

GREATER ANGLIA AND INTERCITY WEST COAST FRANCHISES
 APPLICANTS' CLARIFICATION QUESTIONS: BULLETIN 3

Document reference/page no	Topic	Clarification Question	DfT reference	Clarification Question Response
Pre-Qualification Process Document / Section 5.3.3 Part D	Part D scoring	<p>We note that in the PQQ Process Documentation paragraph 5.3.3 it says that you intend to use the Results section of the EFQM Business Excellence Model with the RADAR evaluation method to evaluate responses.</p> <p>Please confirm that Part D will be evaluated according to only the two results elements of Relevance & Usability and Performance described in the EFQM RADAR Guidelines for Results and not include the three elements of Approach, Deployment, Assessment and Refinement from the EFQM RADAR Guidelines for Enablers?</p>	PQQ-0001	The DfT confirms that Part D will be evaluated according to the Results elements of Relevance & Usability and Performance. The elements of Approach, Deployment, Assessment and Refinement will be used to assess the delivery plans at ITT stage
Greater Anglia Pre-Qualification Questionnaire / Part E	Period on which to base Part E response	In Part E two of the themes refer to controlling costs and maximising revenue. In assessing bidder's responses will you be concentrating on actions that affect the management contract period or will you award marks for actions that may have a longer term impact?	PQQ-0002	We expect that the majority of actions would focus on the long term value of the franchise. It is highly likely that this would mean that they would have an impact on the period of the short-term contract starting on 5th February 2012 as well as the longer term contract which is due to start in the summer of 2013.
Greater Anglia Pre-Qualification Questionnaire / Part E	Required outputs	In Part E the first of the themes refers to controlling operational cost to deliver better value for money and required outputs. Can the DfT provide further information on what will be the required outputs for the Greater Anglia franchise during this management contract period?	PQQ-0003	The minimum required outputs for this contract are set out in the existing version of the National Rail Franchise Terms. This can be viewed on the Department's website at: http://www.dft.gov.uk/pgr/rail/passenger/publicregister/current/shnt/southernnft.pdf
Pre-Qualification Questionnaires / Instructions	Font size	Is using a smaller font for tables / charts / graphics permissible?	PQQ-0004	Yes, you may use a smaller font for tables etc., as long as it remains readable.
Pre-Qualification Process Document / Section 5.1 Submission of Applications	Electronic copies	Should electronic versions be submitted in Word/ Office or PDF?	PQQ-0005	In Word
Pre-Qualification Process Document / Section 5.1 Submission of Applications	Electronic copies	If Electronic copies should be Word/ Office which version should we use?	PQQ-0006	Microsoft Word 2003.
Pre-Qualification Process Document / Section 5.1 Submission of Applications	Electronic copies	Are we required to submit a version of the PQQ for Network Rail?	PQQ-0007	No

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Pre-Qualification Questionnaires	Introductory statement	Previous PQQs have asked bidders to provide a brief introductory statement as part of the submission. This set out a summary of factual information on the scope of relevant experience of the bidder e.g. time span, nature and scale of operations; resources employed. This section provided some background for evaluators although no marks were allocated to it. Whilst some bidders will be well known to the DfT evaluators, others will be less so and we believe that such background information would be helpful in this case. Would DfT permit bidders to include in their submission a short introductory statement (2-3 pages) of such information in line with what was requested in previous PQQs.	PQQ-0008	The Pre-Qualification Questionnaire has been designed to elicit all the information the Department needs to assess the suitability of an applicant to progress to the next stage. Should you consider it would be helpful to include a brief introductory statement in your submission, then we suggest that it be included in a covering letter. As before, such a statement will not be regarded as forming part of the information to be evaluated and scored.
Pre-Qualification Questionnaires / Part D	EFQM Model	DfT are using the 2010 Excellence Model for EFQM. Will they also be using the 2010 RADAR Matrix?	PQQ-0009	Yes
Pre-Qualification Questionnaires / Part D	EFQM Model	Will DfT only be using the Results matrix or will they be using the Enabler matrix to assess the answer to questions such as, "How do you measure your employees' perception of your organisations? Provide examples of results achieved." If you are not using the Enabler matrix how will the responses to the first part of this, and other Part D questions, be assessed?	PQQ-0010	The Department will be using the Results matrix only to benchmark and evaluate Applicants' responses to Part D. Responses to the first part of such questions should be a statement of approach that leads to the results achieved.
Pre-Qualification Questionnaires / Part D	EFQM Model	The 2010 RADAR results matrix does not appear to give extra marks for trends longer than three years – will this also be the DfT approach or are there more marks to be gained by showing trends of more than three years?	PQQ-0011	The Department requires Applicants to provide at least 2 years worth of relevant supporting data as stated in section 1 (Customer Results) of the PQQ. Additional marks will not be awarded for showing trends beyond this.
Pre-Qualification Process Document / Section 5.3.3 Part D	Data	In the Process document on page 17 you state that: '...the Department's assessment of its responses will take into account relevant performance data and recorded breaches of agreements held by the Department, National Passenger Survey results held by Passenger Focus and other performance data held by Network Rail, in addition to the submission.' Please could you advise if you expect see NPS, PPM data in Part D of the submission and, if so what level of detail?	PQQ-0012	The Department has access to performance data and NPS results and hence does not expect these to be included in full in PQQ submissions. It would expect Applicants to present evidence of past performance which they consider appropriate for their submission.
Greater Anglia Pre-Qualification Questionnaire / Part E	Class 379 delivery	What is the DfT's current working assumption in relation to the timing of delivery of the class 379s vehicles? Are all class 379 vehicles expected to be in-service in time for the December 2011 timetable change?	PQQ-0013	All class 379 vehicles will have been delivered and be in service by August this year.
Pre-Qualification Questionnaires / Part D	EFQM Model	Can the DfT confirm that Part D of the PQQ will be evaluated using the 2010 version of the RADAR model?	PQQ-0014	Yes.

