



Part 3 Selection Questionnaire

Contract Reference

TTDA1918

Contract Title

Claylands Cross Development

Procurement Procedure

Restricted

Maximum Period of Contract

2 years

Return Date

6 August 2018

Return Time

12:00 Noon

Return To

www.supplyingthesouthwest.org.uk

Applicant Name

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Stage One – Standardised Selection Questionnaire

A. Information for Potential Suppliers

Potential Supplier Information and Exclusion Grounds: Part 1 & Part 2

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion¹. If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

A completed declaration of Part 1 and Part 2 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently we require all the organisations that you will rely on to meet the selection criteria to provide a completed Part 1 and Part 2. For example these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

When completed, this form is to be sent back to the contact point given in the procurement documents along with the selection information requested in the procurement documentation.

Alternatively you can submit the completed Exclusion Grounds of the [EU ESPD \(Part III\)](#) as a downloaded XML file to the buyer contact point along with the selection information requested in the procurement documentation.

Supplier Selection Questions: Part 3

The procurement document will provide instructions on the selection questions you need to respond to and how to submit those responses. If you are bidding on behalf of a group (consortium) or you intend to use sub-contractors, you should complete all of the selection questions on behalf of the consortium and/or any sub-contractors.

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay we reserve the right to amend the contract award decision and award to the next compliant bidder.

Consequences of Misrepresentation

¹ For the list of exclusion please see:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf

If you seriously misrepresent any factual information in filling in the Selection Questionnaire, and so induce an authority to enter into a contract, there may be significant consequences. You may be excluded from the procurement procedure, and from bidding for other contracts for three years. If a contract has been entered into you may be sued for damages and the contract may be rescinded. If fraud, or fraudulent intent, can be proved, you or your responsible officers may be prosecuted and convicted of the offence of fraud by false representation, and you must be excluded from further procurements for five years

B. Notes for Completion

1. The “authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. For Part 1 and Part 2 every organisation that is being relied on to meet the selection criteria must complete and submit the self-declaration.
6. [All sub-contractors are required to complete Part 1 and Part 2².] ***This paragraph is optional for inclusion if a decision has been made to request a self-declaration of the exclusion grounds from sub-contractors.***
7. For answers to Part 3 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the

² See PCR 2015 regulations 71 (8)-(9)

questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.

The authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

c. Questionnaire

Part 1. Potential Supplier Information

Section 1. Potential Supplier Information

Question Number	Question	Response				
1.1(a)	Full name of the potential supplier submitting the information					
1.1(b) – (i)	Registered office address (if applicable)					
1.1(b) – (ii)	Registered website address (if applicable)					
1.1(c)	Trading status:					
	a) Public Limited Company					
	b) Limited Company					
	c) Limited Liability Partnership					
	d) Other Partnership					
	e) Sole Trader					
	f) Third Sector					
	g) Other (please specify your trading status)					
1.1(d)	Date of registration in country of origin					
1.1(e)	Company registration number (if applicable)					
1.1(f)	Charity registration number (if applicable)					
1.1(g)	Head office DUNS number (if applicable)					
1.1(h)	Registered VAT number					
1.1(i) - (i)	If applicable, is your organisation registered with the appropriate	<table border="1"> <tr> <td>Yes</td><td></td></tr> <tr> <td>No</td><td></td></tr> </table>	Yes		No	
Yes						
No						

	professional or trade register(s) in the member state where it is established?	N/A		
1.1(i) - (ii)	If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s).			
1.1(j) - (i)	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	Yes		
		No		
1.1(j) - (ii)	If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this.			
1.1(k)	Trading name(s) that will be used if successful in this procurement			
1.1(l)	Relevant classifications (state whether you fall within one of these, and if so which one):			
	a) Voluntary Community Social Enterprise (VCSE)			
	b) Sheltered Workshop			
	c) Public Service Mutual			
1.1(m)	Are you a Small, Medium or Micro Enterprise (SME) ³ ?	Yes		
		No		
1.1(n)	Details of Persons of Significant Control (PSC) where appropriate ⁴ :			
	Name:			
	Date of birth:			
	Nationality:			
	Country, state or part of the UK where the PSC usually lives:			
	Service address:			
	The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used):			

