



Department  
for Transport

Rail Executive

Specialist Technical Advice for Rail  
(STAR) Framework

Pre-Qualification Process Document

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# Important Notice

This Specialist Technical Advice for Rail (STAR) Framework Contract Pre-Qualification Process Document (PPD) and the Pre-Qualification Questionnaire (PQQ) that it supports (together the "Document") is issued by the Authority pursuant to its functions and duties under the Railways Act 1993 as amended (the "Railways Act").

This Document forms part of a competitive procurement conducted in accordance with its general obligations under the Public Contracts Regulations 2006, and specifically in accordance with the Restricted Procedure (Regulation 16) and the requirements relating to Framework Agreements (Regulation 19).

The Authority expressly disclaims any and all liability (other than in respect of fraudulent misrepresentation) based on or relating to any such information or representations or warranties (express or implied) contained in or referred to, or errors or omissions from, this Document or based on or relating to the recipient's use of it, or the use of it by any of its affiliates or the respective representatives of any of them in the course of its or their evaluation of any Framework or any other decision. The information in this Document shall not form the basis of any Framework Agreement.

The only information which will have any legal effect and/or upon which any person may rely will be such information (if any) as has been specifically and expressly represented and/or warranted in writing to a successful Bidder in the relevant Framework Agreement.

This Document does not constitute an Invitation to Tender (ITT). In due course, the Authority expects to issue an ITT for the STAR Framework. An ITT will be issued to you only if you successfully qualify on the basis of the process set out in this Document.

Legal, technical and financial advisers will be acting for the Secretary of State in relation to the letting of this Framework Agreement and will not regard any other person as their client or be responsible to anyone other than the Secretary of State for providing the protections afforded to their client or for advising any other person on the contents of this Document or any matter referred to in it.

The Authority is not and shall not be liable for any costs incurred by those expressing an interest or tendering for this Framework Agreement. The Authority reserves the right not to award a contract, to make whatever changes it sees fit to the structure and timing of the procurement process, to cancel the process in its entirety at any stage.

In the interests of efficient public procurement, associated bodies of the Authority may wish to procure Work Packages to be undertaken for the Services covered by this Framework. In that event, Package Orders would be placed by those bodies and they would have the rights and the obligations assigned to them in the Framework, including full responsibility for any Package

Orders raised by them, and payment. Use of the Framework by the Employer's agencies will be managed by the Authority. Any such usage of this Framework will be by agreement between the parties, including the Authority. Any management returns or other information from the Contractor must report on the extent of usage by all parties other than the Authority.

# Terms and Definitions used in the PQQ and PPD

**“Applicant”** means the person or entity (or persons or entities) which has or have submitted, or will submit, a response to this PQQ.

**“Authority”** means the Department for Transport who is seeking to award a contract.

**“Bidder”** means a party or parties invited to respond to the ITT.

**“Category”** means one of the categories of Required Services as set out in Schedule 2 – Required Services

**“CJEU”** means the Court of Justice of the European Union.

**“Controller”** means any person or entity who has Control.

**“Consultant Position”** means a person who has significant experience in their specialist field who reports directly to a Senior Consultant and is responsible for the management of junior consultants and supporting staff. They must possess a minimum of 5-10 years of relevant work experience including experience working within major, complex and business critical projects. They must hold appropriate professional qualifications (or be able to evidence that they have equivalent working experience) applicable to the discipline commissioned to perform. They must have knowledge of the Public Sector and of current policy and political issues affecting it.

**“Director Position”** means a person who has extensive experience in their specialist field in which they are nationally or internationally renowned as an expert. They must possess a minimum of 15 years of relevant work experience including extensive experience of leading or directing major, complex and business critical projects in which they have brought genuine strategic insight. They must hold appropriate professional qualifications applicable to the discipline commissioned to perform. They must have in-depth knowledge of the Public Sector and of current policy and political issues affecting it.

**“EXPERT Grade”** means means an organisation that fulfils the compliance criteria set out in Schedule 1 for that Grade .

**“Framework Agreement”** means the framework contract and ancillary documents to be entered into between the Authority and the Supplier. Also referred to as “Framework”.

**“General Anti-Abuse Rule”** or **“GAAR”** means (a) the legislation in Part 5 of the Finance Act 2013; and (b) any future legislation introduced into parliament to counteract tax advantages arising from abusive arrangements to avoid national insurance contributions.

**“Grade”** means the bidding capacity of an organisation, being Prime Grade, Medium Grade or Expert Grade.

**“Invitation to Tender”** or **“ITT”** means the invitation to tender to be issued by the Department to shortlisted applicants following the pre-qualification process.

**“Junior Consultant Position”** means a person that reports to a Consultant and is responsible for the management of support staff. They must possess a minimum of 1-5 years of relevant work experience and be working towards attaining appropriate professional qualifications applicable to the discipline commissioned to perform. They must have knowledge of the Public Sector and of current policy and political issues affecting it.

**“Lead Supplier”** means for the purposes of responding to the relevant question(s) in the PQQ an Applicant who relies upon the capability and/or experience of a Sub-Supplier to provide the Required Services in accordance with the requirements of the PQQ

**“MEAT”** means The Most Economically Advantageous Tender.

**“MEDIUM Grade”** means an organisation that fulfils the compliance criteria set out in Schedule 1 for that Grade

**“OJEU Notice”** means the notice published in the Official Journal of the European Union for the purpose of advertising the tender process for the award of the STAR Framework.

**“PQQ Pack”** means the documents listed in section 3.3.

**“Pre-Qualification Process Document”** or **“PPD”** means this document that contains the supporting information for use with the PQQ.

**“Pre-Qualification Questionnaire”** or **“PQQ”** means the questionnaire for which this document provides supporting information.

**“PRIME Grade”** means an organisation that fulfils the compliance criteria set out in Schedule 1 for that Grade.

**“Required Services”** means the services to be provided under this framework as described in Schedule 2.

**“Senior Consultant Position”** means a person who has extensive experience in their specialist field who reports directly to a Director and is responsible for the management of all Grades of consultants and supporting staff. They must possess a minimum of 10 years of relevant work experience including extensive experience working at a senior level within major, complex and business critical projects in which they have brought genuine strategic insight. They must hold appropriate professional qualifications applicable to the discipline commissioned to perform. They must have significant knowledge of the Public Sector and of current policy and political issues affecting it.

**“SME”** means Small, Medium Enterprises that employ fewer than 250 persons and have an annual turnover not exceeding 50 million euro

**“SPV”** means Special Purpose Vehicle

**“STAR”** means the Specialist Technical Advice for Rail.

**“Sub-Supplier”** means a named entity that an Applicant relies upon in its PQQ Response to demonstrate its capability and/or experience to provide the Required Services in accordance with the requirements of the PQQ,

**“Supplier”** means the entity appointed by the Authority to enter into the Framework Agreement with the Authority to secure the provision of, specialist technical advice for rail services that will comprise the Framework.

**“Work Packages”** means an individual package of work which will be issued for quotation to one or more of the Suppliers in accordance with the quotation procedure under the Framework Contract.

