

PROCUREMENT STAGE 1 – APPROVAL TO PROCEED TO TENDER

This form must be completed for all procurements above the tender threshold (£75,000 - Services and Supplies and £500,000 – Works)

If contract value is over Cabinet approval threshold (£750,000) this form shall be attached with the request to tender report to Cabinet. This form will be “Open” for Publication.

Section A: ABOUT THIS PROCUREMENT	
Title	Shared Lives
Directorate	Adults, Health and Commissioning
Procurement Reference Number	PS/2015/103
Contract Cost (Maximum Spend)	£6,000,000
Budget code(s)	SL200/SM200/SP200
Introduction and Background	<p>Thurrock Council wishes to develop a Shared Lives service within Thurrock, to provide a new form of care for adults with support needs and an alternative to residential care and other forms of service. To support the development of the scheme and the tender process Thurrock Council has engaged an external partner organisation, Community Catalysts, experts in this area of work.</p> <p>To ensure the successful and sustainable development and growth of a Shared Lives scheme in Thurrock the Council intend to enter into partnership with the Shared Lives Incubator. The Incubator combines Shared Lives expertise with social investment, and is uniquely placed to both help the Council to secure an appropriate Provider and then support the Provider to be able to deliver and expand Shared Lives care in a way that meets the local context and need.</p> <p>Shared Lives will support the delivery of Thurrock Council's Market Position Statement, enabling people to be connected and contributing members of their community, to stay well and independent and increase choice and control by adding diversity to the market. It will provide lower cost, higher quality and personalised alternatives to residential care and supported living, enabling the council to make better use of its resources.</p>
Proposed Contract Term	5 years
Political Sensitivity	N/A

Section B: COMMISSIONING REPORT

Business Case	Please see attached Cabinet Report
Key Deliverables (Draft Specification)	Draft specification is currently being written Key deliverables are aimed at meeting Adult Social Care's requirements of the Care Act 2014 & Thurrock Councils Market Position Statement
Quality v Price evaluation	Likely to be set at 80:20
Social Value	The relevance of the Social Value Act for this procurement will be considered and applied throughout the contract as this tender is for Social Care provision and enhancing outcomes for service users and people living in the borough. As part of the quality evaluation, providers will be asked how they aim to meet the requirements of the Social Value Act.
Current / Previous Contract details	N/A

FINANCIAL IMPLICATIONS

Current / Previous Contract Cost	N/A					
Cost Breakdown	Breakdown of Estimated Cost	15/16 £000's	16/17 £000's	17/18 £000's	Later £000's	Total £000's
	Total Spend	£	£221	£551	£4823*	£5595
Confirm Funding Breakdown Identified	Revenue Budget	£	£221	£551	£4823	£5595
	Capital Budget	£	£	£	£	£
	Other (Please State)	£	£	£	£	£
	Other (Please State)	£	£	£	£	£
	Total Funding	£	£221	£551	£4823*	£5595
Budget Code(s)	SL200/SM200/SP200					
Unsupported borrowing?	N/A					
Other Financial Implications	*Total spend for the later years totalling £4,823m is as follows Financial year: 2019/20 - £1,158m, 2020/21 - £1,598m, 2021/22 - £2,067m					

PROCUREMENT ROUTE ABOVE TENDER THRESHOLD (Choose 1(of A, B, C or D) only)	
A. COMPETITIVE PROCUREMENT (complete B if a Framework)	
Procurement Route	EU Open Tender
Procurement Justification	Due to the specialist nature of this project, there is not an expectation that this will attract a large number of providers, therefore open procedure has been chosen
B. FRAMEWORK (Waiver in accordance with Rule 13.1 (c))	
Framework?	Is this a procurement from a Framework? No
Title & Reference of Framework	N/A
Framework Rationale	N/A
C. REQUEST FOR QUOTE FROM RESTRICTED MARKET (Waiver in accordance with Rule 13.1 (d))	
Restricted Market?	Is this a request for quotes from a restricted market? No
Rationale (only permitted below the EU threshold)	N/A
D. SINGLE SOURCE REASON (Waiver in accordance with Rule 13.1 (a, b or d))	
Single Source	Is this Procurement a Single Source – One Quote/Tender <i>(Exceptional circumstances only and select reason below)</i> No
Single Source justification below EU Threshold	<i>Select reason and explain your rationale</i> N/A
Single Source justification above EU Threshold	If you are seeking a single tender above the EU threshold – using the “Negotiated Procedure without Call for Competition” route, this is only available in very exceptional circumstances. You must select the reason below and explain your rationale. N/A
Single Source Rationale	N/A

PROCUREMENT TIMETABLE, RISK, CONSULTATION AND MANAGEMENT		
Milestones and target dates <i>(Draft)</i>	Key Event	Date
	Publication of Contract Notice or Advert	11 April 2016
	Return of PQQs (omit if not applicable)	N/A
	Issue of Invitation to Tender	11 April 2016
	Return of Tenders	12 May 2016
	Notification of Results	01 June 2016
	Standstill Period (omit if not applicable)	13 June 2016
	Leaseholder Consultation (omit if not applicable)	N/A
	Expected date of Award	13 June 2016
	Contract Commencement	01 September 2016