³ See EU definition of SME: <http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/>

⁴ UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance.](#)

	– Which conditions for being a PSC are met (Please enter N/A if not applicable):	
	– Over 25% up to (and including) 50%	
	– More than 50% and less than 75%	
	– 75% or more ⁵	
1.1(o)	Details of immediate parent company (please enter N/A if not applicable):	
	– Full name of the immediate parent company	
	– Registered office address (if applicable)	
	– Registration number (if applicable)	
	– Head office DUNS number (if applicable)	
	– Head office VAT number (if applicable)	
1.1(p)	Details of ultimate parent company (please enter N/A if not applicable):	
	– Full name of the ultimate parent company	
	– Registered office address (if applicable)	
	– Registration number (if applicable)	
	– Head office DUNS number (if applicable)	
	– Head office VAT number (if applicable)	
Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significance in control of them.		

⁵ Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award.

Please provide the following information about your approach to this procurement:

Section 1. Bidding Model			
Question Number	Question	Response	
1.2(a) – (i)	Are you bidding as the lead contact for a group of economic operators?	Yes	<input type="text"/>
		No	<input type="text"/>
		<p>If yes please provide details listed in questions 1.2(a) – (ii), (a) – (iii) and to 1.2(b) – (i), (b) – (ii), 1.3, Section 2 and 3.</p> <p>If no, and you are a supporting bidder please provide the name of your group at 1.2(a) – (ii) for reference purposes and complete 1.3, Section 2 and 3</p>	
1.2(a) – (ii)	Name of group of economic operators (if applicable)		
1.2(a) – (iii)	Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded.		
	If you do not propose to form a single legal entity, please explain the legal structure.		
1.2(b) – (i)	Are you, or if applicable, the group of economic operators proposing to use sub-contractors?	Yes	<input type="text"/>
		No	<input type="text"/>

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1.2(b) – (ii)	If you responded yes to 1.2(b) – (i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.			
Name:				
Registered Address				
Trading Status:				
Company Registration Number				
Head Office DUNS Number (if applicable)				
Registered VAT Number				
Type of organisation				
SME (Yes/No)				
The role each sub-contractor will take in providing the works and / or supplies e.g. key deliverables				
The approximate % of contractual obligations assigned to each sub-contractor				

Contact Details and Declaration

I declare that to the best of my knowledge the answers submitted and information contained in this document are correct and accurate.

I declare that, upon request and without delay I will provide the certificates or documentary evidence referred to in this document.

I understand that the information will be used in the selection process to assess my organisation's suitability to be invited to participate further in this procurement.

I understand that the authority may reject this submission in its entirety if there is a failure to answer all the relevant questions fully, or if false/misleading information or content is provided in any section.

I am aware of the consequences of serious misrepresentation.

Section 1 Contact Details and Declaration

Question Number	Question	Response
1.3(a)	Contact Name:	
1.3(b)	Name of Organisation:	
1.3(c)	Role in Organisation:	
1.3(d)	Phone number:	
1.3(e)	E-mail Address:	
1.3(f)	Postal Address:	
1.3(g)	Signature (electronic is acceptable):	
1.3(h)	Date:	

Part 2. Exclusion Grounds

Please answer the following questions in full. Note that every organisation that is being relied on to meet the selection must complete and submit the Part 1 and Part 2 self-declaration.

