

1. Project Initiation Templates Introduction

Templates have been included for Guidance purposes and to assist Commissioning Organisations (COs) in filling in and completing their shortlisting, mini-competitions etc.

1. **Templates may be adapted by the Commissioning Organisations (CO) but the format, including the LCP Logo must be used for all LCP documentation including tender documents.**
2. The CO must comply with the principles of the framework agreement. Please review the framework agreement tender documents and the user guides prior to using these templates.
3. Templates are to be read in conjunction with this Guide and the User Guides. Template documents are shown below in **purple font**.
4. All items within the templates which are in blue bold font, grey highlights parentheses **(xxx)** are for guidance only and **must** be deleted on filling in the template.
5. All items within the templates which are capitalised in red bold font, yellow highlights and square brackets: **[xxx]** are used where insertions or deletions are to be made by the COs. These must also be deleted on filling the template, even if it is just removal of the highlights/red font.
6. All LCP Templates are offered in good faith by the LCP which COs can use for their mini-tenders and are for general guidance. There may be instances where you may need to alter the content of these documents is subject to your Mini Competition and your own internal contract Standing Orders (CSOs). COs must review all of the provisions within the templates and obtain specialist procurement or legal advice if required, to ensure that the template is compliant and meets all of the requirements of the COs. CSOs and the Public Contracts Regulations 2006 (not 2015) which are applicable to the LCP Framework. The CO must satisfy itself by its own investigations as to the accuracy of any such information provided by these documents.
7. The Haringey Construction Procurement Group (CPG) has set up and is running this framework on behalf of the LCP.

2. Project Notification Form (3.2) – Filled in by CO and returned to CPG

The **Project Notification Form** must be filled in by the CO and sent back to Haringey Construction Procurement Group at the following email address: LCP@haringey.gov.uk This form must contain details of the project, including type of work, timescales and values of the project. If the information is not available for the project, the boxes can be left blank, only fill what you know. If the commission is a programme of works, and or phased, this must be detailed in the project information. Once this is received by Haringey, you will receive a Project Number. This number must be used on all documentation sent in relation to this project, in particular the tender documents.

The default for procurement of projects over £1,000,000 in value is Two Stage Procurement. If your project is over £1,000,000 in value, and you are not intending to use a Two Stage Procurement Process, you must fill in the section marked 'Business Case' to justify why you are not using the Two Stage Process.

3. Soft Market Testing (SMT)

Soft Market Testing can be carried out at an early stage to gauge interest in the project. This can be carried out by means of a phone call or email and can be prior to the issue of **Expression of Interest**. However, the contractor should not be requested to carry out any tasks at this stage which could subsequently prove to be abortive or be requested to provide any information other than interest in the project, all feedback from the contractors should be recorded in writing to provide a transparent audit trail. Should this provide the required number through declines to tender, there would be no need to go through the Expression of Interest process to shortlist but it would be recommended to meet with the contractors separately to brief them prior to tendering. If this SMT provides the shortlist then the CO should send CPG the feedback form (refer to paragraph 4.4).

4. The Expression of Interest (EOI) Templates

4.1 The Expression of Interest (EOI) Template (3.3) – Filled in by CO (or their agents) and issued to Contractor

The [Expression of Interest Template \(3.3\)](#) is required if you are carrying out a Shortlisting of the contractors on a particular Lot (**please note, this is not mandatory but it is recommended**).

The CO notifies all contractors on the particular lot in question of the opportunity by means of the EOI. In some instances the contractor will be aware of the project through the work pipeline (M2i portal) or initial soft market testing.

The initial assessment of the lot members will be subject to maintaining minimum standards (which include, when applicable, Key Performance Indicators KPIs, and the Minimum Standards as set out in the tender documents. If any Contractor falls below the Minimum Standards (including the KPIs when applicable) set out by this Framework Agreement, then they may not be considered for short listing. This minimum standards check is carried out by the Haringey Construction Procurement Group (CPG).

If any information requested on the template is not available, it can be deleted. However, to obtain the most suitable shortlist, the document should contain as much detail as possible at this stage of the project.

This form must contain details of the project, including type of work, timescales and values of the project; this can be taken from the [Project Notification Form \(3.2\)](#). If the commission is a programme of works, this must be detailed in the project information. Please note that the form states that the shortlist can be for 3-4 contractors, this is for guidance only, it can be altered to suit your internal governance arrangements. This document comprises the following:

- Outline Client project brief/description of works (Appendices may be attached with further details)
- Details of the project team including any novations (the Contractor is requested not to contact the CO's consultants at this stage)
- Site visit details if available
- Form of Contract
- Outline Programme
- Budget
- Risk Register
- Any other salient information such as: boundaries, Parent Company Guarantee, occupation of building during works, party wall issues etc.
- Request for Contractor to confirm availability for tender and works (Yes or No response from Contractor, if the contractor is not available for either tendering or works, they should explain this in their return).
- Simple Questionnaire (scored). The questions will generally relate to the Contractors' overall technical suitability to carry out the works and their resources. Questions must not be asked in detail and do not ask questions which you may want to interrogate in further detail at tender stage. Do not ask questions which are backward looking (e.g. experience), relate to the overall organisation structure or any other Pre-Qualification Questionnaire type question. Do not ask questions with 'sub-criteria'.

