

Ministry Of Health

Registration of Interest

For Intermediaries

Social Bond Pilot(s)

Part 2 – Response Form and Declaration

What's inside?

Profile of Organisation

ROI Questions and
Response Template

Respondents Declaration



1. Respondent's Response Form and Declaration

Profile of Organisation

1. Respondent's contact person for this ROI				
Contact person:				
Position:				
Phone number:				
Mobile number:				
Email address:				
Is the contact person authorised to negotiate?	Yes		No	

2. Respondent's organisational profile	
Full legal name:	
Trading name: (if different)	if applicable
Name of parent company:	if applicable
Physical address:	for company insert registered office
Postal address:	
Company website:	
Location of head office:	City in New Zealand / if overseas please specify city and country
Type of entity (legal status):	sole trader / partnership / limited liability company / registered charity/other please specify
Country of residence:	insert country where organisation is resident for tax purposes

3. Please advise which function or functions of an intermediary role you wish to respond to		
Functions	Response	Instructions
Integrated Intermediary (i.e. both Financial Arranger and Management of Service Performance)	Yes/No	Answer ALL Sections in this Proposal – Areas 1,2,3 and 4
Financial Arranger	Yes/No	Answer Areas 1, 2 and 4 of the Response Template Questions: 1.1 to 1.4, and 2.1 to 2.4, and Area 4
Management of Service Performance	Yes/No	Answer Area 1, 3 and 4 of the Response Template Questions 1.1 to 1.4, and 3.1 to 3.4, and Area 4

4. Participation in pre-qualified list, but not the first pilot(s)

Indicate if your organisation wishes to apply to be part of the pre-qualified Intermediary list only, and therefore does not wish to be considered as an Intermediary provider to the first pilot(s) in 2014/15.

Pre-qualified list only
Pre-qualified list and initial pilot(s)
(delete one of the above)

2. ROI Questions and Response Template

In preparing your response, address each of the following questions that explore all areas of the evaluation criteria. These areas form the core of the assessment of your response. Refer to ROI Part One – How your response will be evaluated. Where possible please provide relevant recent examples in your response to all questions.

AREA 1 – COMMITMENT TO SOCIAL SECTOR AND UNDERSTANDING OF SOCIAL BONDS

No.	Question
1.1	<p>Describe your understanding of how a Social Bond model(s) could work in the New Zealand market; and what role your organisation could play in that model?</p> <p>Hint: We are seeking to confirm you have understood the social bonds concept, and that you have given thought to how it could work in practice in New Zealand. You should include a brief explanation of what role your organisation could play in the Social Bond model.</p>
[Enter your response here]	
1.2	<p>Demonstrate that your organisation is committed to working with the social sector organisations to improve outcomes for New Zealanders.</p> <p>Hint: We are looking for specific examples of how you have worked with social sector organisations in the past, or if you haven't, a very clear explanation on how you intend to in the near future.</p>
[Enter your response here]	
1.3	<p>Provide examples for where your organisation has worked in collaboration with other organisations to achieve a project aimed at a greater social good.</p> <p>Hint: We are looking for 2-3 examples of collaboration. Include specific information on how these examples of collaboration were formalised and who with (e.g. governance processes, funding agreements, checks and balances in processes, etc.).</p>
[Enter your response here]	
1.4	<p>Briefly outline your organisations experience working with Government Agencies and your understanding of successful relationships within Government 'culture'.</p> <p>Hint: We are seeking evidence that you have an understanding of the key workings of Government and what you consider to be critical success factors to working with Government on key projects.</p>
[Enter your response here]	

AREA 2 – FINANCIAL ARRANGER

No.	Question
2.1	Outline any relevant experience your organisation has of social finance or similar initiatives, or of helping NGOs with financial arrangements?
[Enter your response here]	
2.2	Demonstrate your organisation has a track record of financial modelling, developing financial products and raising capital. Include any specific examples that relate to the social services sector and your investor network.
[Enter your response here]	
2.3	Demonstrate your organisation has a track record of positive investor relations including communications, reporting and investor returns.
[Enter your response here]	
2.4	What would be your approach to pricing risk, as well as protecting and ensuring returns for investor funds in a social bond project?
[Enter your response here]	