Section 2 Grounds for Mandatory Exclusion

Question Number	Question	Response
2.1(a)	<p>Regulation 57(1) and (2)</p> <p>The detailed grounds for mandatory exclusion of an organisation are set out on this web page, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has the powers of representation, decision or control in the organisation who has been convicted anywhere in the world of any of the offences within the summary below and listed on the web page.</p>	
	Participation in a criminal organisation:	Yes
	If yes please provide details at 2.1(b)	No
	Corruption:	Yes
	If yes please provide details at 2.1(b)	No
	Fraud:	Yes
	If yes please provide details at 2.1(b)	No
	Terrorist offences, or offences linked to terrorist activities:	Yes
	If yes please provide details at 2.1(b)	No
	Money laundering or terrorist financing:	Yes
	If yes please provide details at 2.1(b)	No
	Child labour and other forms of trafficking in human beings:	Yes
	If yes please provide details at 2.1(b)	No
2.1(b)	<p>If you have answered yes to question 2.1(a), please provide further details.</p> <p>Date of conviction, specify which of the grounds listed the conviction was for and the reasons for conviction;</p>	

	Identity of who has been convicted: If the relevant documentation is available electronically please provide the web address, issuing authority and precise reference of the documents:		
2.2	If you have answered yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning)	Yes	
		No	
2.3(a)	Regulation 57(3) Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?	Yes	
		No	
2.3(b)	If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines:		

Please Note: The Authority reserves the right to use its discretion to exclude a potential supplier where it can demonstrate by any appropriate means that the potential supplier is in breach of its obligations relating to the non-payment of taxes or social security contributions.

Section 3 Grounds for Discretionary Exclusion			
Question Number	Question	Response	
3.1	<p>Regulation 57(8)</p> <p>The detailed grounds for discretionary exclusion of an organisation are set out on this web page, which should be referred to before completing these questions.</p> <p>Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p>		
3.1(a)	Breach of environmental obligations? If yes please provide details at 3.2	Yes	
		No	
3.1(b)	Breach of social obligations? If yes please provide details at 3.2	Yes	
		No	
3.1(c)	Breach of labour law obligations? If yes please provide details at 3.2	Yes	
		No	
3.1(d)	Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? If yes please provide details at 3.2	Yes	
		No	
3.1(e)	Guilty of grave professional misconduct? If yes please provide details at 3.2	Yes	
		No	
3.1(f)	Entered into agreements with other economic operators aimed at distorting competition? If yes please provide details at 3.2	Yes	
		No	
3.1(g)		Yes	
		No	

	Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? If yes please provide details at 3.2		
3.1(h)	Been involved in the preparation of the procurement procedure? If yes please provide details at 3.2	Yes	
		No	
3.1(i)	Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? If yes please provide details at 3.2	Yes	
		No	
3.1(j)	Please answer the following statements:		
3.1(j) – (i)	The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria. If yes please provide details at 3.2	Yes	
		No	
3.1(j) – (ii)	The organisation has withheld such information. If yes please provide details at 3.2	Yes	
		No	
3.1(j) – (iii)	The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. If yes please provide details at 3.2	Yes	
		No	
3.1(j) – (iv)	The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award. If yes please provide details at 3.2	Yes	
		No	
3.2	If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning):		

For Submission

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Part 3. Selection Questions⁶

Section 4 Economic and Financial Standing			
Question Number	Question	Response	
4.1	Are you able to provide a copy of your audited accounts for the last 2 years, if requested? If no, can you provide one of the following, answer with Y/N in the relevant box:	Yes	
		No	
	(a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation.	Yes	
		No	
	(b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position.	Yes	
		No	
	(c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).	Yes	
		No	
4.2(a)	Where we have specified a minimum level of economic and financial standing and/ or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out.	Yes	
		No	
4.2(b)	If you have answered No to question 4.2(a) please provide an explanation for this, e.g. your organisation is a new start-up:		

⁶ [See Action Note 8/16 Updated Standard Selection Questionnaire](#)

Section 5 If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:

Name of Organisation:			
Relationship to the Supplier completing these questions:			
5.1	Are you able to provide parent company accounts if requested to at a later stage?	Yes	
		No	
5.2	If yes, would the parent company be willing to provide a guarantee if necessary?	Yes	
		No	
5.3	If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Yes	
		No	

Section 6 Technical and Professional Ability

6.1 Relevant Experience and Contract Examples

Please provide details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to our requirement. VCSEs may include samples of grant-funded work. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years.