# 1. Introduction

- 1.1. Welcome to this procurement and thank you for your initial interest in tendering for the provision of Specialist Technical Advice for Rail (STAR) Framework for the Department for Transport (Authority).
- 1.2. The Department for Transport's Rail Executive seek to procure the very best expertise available within the marketplace to offer specialist railway technical and commercial advisory services that support the DfT's rail contracting, major rail projects and other rail-related activities. We have developed this framework to support the delivery of the DfT's rail aims which will be structured to reflect the full range of advisory and specialist requirements that will be called upon from time to time in terms of specialist experience and professional expertise. We wish to develop depth and breadth in capability within our supply chain and to support that objective we have designed the framework so as to attract organisations of a variety of sizes, including small and medium enterprises.
- 1.3. The Authority is seeking applications from organisations including any national or international company, consortium or not for profit organisation, to establish a multi-supplier Framework Agreement for the provision of specialist railway - related advice, to be known as Specialist Technical Advice for Rail (STAR). The services are further described in Schedule 2 (Required Services).
- 1.4. The STAR Framework Agreement will meet the DfT's future need for a full range of commercial, technical and research specialist rail advice as set out in Schedule 2 - Required Services. This Framework Agreement will operate alongside the existing CCS ConsultancyOne framework and other procurement options for adhoc services that fall outside of the Required Services.
- 1.5. This PPD contains the information and instructions Applicants need to follow to express their interest in this Procurement by submitting a completed PQQ Response. Please read the information and instructions carefully as any non-compliance with the instructions may result in disqualification of the PQQ Response from this Procurement.
- 1.6. Please also read the Terms of Participation set out in Schedule 1 as they form part of the PQQ and they will apply throughout this Procurement. They set out further rights and obligations which apply to the Applicants and the Authority.
- 1.7. By completing and submitting the PQQ on the AWARD e-Sourcing Portal, the Applicant agrees to be bound by and to comply with the requirements and provisions of this PPD and the PQQ (including the Terms of Participation)..



1.8. The Authority is utilising the AWARD e-sourcing portal to manage this Procurement and to communicate with the Applicants. No hard copy documents will be issued and all communications with the Authority (including the submission of PQQ Responses) will be conducted via the AWARD e-Sourcing Portal. To ensure all communications relating to this Procurement are received the Applicant must ensure that the point of contact it nominates in the AWARD e-Sourcing Portal is accurate at all times as the Authority will not be under any obligation to contact any other point of contact.

1.9. This PPD:

- provides background information and details of the STAR Framework
- outlines the terms of participation
- describes the process for pre-qualification for receipt of an ITT  
confirms the evaluation criteria and selection process.

# Supporting the SME Agenda

The DfT Rail Executive is committed to not only meeting Cabinet Office's SME agenda target of 25% of Government's spend going to SMEs by 2015, but significantly improving upon this by setting our objective target at 40%.

PQQ Applicants should note that support of this objective is a core requirement that will be tested throughout the procurement competition and applied in future STAR Framework post-award work package competitions. PRIME Grade Suppliers will be expected to ensure that at least 25% of any future work package services are carried out by SMEs where the work package competition is limited to PRIME Grade Suppliers only.

PRIME Grade Bidders will be required to provide the following information as part of their response to the ITT:

- Details of any SME organisations that are included as Sub-Suppliers within their response to the PQQ and ITT.
- Details of how Bidders will meet the DfT's objective of ensuring that SMEs will undertake at least 25% of future work package services where the work package competition is limited to PRIME Grade Suppliers only.
- Details of how Bidders will provide open book access to accounts that substantiate work package commitments made in respect of the use of SMEs in the delivery of future work package services.
- Details of the circumstances in which Bidders will augment their teams using resources drawn from the STAR Framework community where they are unable to satisfy all requirements requested in future work packages.

## 2. Requirements and Framework Structure

- 2.1. The STAR Framework comprises five specialist **Categories**.
- 2.2. An outline description of the services that Applicants will be required to provide for the each of the Categories is set out in Schedule 2 (Required Services) of this PPD. This is a general description of the services and is provided to inform the Applicant’s decision whether to participate in this Procurement. The Authority may add further detail and obligations to the Required Services for the purposes of the Framework Agreement issued with the ITT.
- 2.3. The Required Services covered by this procurement have been categorised as shown below:

STAR Framework				
<b>Category A</b> Rail Strategy, Transport Integration and Planning Advice	<b>Category B</b> Rail Operations and Performance Advice	<b>Category C</b> Economic and Revenue Forecasting for a Sustainable Railway	<b>Category D</b> Railway Infrastructure, Rolling Stock and Asset Advice	<b>Category E</b> Project and Programme Management

- 2.4. The purpose of the categories is to provide a basis for the identification of areas of expertise which have been demonstrated by the suppliers on the Framework. They do not constitute lots and further-competitions to award Work Packages may be carried out across two or more categories where appropriate.
- 2.5. In the interests of achieving best value for the Framework, and supporting the SME agenda (as set out above), the authority will appoint organisations of different **Grades** (Prime, Medium and Expert). This will make available to the Authority, through the Framework, organisations of varying capacity and breadth of expertise as follows.

PRIME GRADE	MEDIUM GRADE	EXPERT GRADE
Is able to provide a team of 40 personnel at any one time to meet all the stated requirements for all of the Categories (as stated in Schedule 2 – Required Services).	Is able to provide a team of 10 personnel at any one time to meet all the stated requirements for up to two Categories (as stated in Schedule 2 – Required Services).	Is able to provide at least one person to meet most, if not all of the requirements of up to two Categories (as stated in Schedule 2 – Required Services) and thereby provide isolated specialist advice.

- 2.6. More detailed compliance requirements for each Grade are set out in Schedule 1 – Terms of Participation of this PDD.
- 2.7. Each Applicant may apply to be accepted on the Framework at only one of the three grades, although applicants for Prime Grade may elect to be considered at Medium Grade if they are not successful at either PQQ or ITT stage.
- 2.8. Details of the potential value of Work Packages placed under the Framework Agreement are set out in the OJEU Contract Notice.

## 3. Framework Award Process

3.1. The Authority will award a contract on the grounds of the The Most Economically Advantageous Tender (otherwise referred to as MEAT) in accordance with the 2004/18/EC Public Contracts Directive.

3.2. The Framework Agreement award process consists of two distinct stages, pre-qualification and invitation to tender.

### 3.3. Pre-Qualification

The pre-qualification stage is used to create a shortlist of Applicants who will receive an ITT. The PQQ response submitted by each Applicant will be scored in accordance with the evaluation process set out in section 5.

Subject to there being sufficient Applicants that are not otherwise excluded, the Authority intends to invite bids from a maximum of 10 Applicants made up of:

- the top 8 ranked Applicants per Category at each Grade; and
- any other Applicant within 5 percentage points of the eighth ranked Applicant, (or, if there are more than two, the two highest scoring such Applicants).

### 3.4. PQQ Pack

The suite of documents that forms the “PQQ Pack” is available via the AWARD e-Sourcing portal to Applicants that have expressed interest to the Authority. The PQQ Pack comprises the following documents:

- this Pre-Qualification Process Document (PPD) ; and
- the Pre-Qualification Questionnaire (PQQ) in the required format for completion and submission.

Responses to the PQQ will enable the Authority to assess the Applicants' experience and ability to deliver (or secure the delivery of) one or more categories of Required Services. This includes assessing:

- grounds for mandatory and discretionary rejection,
- the economic and financial standing of the Applicants, and
- the Applicant's capability, competence and experience.

It is anticipated that Applicants will be informed by March 2015 whether or not they have qualified to receive an ITT.

### 3.5. PQQ Debrief

Applicants will be notified of the outcome of the pre-qualification process in writing, outlining the reasons for acceptance or rejection of their application.

### 3.6. Invitation to Tender

The ITT will be available via the AWARD e-Sourcing portal and it is anticipated that Bidders will be given at least 30 calendar days to submit their bids.

### 3.7. Award of the Framework

The Framework will be awarded to the Suppliers which present the Most Economically Advantageous Tender (otherwise referred to as MEAT) in terms of the criteria specified in the ITT.

Upon receipt and evaluation of the bids at ITT stage, it is anticipated that Framework Agreements will be awarded to Suppliers as set out in the table below.

