary with supporting evidence covering all questions opposite.
6.8	What specific measures do you intend to use to recruit and retain staff?	Please provide a summary covering all questions opposite.
6.9	What do you consider the major HR issues during implementation and how would you address these issues?	
6.10	How would you manage staffing issues during implementation? Please cover training and communications approaches, timescales (key milestones and generic plan), resource profile and dependencies.	

7 AUDIT

7.1	Describe your proposed internal audit and management review procedures to minimise the scope for fraud.	
7.2	<p>By submitting your proposals you agree that the Authority and the National Audit Office shall be entitled to access the scheme records whenever they deem necessary.</p> <p>Provide details of any way in which you could facilitate this access</p>	

8 ECONOMIC and FINANCIAL CAPACITY

If identical information has been provided in your pre qualification submission, it only needs to be confirmed here that there are no changes.

The following financial information is required to be provided.		
(a) A copy of the most recent audited accounts for your organisation that cover the last two years of trading or for the period that is available if trading for less than two years.		
(b) A statement of the organisation's turnover, Profit & Loss and cash flow position for the most recent full year of trading (or part year if full year not applicable) and an end period balance sheet, where this information is not available in an audited form at (a).		
(c) Where (b) cannot be provided, a statement of the organisation's cash flow forecast for the current year and a bank letter outlining the current cash and credit facility position.		
(d) If the organisation is a subsidiary of a group, (a) to (c) are required for both the subsidiary and the ultimate parent. Where a consortium or association is proposed, the information is requested for each member company.		
(e) A separate statement of the organisation's turnover that relates directly to the supply of this service for the past two years, or for the period the organisation has been trading (if less than two years).		
(f) Parent company and/or other guarantees of performance and financial standing may be required if considered appropriate. Confirmation of the organisation's willingness to arrange for a guarantee or a performance bond		
(g) The name and address of your banker		
(h) Please provide details of your organisation's insurance protection in respect of professional indemnity cover		
Policy	Insurer`	Indemnity Value (£)

9.0 FINANCIAL PROPOSAL

9.1	<p>In a SEPARATE spreadsheet (together with all other information with actual monetary £ values) please provide a financial proposal and cash flow models for:</p> <ul style="list-style-type: none">(a) preparation and planning,(b) design, delivery, testing and implementation of the proposed system solution(c) business as usual(d) exit plan <p>You should also include your key cost drivers and indicative costings stating any assumptions made, risks identified and proposed mitigating measures. This should be based on a flat rate for the duration of the contract to enable comparison however alternative proposals will be considered.</p>
9.2	<p>Comment on the need for a working capital facility and the proposed source of such a facility, if required. Where possible, provide bank letters indicating that the anticipated working capital facility can be arranged.</p>
9.3	<p>To protect service operability, the Authority may require that an on-demand performance bond to the value of £500,000 be lodged by the Prime Contractor and/or one or more of its Relevant Organisations as a precondition to detailed Contract negotiation and final offer stage. This will be issued by a bank or bond issuer and on terms which are acceptable to DCLG.</p> <p>Please state whether you are agreeable to providing such a bond. If not, please provide reason why and proposed alternative approach(es):</p>

10 SERVICES REQUIREMENTS

This response grid is based on Part B – Functional Requirements (Section 5) of the Commercial Energy Certificate Register Services Requirements Specification (SRS).

10.1

Requirement Definition/Summary	Request Unique Property Reference Number Please refer to SRS section 5, requirement R01: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
Please provide an outline design of solution covering the business processes and technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.	

10.2

Requirement Definition/Summary	Submit and Lodge Energy Documents & Model Data Please refer to SRS section 5, requirement R02: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

10.3

Requirement Definition/Summary	Change in status of Energy Documents and Model Data Please refer to SRS section 5, requirement R03: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

10.4

Requirement Definition/Summary	Retrieve and view Energy Documents & Model Data Please refer to SRS section 5, requirement R04: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

10.5

Requirement Definition/Summary	Lookup of Energy Assessor Please refer to SRS section 5, requirement R05: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

10.6

Requirement Definition/Summary	Update Energy Assessor Index Please refer to SRS section 5, requirement R06: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

10.7

Requirement Definition/Summary	Reporting / Data Extract (Non-Subscription) Please refer to SRS section 5, requirement R08: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

10.8

Requirement Definition/Summary	Transitional CECR Please refer to SRS section 5, requirement R07: <ul style="list-style-type: none">• Requirement Outline• Non-Functional Requirements
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

11 OPERATIONAL REQUIREMENTS

This response grid is based on Part B – Non-Functional Requirements (Section 6) of the Commercial Energy Certificate Register Services Requirements Specification (SRS).

11.1

Requirement Definition/Summary	Non-Functional Requirements Please refer to SRS section 6: N01 – Integrity N02 – Data Consistency N03 – Usability N04 – Transactional Volumes N05 – Backup & Recovery N06 – Disaster Recovery and Business Continuity N07 – Archiving N08 – Security N09 – Availability N10 – Scalability N11 – Extensibility N12 – Data Protection N13 – IT Governance N14 – Change Management N15 – Test Environment N16 – Network N17 – Multi Language N18 - Technologies
<p>For each Non-Functional Requirement please provide an outline design of solution covering the processes, technical designs required to implement the requirements. Please also state any assumptions made, risks identified and proposed mitigating measures. It is expected that documentation for existing processes and procedures may be submitted to meet these requirements with relevant cross-referencing from requirements to solution.</p>	

12 OTHER RESPONSIBILITIES

This response grid is based on Part B – Constraints (Section 7) of the Commercial Energy Certificate Register Services Requirements Specification (SRS).

12.1

Requirement Definition/Summary	Please refer to SRS section 7: C01 – Delivery C02 – Messaging
<p>Please provide where applicable an outline design of solution covering the business processes, technical architecture required to meet the constraints. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

13 POTENTIAL FUTURE REQUIREMENTS

This response grid is based on Part B – Additions and variations to Core Requirements (Section 8) of the Commercial Energy Certificate Register Services Requirements Specification (SRS).

13.1

Requirement Definition/Summary	Please refer to SRS section 8: P01 – Data Extract P02 – Bulk Data Extract P03 – Central Information Point
<p>Please provide an outline design of solution covering the business processes, technical architecture required. Please also state any assumptions made, risks identified and proposed mitigating measures.</p>	

WHEN YOU HAVE COMPLETED THE QUESTIONNAIRE, PLEASE READ AND SIGN THE SECTION BELOW.

I/WE CERTIFY THAT THE INFORMATION SUPPLIED IS ACCURATE TO THE BEST OF MY/OUR KNOWLEDGE AND THAT I/WE ACCEPT THE CONDITIONS AND UNDERTAKINGS REQUESTED IN THE QUESTIONNAIRE. I/WE UNDERSTAND THAT FALSE INFORMATION COULD RESULT IN THE EXCLUSION OF THE PRIME CONTRACTOR FROM FURTHER PARTICIPATION IN THE PROCUREMENT.

Signed:

Name:

Position1:

For and on behalf of:

Date:

This declaration must be signed by an authorised signatory, in his/her own name, and for and on behalf of the Relevant Organisation.