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Pre-Qualification Questionnaires / Part D	EFQM Model	If the 2010 model is to be used in marking Part D, it is assumed 'segmentation' has now become a separate line item, as opposed to being included implicitly in 'scope' in the previous RADAR model. Therefore, in order to receive a positive score on this line item, bidders will be required to show segmented results. However, for measures such as NPS (where all UK TOCs operated by the bidder need to be shown), using a route / area segmentation for all TOCs operated would then imply a very large number of trends being shown on any particular graph of performance. Can the DfT provide guidance on whether, in this example, route / area results for every operating company are actually desired, or whether TOC level NPS results are more appropriate (and would not have a negative impact on the 'segmentation' score?)	PQQ-0015	As the 2010 model is being used 'segmentation' is a separate line item. The DfT does not require an applicant to show the results for each TOC divided by route or area, particularly if that applicant operates a number of UK TOCs. TOC level results would however be expected for each operation. In such a case the applicant may also wish to demonstrate, by example and where applicable, evidence that segmentation by route/area is used in the management of the TOCs.
Greater Anglia Pre-Qualification Questionnaire / Part E	Management of Class 379 vehicles	Franchise theme 9 asks applicants for their approach to managing the introduction of the class 379 vehicles. The current introduction plan for these vehicles will have them all into traffic before the start of the franchise. Should our response therefore focus on how we will manage these vehicles in service to best effect, as opposed to an introduction into traffic plan?	PQQ-0016	Yes, as all class 379 vehicles will have been delivered and be in service by August 2011 bidders should focus their response on how they will manage and deploy the new vehicles in service.
Questions 0001 to 0016 were first published in Bulletin 1, 28/01/2011				
Pre-Qualification Process Document / Section 5.1 Submission of Applications	HTML	The document states "...plus one electronic copy in HTML format of a completed response to the PQQ,...". You have previously indicated that an HTML version was no longer required. Would you please confirm whether or not you still require an HTML version.	PQQ-0017	We confirm that we no longer require an HTML version.
Pre-Qualification Questionnaires Page 21 and Pre-Qualification Process Documents Page 7	Contract breaches	The Prequalification Questionnaire requires evidence of contract breaches which occurred after October 2007. On page 7 of the Pre-qualification Process Document it states that the Department will assess any past failure to deliver on contract commitments since January 2001. Which date applies?	PQQ-0018	Contract breaches or failures will be taken into account if they occurred during or after October 2007 and relate to franchise contracts let after January 2001.
Pre-Qualification Questionnaires Page 22	Part E evidence	In Part E of the Pre-Qualification Questionnaire, applicants are encouraged to use evidence from relevant past experience to demonstrate their capability. Can applicants cross-refer to their experience in Part D as part of this demonstration?	PQQ-0019	Parts D and E will be marked by separate evaluation teams and therefore Applicants should not cross-refer between their Part D and Part E responses.

