# Project Overview

Sevenoaks District Council (the Employer) has obtained planning permission for demolition and redevelopment of 27-37 High Street, Swanley BR8 8AE to provide a new build high quality three-storey development of 17 apartments (6x1B/1P, 6x1B/2P, 5x2 B/3P) to NDSS for private sale, a business hub (B1) and garden and parking at the rear. An Independent assessor accepted that the project is unable to provide affordable housing. Documents submitted to support the planning application can be accessed on the Council’s planning portal reference 19/03543/FUL including the RIBA stage 3 developed design.

This PQQ relates to the new build works. The demolition and enabling works is being tendered as a separate contract to precede the new build works.

The Employer is seeking to optimise the return on its capital investment in building the 17 apartments for sale.

The business hub consists of 250 sqm of flexible space off the High Street aimed at start-ups, home workers and people who might otherwise have had to commute for work. The project includes the fit out of the business hub excluding loose FFE.

The Employer will pay the Community Infrastructure Levy before commencement of the development.

The Employer is procuring the new build works via a restricted competitive tender process. Suitably experienced contractors should submit a Pre-Qualification Questionnaire (PAS 91). After the shortlisting process up to 5 contractors will be Invited To Tender and submit their bid based on the RIBA stage 4 technical design issued to them.

The Employer’s decision to proceed with the scheme is subject to Council and government grant (Getting Building Fund) approval expected in November.

The Employer requires that the new build works start on site as soon as possible after the demolition and enabling works.

# The Employer proposes to use the JCT Design & Build Contract 2016 with amendments by the Council.

# Pre-Qualification Questionnaire

The Council requires the information sought in this PQQ as a first step in selecting applicants to tender for the project.

Portal and Communications Protocol

PQQ Responses must be submitted via Mytenders (the **Portal**).

The Portal is freely accessible to Applicants and is not subject to any paid membership or other charges. Use of this system does not require the purchase of high specification IT equipment or connections, or high-level personal IT skills/capabilities. Applicants are advised to complete their PQQ Response in advance of the submission deadline to allow time to request any required guidance. It is the responsibility of Applicants to ensure they are familiar with the Portal and allow sufficient time for submitting PQQ Responses.

The Council is not responsible for inaccurate or incomplete contact information input into the Portal by Applicants. It is the responsibility of Applicants to ensure that the contact information it has entered for its organisation on the Portal is accurate and kept up to date. Important notification messages relevant to this tender exercise may not be received by an Applicant should its contact information be inaccurate.

If at any stage an Applicant needs to update its contact information held for its organisation this can be achieved by submitting it via the Portal. The Council is under no obligation to respond/follow up on ‘out of the office’ messages and Applicants will need to make appropriate arrangements to deal with absences.

For any technical advice or assistance relating to the e-tendering system please see the help page on the Portal website (<https://www.mytenders.co.uk/sitehelp/help_main.aspx>) or call them on 0800 222 9006. If for any reason the Portal is not available, then please contact the Council’s Senior Solicitor, David Lagzdins by email ([legal@sevenoaks.gov.uk](mailto:legal@sevenoaks.gov.uk)) or telephone (01732 227 350).

Clarification questions

During the PQQ period, Applicants are able to submit clarification questions to the Council via the Portal. The Portal provides an effective and auditable trail and therefore must be used for all queries and requests for clarification regarding this procurement. Applicants' queries will be secure and cannot be seen by any other Applicants. The Council will publish the questions and the response, in a suitably anonymous form, via the Portal to all Applicants before the closing date for the receipt of PQQ Responses.

# The Council will endeavour to answer all clarification queries about this PQQ, provided that such queries are received by 12:00:00 hours on 2nd October 2020. Applicants must clearly indicate, when submitting a question, which (if any) part of its question it views as confidential and applicable only to the Applicant submitting the question. If the Council does not agree that the question is confidential and applicable only to the Applicant, the Applicant will be given the right to withdraw the question without it being answered. Otherwise, both the question and Council's response will be circulated to all Applicants.

# Instructions for Completion

These questions are based on PAS 91:2013+A1:2017.

Responses to this PQQ must be submitted by **12:00:00 hours 23rd October 2020.** No late or incomplete submissions will be accepted. Failure to return a properly completed PQQ will invalidate your submission.