Categories	DESCRIPTION	EXPECTED NO. OF BIDDERS TO ITT	MAXIMUM NO. OF FRAMEWORK SUPPLIERS		
			PRIME GRADE	MEDIUM GRADE	EXPERT GRADE
Category A	Rail Strategy, Transport Integration and Planning Advice	8 PRIME GRADE 8 MEDIUM GRADE 8 EXPERT GRADE*	6	6	6
Category B	Rail Operations and Performance Advice	8 PRIME GRADE 8 MEDIUM GRADE 8 EXPERT GRADE*	6	6	6
Category C	Economic and Revenue Forecasting for a Sustainable Railway	8 PRIME GRADE 8 MEDIUM GRADE 8 EXPERT GRADE*	6	6	6
Category D	Railway Infrastructure, Rolling Stock and Asset Advice	8 PRIME GRADE 8 MEDIUM GRADE 8 EXPERT GRADE*	6	6	6
Category E	Project and Programme Management Advice	8 PRIME GRADE 8 MEDIUM GRADE 8 EXPERT GRADE*	6	6	6

\* The maximum number of bidders at each Grade in each category will be 10 (see paragraph 2.3 above)

### 3.8. Timescales

The timetable for this Procurement is set out in the table below.

This timetable may be changed by the Authority at any time. Changes to any of the dates will be made in accordance with procurement law (where applicable). Applicants will be informed through the AWARD e-Sourcing Portal if the Authority decides that changes to this timetable are necessary.

STAGE	ACTIVITY	DATE
<b>Pre- Qualification</b>	Publication of the OJEU Contract Notice	17 <sup>th</sup> December 2014
	PQQ available to all Applicants	17 <sup>th</sup> December 2014
	Clarification period starts	17 <sup>th</sup> December 2014 12:00.00 GMT
	During the period between 24 <sup>th</sup> December 2014 to 4 <sup>th</sup> January 2015 inclusive the Authority will not respond to any CQ's received during the Christmas period.	
	Clarification period closes (" <b>PQQ Clarifications Deadline</b> ")	16 <sup>th</sup> January 2015 12:00.00 GMT
	Deadline for the publication of responses to PQQ Clarification questions	21 <sup>st</sup> January 2015 12:00.00 GMT
	Deadline for submission of PQQ Responses to the Authority (" <b>PQQ Response Submission Deadline</b> ")	30 <sup>th</sup> January 2015 12:00.00 GMT
	Completion of PQQ Response evaluation process	2 <sup>nd</sup> March 2015
	Issue results of PQQ Response evaluation to Applicants	20 <sup>th</sup> March 2015
<b>Preparation of Bids</b>	Release Invitation to Tender to shortlisted Bidders	23 <sup>rd</sup> March 2015
	Deadline for returning Tenders	20 <sup>th</sup> April 2015 12:00.00 GMT
	Intention to award notification issued to successful and unsuccessful Bidders	W/C 15 <sup>th</sup> June 2015
	Planned date for appointment of Suppliers(s) to Frameworks(s)	W/C 22 <sup>nd</sup> June 2015

<b>Mobilisation</b>	Expected “Commencement Date” for Framework Agreement(s)	W/C 29 <sup>th</sup> June 2015
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### 3.9. Changes to Information Provided

Applicants are required to inform the Authority immediately if any event occurs that materially changes or impacts upon the information provided in response to the PQQ. Failure to do so may result in the Applicant’s bid being rejected at this or any future stage when the changes become apparent.

### 3.10. Clarification Questions

During the PQQ response period the following Clarification Question (CQ) process will be in place, allowing Applicants to clarify what is required at each stage:

- a) Each Applicant should select one person for the co-ordination of its CQ process.
- b) CQs must only be submitted via the secure messaging feature in the AWARD e-Sourcing portal prior to the CQ deadline (see the procurement timetable in paragraph 3.8) using the subject heading provided and where possible referencing the specific paragraph or section of the PQQ to which the CQ relates. Only one question may be submitted per CQ. The Authority reserves the right to reject a CQ containing multiple questions.
- c) In general CQs, and the responses to CQs, will be shared with all other Applicants, which have received a copy of the PQQ Pack via the AWARD e-Sourcing portal. However, where an Applicant indicates that a CQ, or its response, should not be shared with all other Applicants (with supporting reasoning) and the Authority agrees in its absolute discretion, the Authority will treat the CQ as confidential and will respond only to the Applicant who submitted the CQ. Conversely if the Authority considers that the CQ, and the response to the CQ, can be shared with all other Applicants, it shall notify the relevant Applicant that the CQ will not be progressed and will be closed. In that case, the Applicant may (i) revise the question and its reasoning as to why the CQ and the response to the CQ should not be shared with all other Applicants – which the Authority will consider; (ii) revise the CQ and submit it as a CQ which can, along with the response, be shared with all other Applicants; or (iii) decide not to pursue a CQ on the topic.
- d) Any CQ that the Authority receives and subsequently issues to other Applicants will not identify the originator of the CQ.
- e) The Authority will use reasonable endeavours to respond to CQs within three working days, which may be extended by the



Authority where the Authority considers it appropriate and reasonable to do so.

- f) The Authority reserves the right to reject a CQ where to respond to the CQ would involve prejudging the Authority's evaluation of any Applicant's PQQ submission.
- g) All responses to Applicants questions will be published by the Authority in a "Questions and Answers" document, which will be available in the "Attachments" section of the AWARD e-Sourcing Portal.
- h) Applicants are responsible for monitoring the AWARD e-Sourcing Portal and the 'Questions and Answers' document in particular, for any responses to questions, general clarifications or other information issued by the Authority. Answers to such questions may contain important information that may affect how Applicants complete their PQQ Response.

### 3.12. Transparency and Freedom of Information

All Central Government Departments are subject to control and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a cross-Government role delivering overall Government policy on public procurement - including ensuring value for money and related aspects of good procurement practice. For this purpose, the Authority may disclose within Government any of the Applicant's documentation/information (including any that the Applicant considers to be confidential and/or commercially sensitive such as specific bid information) submitted to the Authority during this Framework procurement process. The information will not be disclosed outside of Government. Government Departments may share bid and contract information for the purposes of good procurement practice and value for money. Applicants taking part in this procurement competition consent to these terms as part of the framework procurement process.

The Freedom of Information Act 2000 (the "FOIA") provides a general right of access to all information held by public authorities. The Authority is a public authority to which the FOIA applies. The general right of access to information is then limited by a number of exemptions. When someone requests information under FOIA, the authority must normally release that information unless one of the exemptions in the FOIA applies. This is also the case if the data is environmental information covered by the Environmental Information Regulations 2004 ("EIR").

In submitting a response to this PQQ, Applicants are invited to identify which parts, if any, of their response are provided to the Authority in confidence or are commercially sensitive, such that they may be exempt from disclosure under FOIA and/or EIR. Applicants should provide reasons why such information should not be disclosed in response to any

request and an estimate of the period of time during which the Applicants believe that such information will remain exempt from disclosure.

Applicants should note that, even where information is identified as commercially sensitive or confidential, the Authority may be required to disclose such information in accordance with the FOIA and/or EIR. The Authority is required to form an independent judgment concerning whether the information is exempt from disclosure under the FOIA and/or EIR at the time of request. In particular Applicants should be aware of the Code of Practice issued by the Secretary of State for Constitutional Affairs under section 45 of the FOIA: which limits the circumstances under which a public authority should agree to hold information in confidence. It could be the case, therefore, notwithstanding notification by Applicants that parts of a bid have been provided in confidence or are commercially sensitive, that the Authority will be obliged to disclose those parts.

Applicants should note that the Authority will place a copy of the PQQ Pack in the public domain at the same time as it is supplied to Applicants.