There may be an interview at this stage where the contractors will be asked to present their submission. No new questions can be asked at the interview and the contractor must be informed of this in the [EOI](#). The method of evaluation must also be stated in the [EOI](#).

The Contractor will return the [EOI](#) to the CO. Their response will contain the following:

- Confirmation of availability (Part A), and; Returned questionnaire (Part B).

This return will be evaluated using the [EOI Evaluation templates](#) which contain:

- Evaluation Sheets ([EOI Scoring Template \(3.5\)](#))
- [EOI Evaluation Summary of Scores \(3.6\)](#) to enable you to determine the successful contractor.

The contractor is mandated to return any [EOI](#) sent out to them. If they are unable or unwilling to tender/ carry out the works if appointed, then they must fill in Part A of the [EOI](#), giving reasons why they are not able or willing to tender.

Please note that the project requirements included in this form will be used by the contractor to determine whether they will be willing to partake in the procurement or withdraw. Therefore, please consider carefully the project details included as they should not alter after the [EOI shortlisting process has been completed](#). For instance, if the design team is being novated, and this is stated in [EOI](#), the consultants cannot therefore remain in-house without another [EOI](#) being issued.

The contractor's response to the [EOI](#) may become part of the Stage 1 contract documents for the successful contractor if a 2 stage procurement route is being used if it contains information which is not superseded by, or already contained in, the Stage 1 tender documents. If a single stage procurement route is used, the [EOI](#) response may become part of the main contract documents for the successful contractor if it contains information which is not superseded by, or already contained in, the tender document returns.

Timeline: one week if the project is on the pipeline, two weeks if there has been no advance warning.

4.2 Expression of Interest ([EOI](#)) Scoring Template (3.5) and [EOI](#) Evaluation Summary (3.6) of Scores - Filled in by CO and their agents

The questions in the [EOI](#) document should be used to score each of the submissions using the [EOI Scoring Template \(3.5\)](#).

The returned [EOI](#) will be evaluated by the CO and from this, they will prepare a shortlist of a minimum of 3 Contractors who are available to carry out the works and have shown an outline demonstrable suitability to carry out the works. The duration of this task will depend on the CO's own CSOs. The number of evaluators can be two or more. Evaluation templates are included in this pack.

Part A of the evaluation form records the contractor's availability to tender. This must be filled in for audit purposes. This can be used for the [EOI](#) Feedback form (refer to paragraph 4.4 below).

Part B of the template is the scoring of the Initial Quality Questionnaire. Scores will be made on a scale of 0 – 5 (please refer to the Scoring Criteria Matrix).

In the [EOI Scoring Template \(3.5\)](#), there is a space for the evaluator to make positive and negative comments in support of the score awarded. You will need to include positives and negatives in relation to your score, these must relate to the [EOI Scoring Criterion \(3.4\)](#). Where the contractor scores less than 5, you must record a comment in the negatives box where they have not met the criteria.

If you feel the submission raises certain questions that need clarification and may have an impact on the score, they can be raised to the contractor through either correspondence or a clarification interview.

Once the scores are finalised, they will be carried to the [EOI Evaluation Summary of Scores \(3.6\)](#). The entries should be arithmetically checked and moderated to ensure that the process has been fair and transparent, in accordance with the COs audit procedures. The [EOI Evaluation Summary of Scores \(3.6\)](#) will provide the final shortlist to go to tender.

Timeline: 3 days

4.3 EOI Outcome Letters – Issued by CO (or their agents) to the Contractor

The COs Contract Standing Orders may necessitate formal sign off of the tender shortlist. Once any approvals have been obtained, the CO can issue the [EOI Outcome Letters \(3.7 & 3.8\)](#) using these templates to the successful and unsuccessful contractors on the COs letter heading.

Timeline: 1 day

4.4 EOI/SMT Feedback Form (3.9) – Filled in by CO (or their agents) and returned to CPG

Once the outcome letters have been issued to the contractors, the CO should return the shortlist results to LBH. The feedback form should provide the list of shortlisted contractors and, where a contractor does not wish to tender, the CO must note the reasons provided by the contractor for not wishing to return a tender where this is the case. This form will be treated confidentially by the LCP.

5. The Call-Off Process Templates – Issued by CO (or their agents) to the Contractor –REFER TO PART 4 – CALL OFF DOCUMENTATION

Templates and guidance notes in relation to the templates, for Level 1 and Level 2 procurements are included in Part 4 of this User Guide ‘Call-Off Documentation’ in relation to Mini-Competition. Direct Call-Off templates and Guidance Notes in relation to the templates are included also in this section. In relation to Mini-Competition, the tender can be let on a Level 1 (Two Stage Open Book) basis or a Level 2 (Single Stage Tender) basis. Refer to [Part 4 – Call-Off Documentation for further information](#).

6. Project Award Form – Filled in by CO and returned to CPG

The [Project Award Form \(3.10\)](#) must be filled in by the CO and sent back to Haringey Construction Procurement Group at the following email address: LCP@haringey.gov.uk This form must contain details of the project, project number and details of the selected contractor.