The PQQ questions are set out in Annex 1. Please complete all parts of the questionnaire fully, providing all the necessary supplementary information. PQQ Responses must be submitted to the Council by uploading the documents to the Portal by the deadline noted above.

Applicants should answer all questions as accurately and concisely as possible. Answers should be clear and well-presented. Where a question is not relevant to the Applicant's organisation, this should be indicated, with an explanation.

Questions should be answered in English and all supporting documentation should be in English.

The Council may ask for further information at any point up to the entry into the Contract to satisfy itself that an Applicant continues to qualify. Failure to provide such information may lead to the Applicant being disqualified from further consideration.

If there are any significant changes to the information supplied in any PQQ Response after it has been submitted, the Applicant must let the Council know as soon as reasonably practicable and supply any relevant information or details requested by the Council within any timescales imposed. The Applicant may not be invited to proceed with the tender exercise if relevant information and details have not been provided before the relevant deadline with sufficient time for the Council to conduct a re-assessment as may be required. In any event, should an Applicant's circumstances change between the submission of the PQQ Response and award of the Concession Contract, the Applicant must immediately notify the Council who shall be entitled to re-evaluate in line with the published selection criteria. If, on the basis of such re-evaluation, the Applicant would not have been selected then the Council may remove that Applicant from this tender exercise.

The Council reserves the right to disqualify any Applicant if it becomes aware that the Applicant did not qualify at the time their PQQ Response was submitted or that the Applicant no longer qualifies, at any time before the formal entry into the Concession Contract.

The Council does not accept any liability to any Applicant in respect of this tender exercise, the PQQ or any supporting document. Applicants are reminded that the Council may at any time amend or cease this tender exercise. No part of this tender exercise is intended to be an offer of contract. No Concession Contract will be entered into the Council other than where a written Concession Contract is duly signed by the Council.

Please answer every question. If the question does not apply to you please write N/A; if you don’t know the answer please write N/K. Where requested, or if absolutely necessary, Contractors shall attach any supporting documents to this PQQ marking clearly on all such documents the name of their organisation and the number of the question in this application form to which the documents refer.

**Evidence**

Some documentary evidence is required to be produced but not all questions require supporting documents up front at this stage. However, the Council may ask to see these documents at a later stage, so it is advisable that Applicants ensure they can be made available upon request.

Evaluation process

PQQ Responses will be evaluated in accordance with the criteria set out at Annex 2.

PQQ Responses will be subject to an initial compliance check to ensure all relevant questions have been answered and all evidence has been included where applicable. Where information is missing, the Applicant will be rejected and its PQQ Response not considered further. Before rejecting an Applicant, the Council may clarify the missing information with an Applicant to determine whether it is a case of ambiguity (where there is a simple explanation and it can be resolved easily) or an error (where this is a simple clerical error or an obvious material error (i.e. where it is simple, material, serious and manifest/clear).

Following the initial compliance check, the Council will evaluate the Pass/Fail questions **except** for Question 4 (Economic and Financial Standing). Where any response has been awarded a "Fail" score, the relevant Applicant will be rejected and its PQQ Response not considered further.

Following the Pass/Fail assessment, the remaining responses to the scored questions will be evaluated in line with the evaluation criteria set out at Annex 2. Scores will be rounded to two decimal places (where the weighting of a question results in decimal places). A shortlist of **five (5) Applicants** which are the highest scoring in line with the evaluation criteria will then be assessed against Question 4 (Economic and Financial Standing). If any shortlisted Applicant does not pass this criterion, the next placed Applicant which is otherwise qualified will be added to the shortlist, subject to an assessment against Question 4 (Economic and Financial Standing). The shortlisted Applicants will then be invited to submit responses to the ITT.

Responsibility for PQQ Responses

Applicants are responsible for obtaining all information necessary for the preparation of their PQQ Response. All costs, expenses and liabilities incurred by any Applicant in connection with the preparation and submission of a PQQ Response are to be borne by that Applicant. Applicants must satisfy themselves of the accuracy of any information provided and neither the Council nor its advisors accept responsibility or liability whatsoever for any loss or damage of whatever kind and howsoever caused arising from or in consequence of the use by Applicants of such information.

The Council and its advisors make no representation regarding any Applicant's financial stability or standing, technical competence or ability in any way to carry out the Contract.