AREA 3 – MANAGEMENT OF SERVICE PERFORMANCE

	Question
3.1	<p>Outline any experience your organisation has of working with non-governmental organisations (NGOs) to develop or improve their service mix in order to better meet the needs of customers/clients; or to achieve a specific service outcome.</p> <p>Hint: We are looking for specific examples.</p>
[Enter your response here]	
3.2	<p>Demonstrate that your organisation has a track record (experience and skills) to provide service performance management for social bonds.</p> <p>Hint: When answering this question, you should consider any relevant experience or skills in the following areas:</p> <p>3.2.1 Service Design</p> <ul style="list-style-type: none">• development of a new complex service programme that is built on a robust service design approach• defining service outcomes and monitoring and reporting on such outcomes• development of a measurement framework and methodology in conjunction with other parties• managing and mitigating risk <p>3.2.2 Service Performance Management</p> <ul style="list-style-type: none">• undertaking due diligence on service providers' activities• delivery of successful service programmes through a mixed service delivery model• managing providers including performance management• encouraging innovation or continuous improvement methods to benefit the end customer <p>3.2.3 Commissioning activities</p> <ul style="list-style-type: none">• development and execution of complex contracts• providing reporting to external stakeholders• working with financial arrangers <p>We would be especially interested in any examples of where you have worked in collaboration with other organisations on the above activities.</p>
3.2.1 Service Design	
[Enter your response here]	
3.2.2 Service Delivery Performance	
[Enter your response here]	
3.2.3 Commissioning Activities	
[Enter your response here]	

AREA 3 – MANAGEMENT OF SERVICE PERFORMANCE

3.3 Outline your approach to setting up the necessary resources to ensure the Social Bond programme is successful.

Hint: We are looking for high level information on key activities you plan to do in order to establish the Service Performance Management component of Social Bonds. We would expect to see a consideration of resource and skills, systems and tools, governance structure, communication, relationship management etc.).

[Enter your response here]

3.4 What would be your approach to working with NGOs to encourage innovative or new ways to deliver services to achieve outcomes more effectively?

[Enter your response here]

AREA 4 - OTHER QUESTIONS TO HELP US PLAN (FOR NOW AND INTO THE FUTURE)

The following questions are not assessed or evaluated. They are intended to give us an insight of your suitability as an Intermediary and to help us plan for future work.

Size of Pilot Project

Please indicate the size of pilot project in total cash terms you would be interested in being the Intermediary for:

Total Cash Dollar value over a 3-5 year period	In the first few Social Bonds Pilots (e.g. 2014-2015)	Once there is a track record of success (e.g. longer term)
\$0 to \$5 million	Yes/No/Maybe	Yes/No/Maybe
\$5 million to \$10 million	Yes/No/Maybe	Yes/No/Maybe
\$10 million to \$15 million	Yes/No/Maybe	Yes/No/Maybe
\$15 million to \$20 million	Yes/No/Maybe	Yes/No/Maybe
\$20 million to \$25 million	Yes/No/Maybe	Yes/No/Maybe
Over \$25 million	Yes/No/Maybe	Yes/No/Maybe
Any Comments on Value		

Potential Areas of Social Bonds

Below are some ideas on possible Social Bond Topic Areas. This is not an exhaustive list, nor intended to be a representation of the Social Outcome areas from the ROI responses we received.

Please indicate your interest on a scale of 0 to 5 (where 0= not interested, and 5 = very high level of interest) including any comments on specifics in these areas.

Sector	Target Outcome	Interest Ranking 0-5	Comments
Education	Improving early childhood education outcomes		
	Improving employment outcomes from targeted skills training		
Employment	Improving return to work outcomes for long –term unemployed		
	Improving employment outcomes for selected segments of the population		
	Improved outcomes associated with mental health		
Health	Improved outcomes associated with management of chronic illness		
	Improved physical health for selected segments of the population		
	Reducing the incidence of latter stage chronic diseases for selected segments of the population		
Justice	Reducing youth crime rates		
	Reducing recidivism		
Community and Social Development	Reducing the incidence of child poverty		
	Reducing the number of children taken into care		
	Aged Care		

Are there any other Social Outcome areas that you would be interested in that are not in the table above	
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We may need to conduct a further short survey with your organisations in the first week of June 2014 in relation to more specific social outcome areas. Who should we contact in order to complete this survey?

Name	
Position Title	
Email	
Phone	
Mobile	

Pathway to Funding

If you are interested in being a Financial Arranger or Integrated Intermediary please provide a high level indication of how you would anticipate the funding of the pilot(s) to be raised.