The Department complies with the central government transparency agenda programme, details of which can be found at <http://www.dft.gov.uk/publications/dft-transport-sector-transparency-board> and Cabinet Office guidance on this <https://update.cabinetoffice.gov.uk/resource-library/guidance-transparency> in relation to procurement and contracts.

## 4. Contracting Arrangements (Sub-Suppliers and Consortia)

- 4.1. It is important that the PQQ Response is completed accurately to enable the Authority to establish a full understanding of the technical and professional capability and experience of its resources.
- 4.2. The PQQ Response must be completed in the name of the Supplier (typically an individual, a company or a similar legal entity) that will ultimately enter into a Framework Agreement with the Authority and therefore assumes liability for performance of the Framework Agreement (the “Applicant”).
- 4.3. With the exception of Sub-Suppliers identified in the PQQ Response (and subject to paragraph 4.6), no organisation other than the Applicant will be able to provide Required Services through the Framework Agreement, whether group company, subsidiary, parent company, holding company, associated company, strategic partner or organisation in any other relationship whatsoever. For the avoidance of doubt, the use of any kind of group companies associated with the Applicant can be only as Sub-Suppliers identified in the PQQ Response.
- 4.4. When responding to the Authority’s questions in the PQQ, the Applicant should give examples of its own experience and capability to demonstrate its ability to provide the Required Services in accordance with the requirements of the PQQ.
- 4.5. The Authority is happy to receive PQQ Responses from economic operators collaborating as a consortium or subcontracting elements of its obligations. Where one of these approaches is adopted the following guidance set out in this paragraph must be followed.
- 4.6. Sub-Supplier proposals

If an Applicant needs to rely on the capability and/or experience of one or more Sub-Suppliers in its PQQ Response to demonstrate the Applicant’s ability to provide the Required Services in accordance with the requirements of the PQQ, it must inform the Authority in its PQQ Response. An Applicant using this approach should indicate that it is the ‘Lead Supplier’ for the purposes of responding to the relevant question(s) in the PQQ.

In response to any question, an Applicant’s PQQ Response must clearly:

- identify when it is relying on a Sub-Supplier;
- name the particular Sub-Supplier; and
- explain the Sub-Supplier’s capability and experience as the context of the question requires.

The Authority does not require all sub-contractors to be disclosed. It only requires an Applicant to disclose those Sub-Suppliers who directly contribute to the Applicant's ability to meet its obligations under the Framework Agreement. There is no need to specify those sub-contractors providing general services to the Applicant (such as lawyers, administration staff etc.) that indirectly enable the Applicant to perform the Framework Agreement.

In line with the STAR Framework principles prospective bidders should note that Sub-Suppliers named in the PQQ response and included within Table 1 of the PQQ (Supplier Grade Selection) as part of a PRIME Grade or MEDIUM Grade Applicant will not be allowed to bid in their own right within MEDIUM Grade or EXPERT Grade.

#### 4.7. Consortium proposals

If a group of economic operators wish to act jointly to provide the Required Services they may do so:

- with all parties signing the resultant Framework Agreement and assuming joint and several responsibility for performance of the Framework Agreement including anyWork package that is awarded to them. Please note that in accordance with regulation 28 of the Public Contracts Regulations 2006 the Authority may require the consortium to form a single legal entity for the purpose of concluding the Framework Agreement; or
- using a separate entity (often referred to as a special purpose vehicle or "SPV") who will ultimately enter into a Framework Agreement with the Authority. Please note that if the SPV does not yet exist or has a limited trading history it is likely that the consortium members will need to nominate a guarantor for the SPV's performance of the Framework Agreement.

4.8. The consortium should nominate one of its members to lead the bidding process who will provide one PQQ Response on its behalf. If the SPV exists, then the SPV should lead and complete the PQQ Response in its name. If the SPV does not yet exist or the consortium plans to collaborate on a joint and several basis, then it should nominate a lead consortium member. The lead member will be treated as the "Applicant" by the Authority for the purposes of this PQQ and to communicate with the consortium.

4.9. Where the Applicant relies on the capability and/or experience of one or more consortium members in its PQQ response to demonstrate the consortium's ability to provide the Required Services in accordance with the requirements of the PQQ it must inform the Authority in its PQQ Response.

4.10. An Applicant's PQQ Response must clearly identify in response to any question, when it is relying on another consortium member, the name of the particular consortium member and explain the consortium member's capability and experience as the context of the question requires.

4.11. In response to any question, an Applicant's PQQ Response must clearly:

- identify when it is relying on a particular consortium member or group of members;
- name the consortium member(s); and
- explain the consortium member's capability and experience as the context of the question requires.

#### 4.12. Queries

It is difficult for these instructions to deal with all potential consortium and sub-consulting scenarios. If an Applicant is unsure how to classify and communicate its contracting arrangements in its PQQ Response, then it should contact the Authority at the earliest opportunity in accordance with paragraph 3.11 (Clarification Questions).

#### 4.13. Changes to the contracting arrangements

The Authority recognises that arrangements in relation to consortia and sub-consulting may be subject to occasional change. Applicants should therefore respond in the light of such arrangements as are currently envisaged. Applicants must notify the Authority immediately if there are changes to the consortium membership and sub-consulting arrangements. The Authority will make a further assessment of the PQQ Response by applying the selection criteria and/or award criteria to the new information provided.

4.14. The Authority reserves the right to approve or reject such changes or proposed changes or to impose such conditions as it considers appropriate in order for the Applicant to continue to participate in the competition. The Authority further reserves the right to exclude an Applicant from further participation in the competition where the Authority rejects any such changes.

#### 4.15. Declaration and Authorisations

The Authority requires each Sub-Supplier and/or consortium member named in the PQQ Response to complete a Declaration and Authorisations form. This provides the Authority with assurance that statements made by or in relation to the Sub-Suppliers and/or consortium members are accurate and that they have participated in this Procurement in accordance with the terms of the PQQ and Terms of Participation in Schedule 1.

# 5. Completing the Pre-Qualification Questionnaire

## 5.1 Registration

Applicants are required to register their expression of interest to receive a PQQ and gain access to the procurement event on the AWARD e-Sourcing portal by emailing [Star-framework@railexecutive.gsi.gov.uk](mailto:Star-framework@railexecutive.gsi.gov.uk).

## 5.2 Structure of the PQQ

The PQQ sets out the information, which is required by the Authority in order to assess the suitability of Applicants to receive an ITT in accordance with the evaluation criteria contained in section 6 of this document.

The PQQ comprises the following sections:

Part A – Organisational Information
Part B – Mandatory Grounds for Rejection
Part C – Discretionary Grounds for Rejection
Part D – Economic and Financial Standing
Part E – Technical and Professional Ability
Part F – Category Specific Questions
Declaration and Authorisations

## 5.3 Response Instructions

The following conditions shall apply to the submission of responses to the PQQ:

- a) Please answer every question and ensure that you complete the PQQ as requested. Failure to do so may result in your application being deemed non-compliant, with the result that you are excluded from further participation in the STAR Framework competition.
- b) Where a question cannot be answered fully, please provide a relevant explanation with reasons. If the question does not apply to you please write 'Not Applicable'.
- c) Where an Applicant has submitted supporting information in response to a question in the PQQ, the relevant response must refer to the supporting information. Similarly any supporting information required

for the PQQ response must indicate the part and question number of the PQQ to which it refers.