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Pre-Qualification Process Documents Page 10	Transparency	Please confirm that in the penultimate and ultimate paragraphs of page 10 of the Pre-qualification Process Document, "bidder" should read "successful bidder" and in the ultimate paragraph "Contractor" should also read "successful bidder".	PQQ-0020	Yes.
Pre-Qualification Process Documents Para 5.3.3 and 5.3.4	Page limits	When DfT refer to "pages", does this mean "sides"?	PQQ-0021	Yes.
Greater Anglia Pre-Qualification Process Document Para 4.1 (a)	ITT	Can the DfT give more details of the "information in bids" that will be required?	PQQ-0022	This refers to the delivery plans and the financial elements that bidders will be required to submit as part of their bids.
Questions 0017 to 0022 were first published in Bulletin 2, 08/02/2011				
Greater Anglia Pre-Qualification Questionnaire / Part E	Theme 6	Part E, Theme 6 states that bidders should set up a separable business unit for Crossrail services and provide management information to DfT and TfL. Should responses be aimed towards the processes for physical separation of assets and resources in readiness for a future transfer or more towards the identification and reporting of the revenues and costs of operating the current services that will transfer to Crossrail?	PQQ-0023	Information regarding the detailed scope of what is required will be made available to bidders when the ITT is issued. It is envisaged that a separable business unit will be created during the life of this contract. The unit will still be managed and operated by the Greater Anglia train operating company and is not required to be resourced to operate as a fully stand alone business, but the unit could be separated and transferred to the Crossrail operator. It is not planned to transfer these services out of the Greater Anglia train operating company in the life of this contract. The franchisee will also be required to identify and report revenue, cost and other management data in respect of these services which may be used by both the DfT and TfL and potentially made available to bidders for the Crossrail Train Operating Concession (CTOC).
Pre-Qualification Process Documents Para 5.3.3	Evaluation	You have stated that: '...the Department's assessment of its responses will take into account relevant performance data and recorded breaches of agreements held by the Department, National Passenger Survey results held by Passenger Focus and other performance data held by Network Rail, in addition to the submission.' This would appear to be a scoring criteria, as it can influence the outcome of the competition, but you do not explain how it is going to be consistently applied to all bidders submissions. Can you clarify to what extent you intend to use the performance data, NPS and recorded breaches information, and quantify how this will influence the scoring of bidder submissions.	PQQ-0024.	The Department will evaluate Part D of all PQQ submissions using the Results elements of the RADAR scoring matrix. Independent evaluators' scores will then be subjected to a moderation process to arrive at a consensual score. Where the Department either holds or has access to the information described in section 5.3.3 of the Pre-Qualification Process Document for an existing UK passenger rail franchise operator, this information will be made available to the evaluation panel at the moderation meeting in order to inform the consensus process. The data is used as additional evidence of the results achieved; it does not represent a new scoring criterion but may inform the consensus assessment against the standard EFQM Results criteria. The information may increase or reduce the consensus score which would otherwise have been achieved. Our experience suggests that the most common outcome is to reinforce our confidence in an unchanged consensus score as derived from the applicant's submission. We would stress that only the information described in Part D of the PQQ will be used and only in respect of the specific question where it is referred to.

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Pre-Qualification Questionnaires / Part D	RADAR	The DfT have confirmed that Part D will be evaluated according to the Results elements of Relevance & Usability and Performance described in the EFQM RADAR Guidelines for Results. Under the "Scope and Relevance" element there is the following requirement: "The scope of the results presented is consistent with the strategy and policies of the organisation". However, there is no longer a section of the Part D, due to removal of the enablers response requirement, response in which applicants can to set out their vision, strategy and policies. Can the DfT provide guidance on how applicants should demonstrate that the scope of results are consistent with the strategy and policies of the organisation? Are applicants required to set out their strategy and policy to enable this requirement to be scored?	PQQ-0025	Applicants are not required to set out their strategy and policies. The Department will assume that the results presented are in line with Applicants' strategy and policies.
Greater Anglia Pre-Qualification Questionnaire / Part E	Theme 6	In the context of Greater Anglia Part E – FRANCHISE SPECIFIC – Greater Anglia Franchise Themes please provide a detailed definition of the term 'full repairing lease' and what it entails in terms of contractual/franchise responsibilities.	PQQ-0026	In the event that bids are invited for the Greater Anglia franchise with full repair leases at stations, the likely contractual framework is set out in a paper entitled "Responsibilities at stations project – Proposition for the application of full repair and insure leases for the short replacement GA franchise". This can be found on ATOC's website via the following link: http://www.atoc.org/latest-publications .
	Letters of support	We have noted there is no longer a requirement to include letters of support from bid advisers, therefore we are not intending to do so. Can you please confirm this is your intention.	PQQ-0027	Letters of support from bid advisers are not required with PQQ submissions. Their details are requested however to enable us to check for potential conflicts of interest.
Pre-Qualification Questionnaires / Part D	EFQM Model	In response to PQ0011 you state that you require at least 2 years of data and that additional marks will not be awarded for showing trends beyond this. We understand trends to mean the change that occurs between data-points, therefore two years of annualised data generates only one trend. Please can you clarify whether DfT will give credit for 3 years of data (thereby showing two years of trend) or only 2 years of data (thereby showing only one year of trend)?	PQQ-0028	The EFQM Excellence Model is a methodology used to form a judgement of an organisation's performance over time. The standard EFQM guidance is that at least 3 years of data is analysed for evidence of trends. In the rail industry however, many performance indicators are reported on on a 4-weekly or bi-annual basis. The DfT therefore considers it appropriate to evaluate trends using a minimum of 2 years of data rather than 3. Notwithstanding this, Applicants may wish to submit trend data over a period of more than the requisite 2 years in order to illustrate a point / points that they wish to make in their proposal, for example raised performance from the point that they took over the business. The DfT will evaluate all the data that is presented and a judgement will be formed and scores agreed using the normal consensus marking process. Applicants will not be penalised where no more than the minimum 2 years of data is available.

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Pre-Qualification Questionnaires / Part D	EFQM Model	In response to PQ0011 you state that you require at least 2 years of data and that additional marks will not be awarded for showing trends beyond this. Most existing franchises have been running for substantially longer than two years and very significant improvements in results have been achieved over that time. Can DfT confirm that no credit whatsoever will be given for the achievements of these TOCs that are outside the two year limit? Therefore bidders should not include them in their response?	PQQ-0029	See response to PQQ-0028.
END				