The named contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.

Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).

Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.

If you cannot provide examples see question 6.3

	Contract 1	Contract 2	Contract 3
Name of Customer Organisation:			
Point of Contact in the Organisation:			
Position in the Organisation:			
E-mail Address:			

Brief Description of Contract:			
Contract Start Date:			
Contract Completion Date:			
Estimated Contract Value			
6.2	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s)</p> <p>Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries)</p>		
6.3	<p>If you cannot provide at least one example for question 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under contract.</p>		

Section 7 Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015⁷

7.1	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	Yes	
		No	
7.2	If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Yes	
		No	
	If you have answered yes, please provide the relevant URL:		
	If you have answered no, please provide an explanation:		

⁷ [Procurement Policy Note 9/16 Modern Slavery Act 2015](#)

Section 8 Additional Questions

Suppliers who self-certify that they meet the requirements to these additional questions will be required to provide the evidence of this if they are successful at contract award stage.

8.1	Insurance		
a)	Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:	Yes	
		No	
	Employer's (Compulsory) Liability Insurance*	£5m	
	Public Liability Insurance =	£10m	
	Professional Indemnity Insurance =	£10m	
	Product Liability Insurance =	N/A	
	*It is a legal requirement that all companies hold Employer's (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders.		
8.2	Not used		
8.3	Project Specific Questions to Assess Technical and Professional Ability – Short Listing Questions		
Question Number	Question	% Score	
1	Please identify specific and relevant skills and expertise that you would be able to bring to the project No more than 4 sides of A4	35%	
	Response:		
2	Please identify specific skills and expertise around working on highways/junction works and brownfield site developments that you would be able to bring to the project No more than 4 sides of A4	35%	
	Response:		

3	<p>Please provide a statement on what your company can bring to this project for better programming and cost monitoring and ultimately greater programming and cost certainty</p> <p>No more than 4 sides of A4</p>	30%
	<p>Response:</p>	

Part 4. PAS91 Modules

1. Core Question Module C4: Health and Safety Policy and Capability

C4-Q1	C4-Q1-1 Exemptions and pertinent question selection: If your organisation meets the criteria identified in one of C4-Q1-1a) to C4-Q1-1c) below and you can provide the supporting evidence required, you do not need to complete questions C4-Q2 to C4-Q17 of this question module. If exemption is not claimed, please move to C4-Q2	Exemption Claimed (Please tick as appropriate)	Please provide copy of certificates or other supporting information
	C4-Q1-1a) You have within the last twelve months successfully completed a prequalification application undertaken by an assessment provider able to demonstrate that its information gathering process conforms to PAS 91.	<input type="checkbox"/>	
	C4-Q1-1b) you have within the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum (see Annex C).	<input type="checkbox"/>	
	C4-Q1-1c) You hold a UKAS or equivalent, accredited independent third party certificate of compliance with BS OHSAS 18001.	<input type="checkbox"/>	
C4-Q2	Role related question selection: The questions asked in C4-Q3 to C4-Q17 are appropriate for particular construction roles and have been colour coded accordingly to assist identification. Please indicate below which role(s) best describes your organisations activity and then only provide responses to the questions colour coded to the role(s) you have selected. <i>NOTE If your organisation will potentially fill more than one role (e.g. Design and Build), please provide responses to the questions applying to all relevant roles (e.g. Designer and Contractor)</i>	<input type="checkbox"/>	
	ROLE IDENTIFIED	YES	NO
	C4-Q2-a) Contractor or Sub-Contractor (respond to unshaded questions C4-Q3 to C4-Q14)	<input type="checkbox"/>	<input type="checkbox"/>
	C4-Q2-b) Designer (respond to red shaded question C4-Q15 to C4-Q17)	<input type="checkbox"/>	<input type="checkbox"/>
	C4-Q2-c) CDM–Coordinator (respond to green shaded questions V4-Q17 to C4-Q20)	<input type="checkbox"/>	<input type="checkbox"/>