- d) Except where required under Part F, the responses to specific PQQ Parts must not include cross-references to other Parts. Any cross-referenced information may not be taken into account in the evaluation.
- e) All responses must be in English. This requirement does not apply to any requested information, which has not been created for the pre-qualification process (e.g. company financial reports), but a translation into English must be provided for any requested information submitted in a language other than English.
- f) All financial information supplied as part of the pre-qualification process must be clearly denominated in Pounds Sterling. This requirement does not apply to any requested information, which has not been created for the pre-qualification process (e.g. company financial reports), which should use the original currency. Where financial information is supplied as part of the pre-qualification process in a currency other than Pounds Sterling, and the Authority wishes to convert the relevant information into Pounds Sterling, it shall use the applicable exchange rate published in the Financial Times on the day before the OJEU Notice is published.
- g) If specific project financial information cannot be provided for reasons of confidentiality please state this.
- h) The response to the Technical and Professional Ability section (Part E) and Category Specific Questions (Part F) must not exceed the word count limit for each question set out in each section. Any material included in the submission beyond the required word or page count will not be considered.
- i) The Authority expects the information supplied in responses to the PQQ to be concise and unambiguous.
- j) The font size must be 11pt minimum, font type must be Arial standard (i.e. not 'narrow') and the line spacing must be 13pt minimum. Pages must be bordered on all sides by 2cm margins. Minimum font size for any text in tables must be 10 pt. It will not be acceptable to place large sections of text into tabulated format as a means of meeting the page limit requirements.
- k) The Authority reserves the right to clarify elements of PQQ responses with the Applicant by means of an Evaluation Clarification Question (ECQ). The Applicants will be required to respond to any ECQ within three working days, which may be extended by the Authority where the Authority considers it appropriate and reasonable to do so.

- l) Failure to comply with any of the conditions or requirements set out in the PQQ and this PPD may, at the Authority's discretion, result in the Applicant being excluded from the competition.
- m) The Authority expressly reserves the right to require an Applicant to provide additional information supplementing or clarifying any of the information provided in response to the PQQ.

#### 5.4 Uploading responses via the e-portal

The Applicant must download the electronic Word version of the PQQ from the AWARD e-Sourcing portal for completion. Preparation for uploading and submission must be carried out as follows:

- Parts A, B, C, D, E and F must be completed as separate documents and converted to individual searchable pdfs, each of which must then be uploaded via the portal.
- The Declarations and Authorisations section, which require authorising signatures, must be signed by hand (not electronically) and the document scanned to JPEG or pdf format, which must then be uploaded via the portal.

Applicants must upload a fully completed response together with the required supporting information using the AWARD e-Sourcing portal by 12.00am Greenwich Mean Time (GMT) on 30<sup>th</sup> January 2015. No documents or information other than the PQQ response and the required supporting information should be submitted. Only in exceptional circumstances will the Authority consider accepting a response beyond this deadline.

Potential Applicants who have considered the opportunity and opted not to submit a response are requested to provide an acknowledgement, and optionally provide reasons for deciding not to respond, to [star-framework@railexecutive.gsi.gov.uk](mailto:star-framework@railexecutive.gsi.gov.uk).



# 6. PQQ Evaluation Process

## 6.1 Objectives

The objectives of the PQQ evaluation process are:

- To evaluate PQQ responses in accordance with the criteria set out in this PPD;
- To provide a robust and objective means for ranking PQQ submissions; and
- To enable selection of the required number of Bidders to proceed to the ITT stage.

## 6.2 Evaluation Scoring and Marking Scheme

The table below provides an overview of the evaluation methodology that the Authority will apply to each section of the PQQ response.

Evaluation Criteria and Weightings			
Evaluation Section		Evaluation Score and Weighting	Evaluation Method
Part A	Organisation and Contact Details	Not Assessed	Information provided will be reviewed but will not be scored or assessed other than for completeness
Part B	Grounds for Mandatory Rejection	Pass / Fail	Information provided will be reviewed and assessed and a fail will automatically exclude the Applicants from further participation in the competition
Part C	Grounds for Discretionary Rejection	Discretionary Pass / Fail	Information provided will be reviewed and the Authority will apply the process set out at 6.3 Part C to determine whether the response is a pass or a fail. A fail will result in the Applicant being excluded from further participation in the competition
Part D	Economic and Financial Standing	Pass / Fail	Information provided will be reviewed and assessed and a fail will automatically exclude the Applicant from further

Evaluation Criteria and Weightings			
Evaluation Section		Evaluation Score and Weighting	Evaluation Method
			participation in the competition
Part E	Technical and Professional Ability	40% pass mark, all scores are 50% weighted	Information provided in response to each question will be reviewed and evaluated against the ratings in Table 1 below and assigned one of the corresponding scores as shown below (i.e. exact scores of 0, 20, 40, 60, 80 or 100 only can be assigned – intermediate scores are not permitted). Scores will be weighted using the question weightings below to give the total score for this part.
Part F	Category Specific Questions	40% pass mark in each Category, all scores are 50% weighted	Information provided in response to each question will be reviewed and evaluated against the ratings in Table 2 below and assigned one of the corresponding scores as shown below (i.e. exact scores of 0, 20, 40, 60, 80 or 100 only can be assigned – intermediate scores are not permitted). Scores will be weighted using the question weightings below to give the total score for this part.

In the event that an Applicant is marked 'fail' for any part of the Pass/Fail criteria the Applicant will not be considered any further in the selection process and marking of other parts of the response will cease.

Applicants are to note that the scoring methodology specifically relating to PRIME Grade, MEDIUM Grade and EXPERT Grade participants is set out in Part E and Part F of the PQQ, but for completeness is additionally set out below:

## Scoring methodology

### PART E

The overall scores for Part E will contribute a maximum of 50% weighting towards the Applicant's total score for PRIME Grade Participants.

The overall scores for Part E for MEDIUM Grade and EXPERT Grade participants will contribute a maximum of 50% weighting towards each Category that they have identified that they would wish to be considered for.

### PART F

Assessment of bids will be carried out in each individual Category ensuring that responses are scored against providers of like services. In the case of MEDIUM Grade and EXPERT Grade participants Part F Category scores will be individually marked and will contribute a maximum of 50% weighting towards the Applicant's total score for each Category they have identified that they wish to be considered for. Successful Applicants who are selected from the PQQ stage of this procurement will be advised which nominated Category(ies) they will be allowed to bid for in the ITT competition stage of this procurement.

In the case of PRIME Grade participants Part F Category scores will be individually marked and then averaged across all five Categories, the resultant average score will contribute a maximum of 50% weighting towards the Applicant's total score.

### Table 1 - Technical and professional ability marking scheme

Part E questions will be scored against the assessment criteria below. The marking characteristic will be used to assess the response to the question in full including the sub-text of the question.

Marks	Characteristics
100	Evidence submitted shows the ability to deliver, very strongly supported by relevant and transferable past experience and achievements
80	Evidence submitted shows the ability to deliver, supported by relevant and transferable past experience and achievements
60	Evidence submitted shows the ability to deliver in most areas, but the Authority has concerns in a few areas, about the relevance and transferability of past experience and achievements and/or about the approach described

<b>40</b>	Evidence submitted shows the ability to deliver in some areas, but the Authority has concerns in some areas, about the relevance and transferability of past experience and achievements and/or about the approach described
<b>20</b>	Evidence submitted shows the ability to deliver in a few areas, but the Authority has concerns in most areas, about the relevance and transferability of past experience and achievements and/or about the approach described
<b>0</b>	Evidence submitted does not show the ability to deliver

### **Table 2 – Category Specific Questions**

In relation to each Category questions will be scored against the assessment criteria below. The marking characteristic will be used to assess the response to the question in full including the sub-text of the question.