No liability

The Council does not accept any liability to any Applicant in respect of this tender exercise, the PQQ or any supporting document. Applicants are reminded that the Council may at any time amend or cease this tender exercise. No part of this tender exercise is intended to be an offer of contract. No contract will be entered into by the Council other than where a written contract is duly signed by the Council.

Confidentiality

All information supplied in connection with the PQQ must be treated as confidential and Applicants must not, without the prior written consent of the Council, at any time make use of such information for their own purposes or disclose such information to any person (except as may be required by law or where consultation is required for the preparation of an PQQ Response and where that communication is on a strictly confidential basis).

Each Applicant warrants to the Council that no document that it submits as part of its PQQ Response infringes any intellectual property rights (including without limitation, patents, trademarks, designs, design rights, copyright, inventions, trade secrets, know-how, confidential information, and any applications for protection of the any of them). The Council reserves the right to retain all PQQ Responses submitted.

Each Applicant undertakes to indemnify the Council against all actions, claims, demands, liability, proceedings, damages, costs, charges and expenses whatsoever arising out of or in connection with any breach of the provisions of this section.

Copyright and intellectual property

By submitting an PQQ Response each Applicant agrees and acknowledges that it shall have granted to the Council and its advisors for all purposes related to the Concession Contract a non-exclusive, irrevocable, perpetual, royalty free licence to use, copy, modify, adapt and translate any drawings, specifications, materials, data and other information relating to any element of any PQQ Response (together with the right to grant sub-licences).

Each Applicant warrants to the Council that no document that it prepares as part of its PQQ Response shall infringe any intellectual property rights (as may be defined in the contract).

Each Applicant undertakes to indemnify the Council and to keep the Council indemnified against all actions, claims, demands, liability, proceedings, damages, costs, charges and expenses whatsoever arising out of or in connection with any breach of the provisions of this paragraph.

Conflicts of interest

The Council may exclude any Applicant if there is a conflict of interest which cannot be effectively remedied. The concept of a conflict of interest includes any situation where relevant staff members have, directly or indirectly, a financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the context of this procurement.

Where there is any indication that a conflict of interest exists or may arise then it is the responsibility of the Applicant to inform the Council and provide details of the conflict. Please note that routine pre-market engagement carried out by the Council should not represent a conflict of interest for an Applicant, provided that the engagement has been carried out in a transparent manner.

Data Protection

For the purposes of this PQQ, the terms **Data Controller**, **Data Subject**, **Data Processor**, **Personal Data**, **Process** and **Processing** shall have the meaning prescribed under the Data Protection Act 2018 (**DPA**). References in this PQQ to the **Data Protection Legislation** shall be references to the DPA or where appropriate the General Data Protection Regulation 2016/679 (**GDPR**) along with any successor legislation, along with any associated guidance and Codes of Practice as issued from time to time.

Applicants shall at all times during this tender exercise comply with the provisions and obligations imposed by the Data Protection Legislation and shall assist and/or co-operate with the Council in respect of the Council's compliance with Data Protection Legislation, where appropriate, and shall indemnify the Council and keep the Council indemnified against all actions, claims, demands, proceedings, damages, costs, charges and expenses (including reasonable legal expenses) whatsoever in respect of any breach of this paragraph which causes the Council to be in receipt of any actions, claims, demands, proceedings and/or incur any damages costs, charges and/or expenses (including reasonable legal expenses).

Applicants warrant and represent that they each have in place appropriate technical and organisational measures to protect the Personal Data against accidental or unlawful destruction or accidental loss, alteration, unauthorised disclosure or access, and which provide a level of security appropriate to the risk represented by the processing and the nature of the data to be protected.

Applicants shall only Process Personal Data to the extent necessary for the preparation of their PQQ Response.

In the event that an Applicant is under a legal obligation to process the Personal Data outside of the terms of this PQQ, it shall notify the Council of that legal requirement prior to processing unless the law prohibits this on important grounds of public interest.

Applicants shall notify the Council without undue delay on becoming aware of any breach of the Data Protection Legislation in relation to the Personal Data Processed for the purposes of their PQQ Response.

Applicants shall notify the Council within two (2) Working Days if it receives (a) a request from a Data Subject to exercise the Data Subject's Rights; or (b) a complaint or request relating to the Council's obligations under the Data Protection Legislation; and take no further steps in relation to the same until such time that it receives written instructions to do so from the Council.