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q3	Are you able to demonstrate that you have a policy and organisation for health and safety (H&S) management?	Please provide evidence of a periodically reviewed H&S policy, endorsed by the chief executive officer. The policy should be relevant to the anticipated nature and scale of activity to be undertaken and set out responsibilities for H&S management at all levels in the organisation (Organisations with fewer than 5 employees, please see Note 2 to this Table)	<input type="checkbox"/>	<input type="checkbox"/>	

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q4	Are you able to describe your arrangements for ensuring that your H&S measures are effective in reducing/ preventing incidents, occupational ill-health and accidents?	Please provide details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken and show clearly how these arrangements are communicated to the workforce. (Organisations with fewer than 5 employees, please see Note 2 to this Table)	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q5	Do you have access to competent H&S advice/assistance – both general and construction/sector related?	Please provide evidence of how your organisation obtains access to competent H&S advice. NOTE Access to competent in-house advice, in whole or part, is preferred. It is essential that H&S advisor(s) are able to provide general H&S advice and that (from the same source or elsewhere) advice relating to construction H&S issues is accessible as required.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q6	Do you have a policy and process for providing your staff/ workforce with training and information appropriate to the types of activity that your organisation is likely to undertake?	Provide evidence that your organisation has in place and implements, training arrangements to ensure that its staff/ workforce has sufficient skills and understanding to discharge their various duties. This should include refresher training (e.g. a CPD programme) that will keep the workforce updated on good H&S practice applicable throughout the company.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q7	Does your staff/ workforce have H&S or other relevant qualifications and experience sufficient to implement your H&S policy to a standard appropriate to the activity that your organisation is likely to undertake.	You will be expected to demonstrate and provide evidence on request, that your staff/ workforce possesses suitable qualifications and experience for the tasks assigned to them, unless there are specific situations where they need to work under controlled and competent supervision e.g. trainees.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q8	Do you check, review and where necessary improve your H&S performance?	Please provide evidence that your organisation has in place and implements, an ongoing system for monitoring H&S procedures on an ongoing basis and for periodically reviewing and updating that system as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q9	Do you have procedures in place to involve your staff/ workforce in the planning and implementation of H&S measures?	Please provide evidence that your organisation has in place and implements a means of consulting with its staff/ workforce on H&S matters and show how staff/ workforce comments, including complaints are taken into account.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q10	Do you routinely record and review accidents/ incidents	Please provide access to records of accident rates and frequency for all RIDDOR reportable (see Note 5 to this Table) - events for at least the last three years. Demonstrate that your organisation	<input type="checkbox"/>	<input type="checkbox"/>	

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
	and undertake follow-up action?	has in place a system for reviewing significant incidents, and recording action taken as a result including action taken in response to any enforcement.			
C4-Q11	Do you have arrangements for ensuring that your suppliers apply H&S measures to a standard appropriate to the activity for which they are being engaged?	You will be expected to demonstrate and provide evidence on request that your organisation has and implements, arrangements for ensuring that H&S performance throughout the whole of your organisation's supply chain is appropriate to the work likely to be undertaken.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q12	Do you operate a process of risk assessment capable of supporting safe methods of work and reliable project delivery where necessary?	<p>You will be expected to demonstrate and provide evidence on request that your organisation has in place and implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work ('method statements'). You should be able to provide indicative examples. The identification and control of any significant occupational health (not just safety) issues should be prominent.</p> <p>(Organisations with fewer than 5 employees, See Note 2 to this Table)</p> <p>NOTE Risk assessments should focus on the needs of the particular job and should be proportionate to the risks arising from the work to be undertaken. In addition to ensuring risk management, the need to reduce documentary requirements on micro-businesses in particular should be taken into account by buyers and assessment providers. Excessive bureaucracy associated with competency assessment can obscure the real risk issues and divert effort away from them.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q13	Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?	Please provide explanation of how co-operation and co-ordination of the work is achieved in practice, and how other organisations are involved in drawing up method statements/safe systems of work etc. including arrangements for response to emergency situations. This should include details of how comments and input from your suppliers will be taken into account and how external comments including any complaints, will be responded to.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q14	Do you have arrangements for ensuring that on-site welfare provision meets legal requirements and the needs / expectations of your employees?	You will be expected to demonstrate and provide evidence on request about how you ensure suitable welfare facilities will be in place before starting work on site, whether provided by a site-specific arrangement or your own organisational measures.	<input type="checkbox"/>	<input type="checkbox"/>	