<b>Marks</b>	<b>Characteristics</b>
<b>100</b>	Evidence submitted shows the ability to deliver, very strongly supported by relevant and transferable past experience and achievements
<b>80</b>	Evidence submitted shows the ability to deliver, supported by relevant and transferable past experience and achievements
<b>60</b>	Evidence submitted shows the ability to deliver in most areas, but the Authority has concerns in a few areas, about the relevance and transferability of past experience and achievements and/or about the approach described
<b>40</b>	Evidence submitted shows the ability to deliver in some areas, but the Authority has concerns in some areas, about the relevance and transferability of past experience and achievements and/or about the approach described
<b>20</b>	Evidence submitted shows the ability to deliver in a few areas, but the Authority has concerns in most areas, about the relevance and transferability of past experience and achievements and/or about the approach described

<b>0</b>	Evidence submitted does not show the ability to deliver
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### 6.3 Evaluation Methodology – Stages, Criteria and Weightings

The Authority can exclude you in the event that you provide inaccurate information in responding to the PQQ, or in response to any other request for information by the Authority, or you fail to provide any such information.

General Compliance Check
The Authority checks whether the Applicant has submitted the required information for Parts A – F on time and the response is fully complete in accordance with the PQQ return checklist.
Part B – Grounds for Mandatory Rejection
<p>This section is scored pass/fail.</p> <p>If an Applicant has provided an unequivocal ‘no’ to all of the questions contained in B1 this will be marked as a ‘pass’.</p> <p>If an Applicant has failed to provide an unequivocal ‘no’ to any of the questions contained in B1 it will be automatically marked ‘fail’.</p> <p>Notwithstanding this, in any case where the Applicant (including, where the Applicant is a joint venture or consortium, any of the members of that joint venture or consortium), or any other person (including any director or partner) who has powers of representation or decision in relation to the Applicant (including, where the Applicant is a joint venture or consortium, any of the members of that joint venture or consortium) has been convicted of an offence set out in Part B of the PQQ.</p>

Part C Grounds for Discretionary Rejection
<p>This section is scored discretionary pass/fail.</p> <p>If an Applicant has provided an unequivocal ‘no’ to all of the questions in Part C1 and 2 this will be marked as a ‘pass’.</p> <p>If an Applicant has failed to provide an unequivocal ‘no’ to any of the questions in Part C it may still be evaluated as a ‘pass’ if the Applicant has provided supporting information which demonstrates to the satisfaction of the Authority that there are mitigating circumstances/actions which would mean that any such issues are unlikely to have a material effect on the Applicant’s ability and/or suitability to participate within the STAR Framework.</p>

## *Tax Compliance*

Both the GAAR and the “Halifax” abuse principle are, as their names indicate, aimed at abusive tax schemes. These are schemes which involve contrived or abnormal transactions which serve no purpose other than to achieve a tax saving. The tax saving is also one that is contrary to the intentions of Parliament in relation to the legislation. The Halifax abuse principle relates to a CJEU case involving Halifax. Broadly, the CJEU ruled that whilst the tax authority can’t consider the motives of taxpayers when considering whether or not a transaction is structured primarily to avoid tax, if there is no commercial substance to the relevant transaction(s), that will, prima facie, be abuse.

The Disclosure of Tax Avoidance Schemes (DOTAS) rules apply to transactions which contain certain “hallmarks” where one of the main aims is to achieve a tax saving. The aim of the DOTAS regime is to provide HMRC with information on new schemes as they arise and on the users of those schemes. By their nature, the DOTAS rules can capture transactions which, while partly motivated by a tax saving, may still be regarded as acceptable by HMRC. An OONC only arises when a DOTAS scheme is shown to have failed and this will typically cover a wider range of scenarios than the GAAR or “Halifax” abuse principle. “Shown to have failed” will generally mean that the taxpayer has accepted the arrangement does not achieve the tax saving anticipated and this may be shown by his amending the return; accepting a tax assessment; or failing in litigation and not appealing any further.

If the Applicant, or any of the other entities or individuals referred to in section C.2, is a Non-UK entity or individual, or has international tax obligations, please respond in relation to the equivalent foreign tax rules.

If any of the circumstances under C.2 of the PQQ apply to the Applicant, or any of the other entities or individuals referred to in section C.2, please provide details including mitigating factors where there has been an OONC. This may include:

- A brief description of the occasion, the tax to which it applied, and the type of “non-compliance” e.g. whether HMRC or the foreign tax authority has challenged pursuant to the GAAR, the “Halifax” abuse principle etc.
- Where the OONC relates to a DOTAS, the number of the relevant scheme.
- The date of the original “non-compliance” and the date of any judgement against the Applicant, or relevant entity or individual, or date when the return was amended.
- The level of any penalty or criminal conviction applied.

The Authority will have regard to Cabinet Office guidance when assessing whether mitigating factors are adequate and appropriate, and may take advice on such factors from the Cabinet Office and/or HMRC.

## Part D Financial and Economic Standing

### **Financial and credit rating tests**

- a) The information an Applicant submits in response to the Part D will be used to carry out an assessment of its economic and financial standing.
- b) The Authority require the Applicant to provide one of the following documents set out below:
- A copy of the Applicants audited accounts for the most recent two years
  - *A statement of your turnover, profit & loss account and cash flow for the most recent year of trading*
  - *A statement of the Applicants cash flow forecast for the current year and a bank letter outlining the current cash and credit position*
  - *Alternative means of demonstrating financial status if trading for less than a year*
- c) The Authority will use the information described above to assess whether the organisation's financial risk is average or better. This will be performed using the Authority's financial assessment template contained within the PPQ pack for information.
- d) If the Authority then determines (in accordance with paragraph (c)) that the financial risk is determined as being average or better, the Applicant will be allocated a 'pass'.
- e) If the Authority determines (in accordance with paragraph (c)) that the financial risk is determined as being above (i.e. worse than) average, then (subject to paragraph (f) below) the PQQ Response will be allocated a 'fail' and will be disqualified from further involvement in this Procurement.
- f) If the Authority carries out a financial risk assessment the organisation and its financial risk is determined as being above (i.e. worse than) average and the Applicant did not indicate in response to the Preliminary Questionnaire that a guarantee will be provided, the Authority may (in its sole discretion) request that the Applicant nominates a guarantor. If the Applicant nominates a guarantor the Authority will undertake the steps at paragraphs (b) to (g) above in respect of the guarantor; please note that the Authority will not carry out further financial risk assessment if the guarantor is also allocated a 'fail'.

## Part E – Technical and Professional Ability

Part E checks Applicants' technical ability and experience. Applicants will be scored using the marking scheme in Table 1 of section 6.2.

Applicants will be scored against the assessment criteria and weighting below using the marking scheme in Table 1 of Section 6.2:

E1. Core Business		
Question	Question Score	Section Weighting
E1.1	100	Unscored

E2. Experience and Contract Examples		
Question	Question Score	Section Weighting
E2.1	100	9%
E.2.2	100	3%

E3. Competence		
Question	Question Score	Section Weighting
E3.1	100	17%
E3.2	100	17%
E3.3	100	1%
E3.4	100	1%
E3.5	100	1%
E3.6	100	1%



## Part F – Category Specific Questions

Part F checks Applicants' technical ability and experience for Category specific requirements. Applicants will be scored using the marking scheme in Table 2 of Section 6.2.