Applicants shall also comply fully with all applicable guidelines and codes of practice issued by the Information Commissioner in the UK from time to time.

Applicants will upon submission of their PQQ Response, the withdrawal of that Applicant from this tender exercise or at such time that an Applicant no longer requires access to the Council's Personal Data for the purposes of submitting an PQQ Response and at the request of the Council either return to the Council or destroy the Personal Data Processed under this PQQ (and all copies of such data) in Applicants' possession or other as directed by the Council.

The provision of this paragraph shall apply during the continuance of this tender exercise and indefinitely after it has ended.

Freedom of Information Act 2000 and Environmental Information Regulations 2004

The Council is a public authority under the Freedom of Information Act 2000 (**FOIA**) and Environmental Information Regulations 2004 (**EIR**). Under FOIA and EIR members of the public or any interested party may make a request for information held by the Council at the time of the request.

The Council will consider the disclosure of any information contained in a PQQ Response (whether successful or unsuccessful), subject to the exemptions under FOIA or EIR (as appropriate). Applicants should be aware that attaching a blanket label of "private and confidential" or "commercial in confidence" to a PQQ Response may not exempt the same from disclosure under FOIA or EIR.

If an Applicant considers that all or any part of its PQQ Response and/or any specific information contained therein constitute a “trade secret”, or that information contained therein is commercially sensitive information, disclosure of which would be likely to prejudice the commercial interests of any party, or believes that a duty of confidentiality applies or otherwise considers that such documents and/or information falls within any other exemption set out in FOIA or EIR, the Applicant should: (a) attach information it considers to be commercially sensitive; and (b) identify the particular exemption that the Applicant claims applies in the particular circumstances. Applicants should do so in full knowledge of the relevant terms of the Secretary of State’s Code of Practice under Section 45 of FOIA (the **FOIA Code**) and Regulation 16 of EIR (the **EIR Code**), giving advice to public authorities on the handling of requests. This will enable Applicants to make such claims based on reasons that address the requirements of the FOIA Code or the EIR Code (as appropriate). Further information about FOIA, EIR and a copy of the FOIA Code and EIR Code is available from the Information Commissioner's website at: <https://ico.org.uk/for-organisations/guidance-index/freedom-of-information-and-environmental-information-regulations/>

Applicants should be aware that, even when they have scheduled or identified relevant documents and/or information and claimed exemption from FOIA or EIR, the Council has complete discretion in deciding whether such documents and/or information should be disclosed under FOIA or EIR.

**Small Business Enterprise and Employment Act 2015**

Applicants are to note that the Council is subject to the Small Business Enterprise and Employment Act 2015 (**SBEEA**). Under SBEEA, the Government's Mystery Shopper service is empowered to investigate concerns raised on the Mystery Shopper website about public sector procurement exercises. The Council is required to assist all investigations and to provide relevant information and/or documents to the Cabinet Office within 30 calendar days of a formal notice. This may require the Council to disclose any information contained in PQQ Responses.

# Development Site Visit

Before tendering, contractors should ascertain the nature of the site, access and all local conditions and restrictions likely to affect the execution of the works.

Accompanied visits with the Council will be arranged at the ITT stage.

# Reference Site Visit

The Council reserves the right to conduct Reference Site Visits as part of the PQQ stage. As such, contractors are encouraged to ensure that access to some reference sites can be made available.

## Table 4

# Procurement Progression to Award

To provide maximum competition it is our intention to take through the following number of Contractors to the Invitation to Tender stage and then to award a single provider.

|  |  |
| --- | --- |
| Number of Firms to be shortlisted to ITT Stage | Score required to be shortlisted |
|  |  |
| 5 Contractors | The providers who pass all of the Core Modules will have their Optional and Supplementary Questions evaluated. Providers will be invited to submit an Invitation to Tender (ITT) in the event that they pass the Core Questions and achieve the minimum score required of 40.00% for the Supplementary Questions and are ranked in the top 5 of all the firms evaluated. |

**Tender Process**

The tendering procedure will be in accordance with the principles of the ‘JCT Tendering Practice Note 2017’.

Tenders must remain open for consideration (unless previously withdrawn) for not less than 12 weeks from the date fixed for the submission of tenders.