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q15 Designers only	Do you ensure that you and your workforce have the appropriate capabilities to enable you and them to discharge your / their legal duties under health and safety legislation?	Provide evidence of your CPD programme and / or examples of training and development plans (which may include in-house training) Please provide evidence of how your organisation obtains H & S information, including how you maintain your technical knowledge and understanding of developments in construction .Provide commentary on how you match individual capabilities with the work undertaken	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q16 Designers only	Do you have and implement, arrangements for meeting the designer duties under the Construction Design and Management Regulations?	<p>Please provide evidence showing how you address C4-Q16-1 to C4-Q16-4 below. Please provide examples for each showing how risk was reduced through design.</p> <p><i>NOTE Emphasis should be on practical measures that reduce particular risks arising from the design, not on lengthy procedural documentation highlighting generic risks.</i></p> <p>C4-Q16-1 ensure co-operation and co-ordination of design work within the design team and with other designers/contractors;</p> <p>C4-Q16-2 ensure hazards are eliminated and show how remaining risks are managed, (with reference to buildability, maintainability and use);</p> <p>C4-Q16-3 ensure that any structure that will be used as a workplace will meet relevant requirements of the Workplace (Health, Safety and Welfare) Regulations 1992;</p> <p>C4-Q16-4 manage design changes.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q17 Designers only	Do you check, review and where necessary improve your H & S performance?	Please provide evidence that your organisation has in place and implements, an ongoing system for monitoring H&S procedures and for periodically reviewing and updating that system as necessary for example through project design review (during and post-completion).	<input type="checkbox"/>	<input type="checkbox"/>	

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q18 CDM coordinators only	Are you able to provide evidence of your field of knowledge and experience in the design and construction process?	<p>Please provide evidence, in the form of real examples rather than by generic documents, of actual attainments which should indicate competence as in the case of:</p> <ul style="list-style-type: none"> Professionally Qualified to Chartered level (Note 6); 	<input type="checkbox"/>	<input type="checkbox"/>	

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
		<ul style="list-style-type: none"> Membership of a relevant construction institution, e.g. CIAT; CIBSE; CIOB; ICE; IET; IMechE; IStructE; RIBA; RICS. 			
C4-Q19 CDM coordinators only	Are able to provide evidence of your knowledge and experience of H&S in construction?	Please provide examples of actual attainments which should indicate competence, as in the case of validated CPD in this field and typical additional qualifications, e.g. NEBOSH Construction Certificate; Member of health and safety register administered by ICE (Note 7); Membership of the Association for Project Safety; Membership of the Institution of Construction Safety.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q20	Do you review and develop your effectiveness at delivering the coordination role?	Please provide evidence that your organisation has in place and implements an ongoing system for monitoring performance including post project review.	<input type="checkbox"/>	<input type="checkbox"/>	

Notes to Module C4

NOTE 1 Compatibility with Approved Code of Practice (ACoP) and the Construction (Design and Management) Regulations 2007.

The core questions in module 4 are compatible with the questions on supplier capability shown in the 'Stage 1' core-criteria of the HSE's Approved Code of Practice (ACoP) to the Construction (Design and Management) Regulations 2007 (CDM 2007). The HSE CDM 2007 ACoP recommends that health and safety competency assessments of suppliers should be carried out as a 2 stage process:

- **Stage 1:** An assessment of the supplier's organisation and arrangements for health and safety, to determine whether these are sufficient to enable the supplier to carry out the activity safely and without risk to health. Stage 1 assessments are within the scope of PAS 91.
- **Stage 2:** An assessment of the supplier's experience and track record, to establish that it is capable of carrying out the activity required (i.e. project, activity or service specific enquiries), that it recognises its limitations and how these should be overcome and it appreciates the risks associated with the activity and how these should be effectively controlled. Stage 2 assessments are outside the scope of PAS 91, although in the public sector only stage 2 questions relating to previous experience will be asked in the SQ if required by law.