Applicants will be scored against the assessment criteria and weighting below using the marking scheme in Table 2 of Section 6.2:

F1. Category A - Rail Strategy, Transport Integration and Planning Advice		
Question	Question Score	Section Weighting
F1.1	100	12%
F1.2	100	4%
F1.3	100	20%
F1.4	100	7%
F1.5	100	7%

F2. Category B - Rail Operations and Performance Advice		
Question	Question Score	Section Weighting
F2.1	100	12%
F2.2	100	4%
F2.3	100	20%
F2.4	100	7%
F2.5	100	7%

F3. Category C - Economic and Revenue Forecasting for a Sustainable Railway		
Question	Question Score	Section Weighting
F3.1	100	12%

F3.2	100	4%
F3.3	100	20%
F3.4	100	7%
F3.5	100	7%
F4. Category D - Railway Infrastructure, Rolling Stock and Asset Advice		
Question	Question Score	Section Weighting
F4.1	100	12%
F4.2	100	4%
F4.3	100	20%
F4.4	100	7%
F4.5	100	7%
F5. Category E - Project and Programme Management		
Question	Question Score	Section Weighting
F5.1	100	12%
F5.2	100	4%
F5.3	100	20%
F5.4	100	7%
F5.5	100	7%

### Ranking and Short-listing

Applicants that are not excluded from the STAR Framework competition will be ranked according to their scores for Parts E and F noting the Scoring Methodology set out in Parts E and F of the PQQ. The scores for Part E, weighted 50%, and Part F, weighted 50%, will be combined to give an Applicant's total score.

Subject to there being sufficient Applicants that are not otherwise excluded, the Authority intends to invite bids from the top eight ranked Applicants and

any other Applicant within 5 percentage points of the eighth ranked Applicant, up to a maximum of 10 Bidders.

**Validating PQQ Response and subsequent exclusion from Framework procurement process**

The Authority reserves the right to validate the Applicant's response to the PQQ at any time in the Framework procurement process, to confirm that the response has not materially changed. In particular, the Authority will repeat the tests set out in Part D during the ITT stage and contract award stage. If the Authority considers that the Applicant's response has materially changed, with the effect that the Applicant no longer pre-qualifies to participate in the ITT, the Authority may exclude the Applicant from further participation in the Framework procurement process.

# 7. Schedule 1 – Terms of Participation

7.1. Applicants will be required to satisfy themselves that they are able to meet the following minimum compliance requirements for participation in any one of the three designated Grades of PRIME GRADE, MEDIUM GRADE and EXPERT GRADE advisors. The compliance requirements for each Grade are set out below:

PRIME GRADE	MEDIUM GRADE	EXPERT GRADE
Is able to provide a team of 40 personnel at any one time to meet all the stated requirements for all of the Categories (as stated in Section 8 - Schedule 2 Required Services).	Is able to provide a team of 10 personnel at any one time to all the stated requirements for up to two Categories (as stated in Section 8 - Schedule 2 Required Services).	Is able to provide at least one person to meet the most, if not all of the requirements of up to two Categories (as stated in Section 8 - Schedule 2 Required Services) and thereby provide isolated specialist advice.
5 years Transport Experience 2 years Rail Specific experience	5 years Transport Experience 2 years Rail Specific experience	5 years Transport Experience 2 years Rail Specific experience
Minimum of £10m Professional Indemnity Insurance	Minimum of £5m Professional Indemnity Insurance	Minimum of £1m Professional Indemnity Insurance
Must have capability across all Categories of service with a minimum of 5 personnel per Category at Senior Consultant or above	Must have capability across no more than two Categories of service with a minimum of 5 personnel per Category Senior Consultant or above	Must have capability across no more than two Categories of service with a minimum of 1 resource per Category at Senior Consultant or above

## 7.2. PRIME Grade Participation

It is expected that participants in this Grade will provide sufficient supporting evidence that they could be called upon to provide most, if not all, resources required to deliver a lead technical advisory role for a

franchise, programme or project. In addition to the provision of end-to-end technical and commercial advisory services successful PRIME Grade participants may be considered for future mini-competitions for smaller packages of work and isolated expert advice.

PRIME Grade participants must be capable of providing stand-alone technical teams that include a full range of management, technical specialist and support resources that are able to fully and seamlessly integrate with the Department's client/ project team and adequately interface with key stakeholders.

In line with the STAR Framework principles prospective Applicants should note that Sub-Suppliers named in the PQQ response as part of a PRIME Grade Applicant will negate their ability to bid in their own right within MEDIUM Grades and EXPERT Grades.

The Authority currently proposes to select from the PQQ the eight highest scoring PRIME Grade Applicants for each Category for participation in the ITT phase of the Framework competition.

#### 7.2.1 Unsuccessful bids, further PQQ process participation

In their responses to the PQQ PRIME Grade, Applicants will be asked to identify whether they would wish to be considered for and if they chose to do so, then they should nominate a maximum of two specific Categories within the MEDIUM Grade that they would wish to be considered for in the event that they are not shortlisted for participation in the PRIME Grade at PQQ or ITT stages of the procurement process. For the avoidance of doubt such nominated Category bids will not be subject to any further evaluation, in all cases the relevant Category response scores generated from the original PQQ PRIME Grade bid will be used in the comparative ranking of all other PQQ MEDIUM Grade Applicants for that same Category.

Figure A graphically represents the further participation of unsuccessful bids at PQQ and ITT stages of the STAR Framework competition.

#### 7.2.2. ITT Process

The ITT will include a series of questions that build upon responses to the PQQ. These questions will seek Bidders proposals in relation to questions that include, but are not limited to, commercial and technical competency, capability and capacity, service provision and performance management, cultures and behaviours. In addition the ITT will seek further clarity around the pricing offering and will set out a series of pricing scenarios for a range of sample packaged offerings that Bidders will be required to complete for comparative analysis during evaluation.

#### 7.2.3. Unsuccessful bids, further ITT process participation

In their responses to the ITT PRIME Grade, Bidders will be asked to identify whether they would wish to be considered for and if they chose to

do so, then they should nominate a maximum of two specific Categories within the MEDIUM Grade that they would wish to be considered for should their PRIME Grade ITT bid be unsuccessful. For the avoidance of doubt such nominated Category bids will not be subject to any further evaluation, in all cases the relevant Category response scores generated from the original ITT PRIME Grade bid will be used in the comparative ranking of all other ITT MEDIUM Grade Bidders for that same Category.

Figure A graphically represents the further participation of unsuccessful bids at PQQ and ITT stages of the STAR Framework competition.

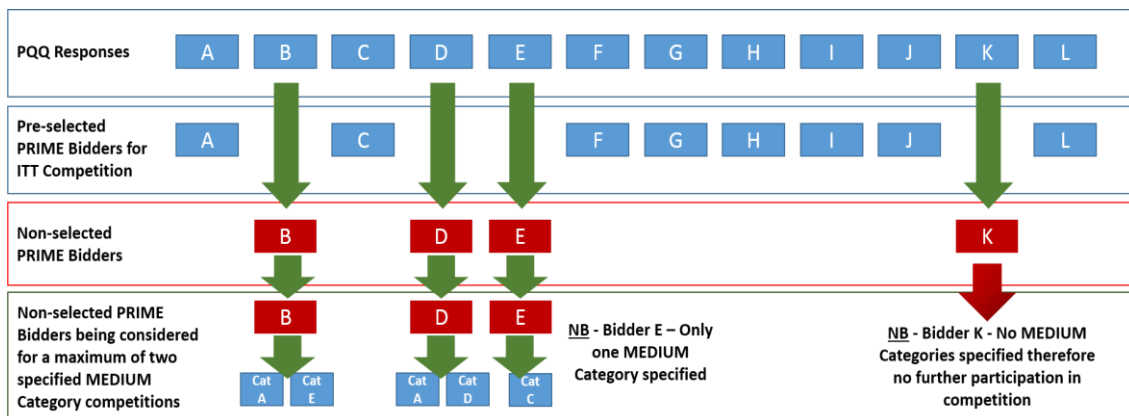


Figure A

### 7.3. MEDIUM Grade Participation

MEDIUM Grade PQQ competition Applicants will provide sufficient supporting evidence that they could be called upon to provide most, if not all resources that could successfully deliver a Category package of technical and commercial advisory service requirements. In addition to the provision of technical and commercial advisory services for a maximum of two nominated Categories successful MEDIUM Grade Applicants will be considered for future mini-competitions for isolated expert advice in the same nominated Categories.