Risk Management – Set out Main Risks and Mitigating Actions

Risk	Likelihood (A – E) ¹	Impact (I – IV) ²	Level of Risk (High to Lower) ³	Potential Negative Impact	Management / Mitigation of Risk
Tender Process Risks					
Non- adherence to procurement timetable	C	III	CIII	Contract does not commence on time	Commissioning Lead will ensure timelines are adhered to. Procurement timetable has been developed to allow for any delays
Non compliance with procurement and legal regulations	D	II	DII	Council is open to challenge	Commissioning Lead will involve colleagues in Legal and Procurement to ensure compliance with Procurement regulations and the Councils Constitution
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Contract Performance Management Risks					
Contract is not appropriately managed	D	III	DIII	Provider fails to deliver against contract	There will be key measurements, outcomes and timescales detailed within the contract, with robust contract management arrangements. There will be designated staff within the Commissioning and Contract management Teams with responsibility for full oversight of this contract.
Financial viability of provider	D	II	DII	Provider is unable to operate	Financial viability of the provider will be tested through the procurement stage including a business plan for the full term of the contract
Enter Risk	L	I	Level	Impact	Mitigation
Contingency Arrangements	As this is a new service there is no requirement to put any contingency arrangements in place, the timetabling however has been set to ensure that this will be delivered as close to the estimated timescales provided . Adult Social Care has robust contract management processes already in place, these will be followed at the start of the contract This contract will also be managed closely by the lead commissioner to ensure that the service is developed and grown.				

¹ **Risk Likelihood:** A = Very High, B = High, C = Significant, D = Low, E = Very Low

² **Risk Impact:** I = Critical, II = Significant, III = Marginal, IV = Negligible

³ **Risk Level:** High = AI, BI, All, BII, CI,CII, all others lower

Consultation	<p>This project has already seen a wide range of consultation, including Local Area Co-ordinators, Social Care staff and Carer groups. Soft Market Testing will be taking place for potential and existing Shared Lives providers. Engagement will be crucial to the success of this scheme and will be a key priority of the provider once the contract has been awarded.</p>
Project and Contract Management Proposals	<p>There is a lead commissioner for this project, workshops are already timetabled to ensure that operational processes are in place by contract award. Key stakeholders will be invited to further workshops post contract award to meet with the provider to raise awareness and manage barriers.</p>
Procurement Comments	<p><i>The value of the contract exceeds the EU tendering threshold for services that fall under the Light Touch Regime (£589,148). It is the Council's intention to run an Open OJEU tender process in compliance with EU regulations and the Council's constitution. As the contract falls within the Light Touch Regime there is flexibility in the how the procurement process can be run, however, it has been decided in this case that the Council will adhere to the timescales set out for standard EU service contracts.</i></p>

Section C: LEGAL, FINANCE AND PROCUREMENT APPROVAL

Procurement Services	Name	Kiri Mason
	Signed (Or obtain email of confirmation)	
	Date	Click here to enter a date. 01/02/2016 .
Legal Services (Insofar as it relates to Legal implications)	Name	Name Paul O'Reilly
	Signed (Or obtain email of confirmation)	
	Date	Click here to enter a date. 4.2.16
Finance (Insofar as it relates to Finance implications)	Name	Jo Freeman
	Signed (Or obtain email of confirmation)	
	Date	Click here to enter a date. 3.2.16

Section D: APPROVAL TO PROCEED VALUE

The Responsible Officer must sign the form, together with the Head of Service as a minimum. Delegated Authority Limits below.

Approval Level	Over £750,000 - Cabinet
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Section E: SIGN OFF APPROVAL TO PROCEED

Confirmation by the Responsible Officer of Compliance with Contract Procedure Rules	The Responsible Officer Allison Hall confirms that the procurement of Shared Lives and PS/2015/103 has been carried out in accordance with Rule 5 of the Council's Contract Procedure Rules (Chapter 9, Part 2 of the Constitution) and in particular the following duties have been met by the Responsible Officer: <ul style="list-style-type: none"> • Compliance will occur with all regulatory or statutory provisions and the Council's decision making requirements • The Contract will be included on the Council's Contract Register • Value for Money will be achieved • Advice has or will be sought from the Director of Finance and Corporate governance as to an appropriate security bond or guarantee • Document Retention Policy has and will be complied with • Financial Evaluation will be made of all the proposed tenders including the recommended bidder • Advice has been and will be sought and followed from Procurement, Legal and Finance as necessary 	
	Signed	
	Date	Click here to enter a date. 1-2-16
Approval to Proceed	In accordance with the Contract Procedure Rules, I/we confirm the accuracy of the information contained within this form and authorise this request to Proceed to Tender including, where relevant, the permitting of a Waiver from the Contract Procedure Rules in accordance with Rule 13	
Head of Service	Name	Les Billingham
	Signed (Or obtain email of confirmation)	
	Date	Click here to enter a date.
Corporate Director <i>I confirm that the Portfolio Holder has been consulted as required</i>	Name	Roger Harris
	Signed (Or obtain email of confirmation)	
	Date	Click here to enter a date. 4/2/16
Head of Corporate Finance <i>If waiver required</i>	Name	Click here to enter text.
	Signed (Or obtain email of confirmation)	
	Date	Click here to enter a date.
Cabinet	Approval Minute Number	Enter minute reference
	Date	Click here to enter a date.
Now send complete form to Procurement Services signed and scanned (with emails if used)		