NOTE 2 Organisations with fewer than five employees are not legally required to have a documented policy statement. If a supplier is in this category it does not have to write down its policy, organisation or arrangements. However, it does need to be able to demonstrate that its policy and arrangements are adequate in relation to the type of activity likely to be undertaken and assessments of competence will be made easier when procedures are clear and accessible.

Note 3 Assessors should not necessarily require evidence of all the examples cited in column 3 of the Table. Suppliers should only be required to produce enough evidence to show that they meet the criteria described, taking account of the nature of projects likely to be involved and the risks which the activity entails. This requires assessors to make a judgement as to whether the evidence provided meets the standard to be achieved. If that judgement is reasonable, and clearly based on the evidence requested assessors cannot be criticised if the supplier appointed subsequently proves not to be competent when carrying out the activity.

NOTE 4 Asking the questions in the module above does not remove the buyer's requirement to make further enquiries about the supplier's health and safety capability as required for specific projects, services or other activities. These may include, for example, an assessment of the supplier's experience to establish that it:

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- *is capable of carrying out the activity;*
- *recognises its limitations and how these should be overcome; and*
- *it appreciates the risks involved and how these should be reduced.*

NOTE 5 RIDDOR: the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995.

NOTE 6 The terms 'Designer' and CDM co-ordinator' relate to the professional function to be provided by the supplier, not to the type of organisation. These questions align with the requirements for evidence in the ACoP to the CDM Regulations 2007. They cover the Stage 1 assessment of capability only (CDM 2007).

NOTE 7 Chartered membership of a recognised construction-related institution.

NOTE 8 Open to any member of a construction-related institution.

2. Optional Question Module O1: Equal Opportunity and Diversity Policy and Capability

Q. No.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O1-Q1	As an Employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010? Applies to both public and private procurement	Please provide copies of:	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1-1 relevant instructions or written statement/evidence of relevant actions	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1-2 relevant guidance or written statement/evidence of relevant actions.	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1-3 relevant policies/literature or written statement/evidence of relevant actions	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1 4 evidence of where you believe these policies have made a difference	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q2	Is it your policy as an employer to comply with anti-discrimination legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others?	No supporting evidence required.	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q3	In the last three years has any finding of unlawful discrimination been made against your organisation by any court or industrial or employment tribunal or equivalent body?	Please provide details of any findings.	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q4	In the last three years has your organisation been the subject to a compliance action by the Equality and Human Rights Commission or an	Please provide details of any investigations.	<input type="checkbox"/>	<input type="checkbox"/>	

Q. No.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
	equivalent body on grounds of alleged unlawful discrimination?				
O1-Q5	If the answer to question 3 and / or 4 is "Yes", what steps did your organisation take as a result of that finding or investigation?	Please provide details/evidence of remedial action.			
O1-Q6	Do you actively promote good practice in terms of eliminating discrimination in all forms through: O1-Q7-1 guidance to your employees/ suppliers concerned with recruitment, training and promotion? O1-Q7-2 making guidance or policy documents concerning how the organisation embeds equality and diversity available to employees/ sub-contractors, recognised trade unions or other representative groups of employees? O1-Q7-3 appropriate recruitment advertisements or other literature?	Please provide: In respect of O1-Q7-1 , copies of any relevant instructions or written statement/evidence of relevant actions. In respect of O1-Q7-2 , copies of any relevant guidance or written statement/evidence of relevant actions. In respect of O1-Q7-3 , copies of any relevant policies/literature or written statement/evidence of relevant actions.			