Investor Type	Number of Investors	Indicative Investment Size per Investor	Comments
e.g. Trusts and Foundations	e.g. 1-3	e.g. \$0.5 million ea.	
e.g. High Net Worth Individuals (HNW)	e.g. 10	e.g. \$200k ea.	
e.g. Institutional Investors	e.g. 3	e.g. \$1 million ea.	

Note: the examples contained in the table above are illustrative only.

Other

Is there anything else that you would like the project team to consider, or reflect on, in relation to development of a Social Bond pilot?

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3. Respondent's Declaration

Each Respondent is required to complete the following Declaration. For joint or consortium Proposals each party must complete a separate Declaration.

Respondent's Declaration		
Outcome	Requirement	Respondent's declaration
ROI response:	The Respondent has prepared this Proposal independently to supply the goods/services. OR jointly with [insert name of organisation #2] OR in consortium with [insert names of consortium organisations]	agree / disagree
ROI terms and conditions:	The Respondent has read and fully understands all parts to this ROI, and the ROI Terms and Conditions, and agrees to be bound by them.	agree / disagree
Collection of further information:	The Respondent authorises the Ministry to: <ul style="list-style-type: none"> a. collect any information about the respondent, except commercially sensitive pricing information, from any relevant third party, including a referee, or previous or existing client b. to use such information in the evaluation of the Proposal. 	agree / disagree
Conflict of interest:	The Respondent warrants that it has no actual, potential or perceived conflict of interest in submitting this Proposal, or entering into a contract to deliver the requirements. Where a conflict of interest arises during the ROI process the Respondent will report it immediately to the Ministry's Contact Person.	agree / disagree
Provision of Information to other Parties	The Respondent agrees to Part 3 – ROI Terms and Conditions clause 1.20 and 2.21 – relating to the provision of information to other parties.	agree / disagree
Ethics:	The Respondent warrants that in submitting this Proposal it has not: <ul style="list-style-type: none"> a. entered into any improper, illegal, collusive or anti-competitive arrangements with any competitor b. directly or indirectly, approached any representative of the NZ Government or Respondents to the Social Bond Pilot project, or Professional Service Providers to this pilot to lobby or solicit information in relation to the ROI (other than the Ministry's nominated Contact Person) c. has not attempted to influence, or provide any form of personal inducement, reward or benefit to any representative of the NZ Government. 	agree / disagree
Willingness to	The Respondent accepts that to form a Social Bond it will	agree / disagree

Respondent's Declaration		
engage and remain agile through the process	need to enter into a contract(s) with a financial arranger or service performance manager (if not an integrated service provider), investor(s) and service provider(s) and potentially other parties to deliver the service. This requires willingness to engage with other parties in order to progress through the remainder of the Social Bond pilot procurement process.	
Solution Establishment Phase	Respondent acknowledges the scope, principles and process of this phase will be finalised and formalised and requires agreement from the successful Respondent should they wish to proceed. See Part 1 – Proposed Social Bond pilot procurement process – 'Solution Establishment – phase 3 overview'.	agree / disagree
Confidential Survey	Respondent confirms that if they are requested to take part on a survey in relation to possible service outcome areas that they will treat the questions and answers given in tat survey as commercially sensitive	agree / disagree
Offer validity period:	The Respondent confirms that this Proposal, remains open for acceptance for a period of 24 months from the Closing Date, as stated in Part 3 - ROI Terms and Conditions, clause 2.18.	agree / disagree
Declaration:	The Respondent declares that in preparing this Proposal it: <ul style="list-style-type: none"> a. has provided complete and accurate information in all parts of the Proposal, in all material respects b. has secured all appropriate authorisations to submit this Proposal and is not aware of any impediments to its ability to enter into a formal contract to deliver the proposed services in this ROI. <p>The Respondent understands that should it be successful the falsification of information, supplying misleading information or the suppression of material information in relation to this ROI will be grounds for your elimination from any further process in relation to this ROI .</p>	agree / disagree
<p>DECLARATION</p> <p>This Proposal has been approved, and is signed by, a representative of the Respondent who has the authority to do so. This representative is named below.</p> <p>This representative declares that the particulars provided above and in the attached Proposal documents are accurate, true and correct.</p>		
Signature:		
Full name:		
Title / position:		
Date:		