MEDIUM Grade Applicants must be capable of providing stand-alone technical package teams that include a full range of management, technical specialist and support resources that are able to fully and seamlessly integrate with the Department's client/ project team and adequately interface with key stakeholders.

In line with the STAR Framework principles prospective Bidders should note that Sub-Suppliers named in the PQQ response, as part of a MEDIUM Grade Applicants will negate their ability to bid in their own right within the EXPERT Grade.

The Authority currently proposes to select from the PQQ the eight highest scoring MEDIUM Grade Bidders for each Category for participation in the ITT phase of the framework competition.

NB – The number of Bidders competing for each Category may be added to in order to include any PRIME Grade PQQ Applicants who have specified that they would wish to be considered for a maximum of two specific Categories as part of the MEDIUM Grade competition in the event that their PRIME Grade ITT bid is unsuccessful (See Figure A).

#### 7.3.1. ITT Process

Having selected the MEDIUM Grade Bidders to compete in the ITT stage of the STAR Framework competition, the ITT will include a series of questions that will build upon responses to the PQQ. These questions will seek Bidders proposals in relation to questions that include, but are not limited to, commercial and technical competency, capability and capacity, service provision and performance management, cultures and behaviours. In addition the ITT will seek further clarity around the pricing offering and is likely to set out a series of pricing scenarios for a range of sample packaged offerings that Bidders will be required to complete for comparative analysis during evaluation. Further scenarios will be included in the ITT, which are intended to enable evaluators to better understand Bidders' pricing and resource strategy.

#### 7.4. EXPERT Grade Participation

The EXPERT Grade is designed to attract smaller organisations including individuals who are specialist rail technical experts. It is expected that Applicants in this Grade will provide sufficient supporting evidence that they could be called upon to provide all resources that could successfully deliver isolated technical and commercial advice to meet specific service requirements for a maximum of two nominated Categories. In addition Framework competition Bidders must be capable of evidencing that they are able to provide resource (s) that can fully and seamlessly integrate with the Department's client/ project team and adequately interface with key stakeholders.

The Authority currently proposes to select the eight highest scoring EXPERT Grade PQQ Bidders for each Category for participation in the ITT phase of the Framework competition.

#### 7.4.1. ITT Process

Having selected the EXPERT Grade Bidders to compete in the ITT stage of the STAR Framework competition, the ITT will include a series of questions that build on responses to the PQQ. These questions will seek Bidders proposals in relation to questions that include, but are not limited to, commercial and technical competency, capability and capacity, service provision and performance management, cultures and behaviours. In addition the ITT will seek further clarity around the pricing offering and is

likely to set out a series of pricing scenarios for a range of sample offerings that bidders will be required to complete for comparative analysis during evaluation. Further scenarios will be included in the ITT, which are intended to enable evaluators to better understand Bidders' pricing and resource strategy.



## 8. Schedule 2 – Required Services

This section seeks to clarify the required services for each Category within the STAR Framework Lot.

### 8.1. Category A - Rail Strategy, Transport Integration and Planning Advice

Providing technical and commercial support to DfT Rail Executive's clients for a range of macro-level strategic activities such as future forecasts and plans, the analysis of optimal solutions for the development of long term rail investment proposals, option analysis and the construction of project and programme business cases.

Typical requirements identified by DfT Rail Executive clients include but are not limited to:

- General Rail Strategy, Transport Integration and Planning Advice
- Rail Strategy, Transport Integration and Planning Research
- Strategic corporate planning and appraisal
- Business case support
- Control period advice and analysis
- Strategic planning
- Transport systems integration
- High level Rail Investment Strategy (RIS) support
- Technical assurance
- Strategic technical commercial advice
- Macro-level revenue forecasting
- Package-specific bid evaluation support
- Remapping and devolution studies

### 8.2. Category B – Rail Operations and Performance Advice

Providing technical and commercial support to DfT Rail Executive's clients across a full range of operational specialisms to ensure that strategic objectives of schemes, projects and programmes, including Rail Franchises and Direct Awards are articulated effectively and attract bidder responses that optimally meet them.

Typical requirements identified by DfT Rail Executive clients include but are not limited to:

- General Rail Operations and Performance Advice
- Rail Operations and Performance Research
- Operational proposal package
- Operational management
- Timetabling, diagramming, rostering
- Staffing policy/strategy
- Industrial relations/Trade Unions/TUPE/pensions
- Network Rail operational interfaces
- Environment and sustainability
- Franchise integration
- Management and business structure
- Operational mobilisation
- Operational safety
- Operational cost modelling
- Modal integration, interfaces and connectivity
- Passenger communication
- Passenger connectivity
- Service quality/customer service
- Passenger flow monitoring
- Station design layout, logistics, passenger & pedestrian movement and facilities
- Operations commercial advice
- Package-specific bid evaluation support

### 8.3 Category C - Economic and Revenue Forecasting for a Sustainable Railway

Providing technical and commercial support to DfT Rail Executive clients for a range of short to medium term activities specifically in relation to forecasting and meeting demand, fares calibration and the development of bidding strategies and analysis.

Typical requirements identified by DfT Rail Executive clients include but are not limited to:

- General Economic and Revenue Forecasting advice for a Sustainable Railway
- Economic and Revenue Forecasting Research
- Technical risk adjustment
- Macro-economic advice
- Market reviews production
- Benefits realisation support
- Rail transport commercial advice
- Commercial risk analysis/profiling

- Fare reviews and policy
- Ticketless travel
- Ticket retailing
- Revenue protection
- Marketing and branding
- Modelling - revenue, fares and demand
- Revenue commercial advice
- Revenue forecasting
- Package-specific bid evaluation support
- Comparator modelling and associated business case support

#### 8.4 Category D - Railway Infrastructure, Rolling Stock and Assets Advice

Providing DfT Rail Executive clients with technical and commercial support and advice across the full spectrum of railway assets ranging from infrastructure to rolling stock. Services will include a wide range of technical and commercial advice throughout the asset lifecycle such as strategic level planning and option analysis, whole life cost reviews, value engineering and management, assurance, technical specification, Category management, procurement of assets and asset interface risk assessment.

Typical requirements identified by DfT Rail Executive clients include but are not limited to:

- General Railway Infrastructure, Rolling Stock and Assets Advice
- Railway Infrastructure, Rolling Stock and Asset Research
- Railway asset management
- Stations – including access, property, parking, mobility and security
- Depots and stabling - strategy and advice
- Signalling and systems - strategy and advice
- Rolling stock - strategy and advice
- Rolling stock - management, acceptance, planning
- Rolling stock - leasing
- On train facilities and services
- Technical due diligence
- Rail engineering, feasibility & operating advice
- Power / electrification - strategy and advice
- Telecommunications / CIS - strategy and advice
- Railway infrastructure and assets commercial advice
- Package-specific bid evaluation support

## 8.5 Category E - Project and Programme Management Advice

Providing DfT Rail Executive clients with technical and commercial support and advice across a full range of programme and project management services throughout the project lifecycle from strategy to post-transition mobilisation.

Typical requirements identified by DfT Rail Executive clients include but are not limited to:

- General Project and Programme Management Advice
- Project and Programme Management Research
- Programme partner
- Programme management
- Project management
- Project delivery
- Project Controls
- Assurance
- Project management commercial advice
- Project representative
- Enterprise, programme and project integration management
- Package-specific bid evaluation support