3. Optional Question Module O2: Environmental Management Policy and Capability

O2-Q1	Exemption: The questions in this module need not be completed if your organisation holds a UKAS (or equivalent) accredited independent third party certificate of compliance with BS EN ISO 14001 or a valid EMAS ⁸ certificate, and can provide the supporting evidence requested.	Exemption Claimed Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>If yes, please provide copy of certificate.</i>
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⁸ EMAS is the European Eco-management and Audit Scheme, sponsored by the European Commission (see http://ec.europa.eu/environment/emas/index_EN.htm)

Q. No.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O2-Q2	Do you have a documented policy and organisation for the management of construction-related environmental issues?	Please provide evidence that you or your organisation has an environmental management policy authorised by the Chief executive or equivalent and regularly reviewed. The policy should be relevant to the nature and scale of the activity and set out the responsibilities for environmental management throughout the organisation	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q3	Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing / preventing significant impacts on the environment?	Please provide evidence that your organisation's environmental policy implementation plan provides information as to how the company aims to discharge relevant legal responsibilities and provides clear indication of how these arrangements are communicated to the workforce, in relation to environmental matters including: <ul style="list-style-type: none"> • sustainable materials procurement; • waste management; • energy management. This should include the arrangements for responding to, monitoring and recording environmental incidents and emergencies and complaints.	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q4	Do you have arrangements for providing employees who will engage in construction, with training and information on construction-related environmental issues?	Please provide evidence that your organisation has in place and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to carry out their various duties. <p>This should include a programme of refresher training that will keep the workforce updated on relevant legal requirements and good environmental management practice.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q5	Do you check, review and where necessary improve your environmental management performance?	Please provide evidence that your organisation has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval.	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q6	Do you have arrangements for ensuring that any suppliers you engage apply environmental protection measures that are appropriate to the activity for which they are being engaged	Please provide evidence that your organisation has procedures for monitoring supplier's environmental management arrangements and ensuring that environmental performance appropriate for the activity to be undertaken is delivered throughout the whole of your organisation's supply chain.	<input type="checkbox"/>	<input type="checkbox"/>	

4. Optional Question Module O3: Quality Management Policy and Capability

O3-Q1	Exemption: The questions O3-Q2 to O3-Q6 , need not be completed if your organisation holds a UKAS (or equivalent) accredited independent third party certificate of compliance with BS EN ISO 9001 and can provide the supporting evidence requested.	Exemption Claimed Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>If yes, please provide copy of certificate.</i>
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Q. No.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O3-Q2	Do you have a policy and organisation for quality management?	Please provide evidence that your organisation has and implements a quality management policy that is authorised by the Chief Executive or equivalent and periodically reviewed at a senior management level. The policy should be relevant to the nature and scale of the work to be undertaken and set out responsibilities for quality management throughout the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q3	Do you have arrangements for ensuring that your quality management, including the quality of construction output and general performance, is effective in reducing/ preventing incidents of sub-standard delivery?	Please provide evidence that your organisation keeps copies of documentation setting out quality management organisation and procedures that meet currently agreed good practice. These should include the arrangements for quality management throughout the organisation. They should set out how the company will carry out its policy, with a clear indication of how the arrangements are communicated to the workforce.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q4	Do you have arrangements for providing your workforce with quality-related training and information appropriate to the type of work for which your organisation is likely to bid?	Please provide evidence that your organisation has in place and implements training arrangements to ensure that its workforce has sufficient skills and understanding to discharge their various responsibilities. These arrangements should include a programme of training that will keep the workforce up to date with required knowledge about quality related issues, including copies of job profiles; training manuals and training records.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q5	Do you have procedures for periodically reviewing, correcting and improving quality performance?	Please provide evidence that your organisation has a system for monitoring quality management procedures on an on-going basis. Your organisation should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance.	<input type="checkbox"/>	<input type="checkbox"/>	

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Q. No.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O3-Q6	Do you have arrangements for ensuring that your own suppliers apply quality management measures that are appropriate to the work for which they are being engaged?	Please provide evidence that your organisation has arrangements for monitoring supplier's quality management arrangements and ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your organisations supply chain.	<input type="checkbox"/>	<input type="checkbox"/>	