The Tenders will be evaluated on the basis of the Most Economically Advantageous

Tender (MEAT). The Employer will not necessarily accept the lowest or any tender.

The tender will be evaluated on the basis of 60% Cost and 40% Quality.

Provisional timetable:

|  |  |
| --- | --- |
| **Date** | **Stage** |
| 14/09/2020 | Advertise works in Kent Business Portal and Contracts Finder |
| 02/10/2020 | 12 noon Deadline for questions of clarification from applicants |
| 23/10/2020 | 12 noon Deadline for return of PQQ |
| 26/10/2020 -06/11/2020 | Review PQQs |
| 23/11/2020 | Invitation to tender issued to shortlisted /Notify unsuccessful candidates |
| 01/12/2021 (tbc) | Site visit for contractors invited to tender |
| 22/01/2021 | 12 noon Deadline for return of tenders |
| 25/01/2021 – 08/02/2021 | Evaluation of tenders, clarifications and interviews |
| 08/02/2021 - 29/02/2021 | Contract award and contractor mobilisation |
| 01/03/2021 | Works start on site asap following the demolition and enabling works |

**Annex 1 – PQQs**

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| Table 1 **–** Core Question Module C.1: Supplier identity, key roles and contact information | | | |
| **Q Ref** | **Nature of information** | **Description of response expected, which will be taken into account in assessment** | Response |
| **C1-Q1** | **Name of legal entity or sole-trader** | **Unique name of legal entity or name of individual** |  |
| **C1-Q2** | **Registered office Address** | **C1-Q2-1 Address line 1** (Property name/number) |  |
| **C1-Q2-2 Address line 2** |  |
| **C1-Q2-3 Address line 3** |  |
| **C1-Q2-4 Town** |  |
| **C1-Q2-5 County** |  |
| **C1-Q2-6 Postcode** |  |
| **Website address** | **C1-Q2-7 website** (if applicable) |  |
| **C1-Q3** | **Contact Details for Enquiries** | **C1-Q3-1 Title** (Mr, Mrs, Ms, etc.) |  |
| **C1-Q3-2 Forename** |  |
| **C1-Q3-3 Family name** |  |
| **C1-Q3-4 Job title** |  |
| **C1-Q3-5 e-mail** |  |
| **C1-Q3-6 Telephone number** |  |
| **C1-Q3-7 Fax number** |  |
| **C1-Q3-8 Address line 1** (Property name/number) |  |
| **C1-Q3-9 Address line 2** |  |
| **C1-Q3-10 Address line 3** |  |
| **C1-Q3-11 Town** |  |
| **C1-Q3-12 County** |  |
| **C1-Q3-13 Postcode** |  |
| **C1-Q4** | **Registration number, if registered with Companies House or equivalent** | **C1-Q4-1 Registration number with Companies House** |  |
| **C1-Q4-2 Registration number with equivalent body** |  |
| **C1-Q5** | **Charity registration number** |  |  |
| **C1-Q6** | **VAT registration number** |  |  |
| **C1- Q7** | **Name of immediate parent company** |  |  |
| **C1-Q8** | **Name of ultimate parent company** |  |  |
| **C1-Q9** | **Type of organization** | *e.g. PLC; limited company; LLP; other partnership; sole trader; other (please specify)* |  |

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| --- | --- | --- | --- | --- | --- | --- |
| Table 2 – Core Question Module C2: Financial information | | | | | | |
| **Q Ref** | **Information required** | | **Description of response expected, which will be taken into account in assessment** | Tick as applicable | Supplier’s unique reference to relevant supporting information | |
| **C2-Q1** | *Please select the one organization description that most closely matches your organization and provide information accordingly* | | |
| **C2-Q1-1 Financial information for a start up business that has not reported accounts to the Inland Revenue or Companies House** | Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status | | n |  | |
| **C2-Q1-2 Accounts for an unincorporated business (sole traders and partnerships)** | Copy of the most recent accounts that contain turnover, profit before tax, and balance sheet (if prepared) covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available.  If accounts are not prepared, provide the relevant pages from the latest tax returns (self-employment pages for sole traders, partnership pages for partnerships), together with the tax assessment. | | n |  | |
| **C2-Q1-3 Accounts for a small company or limited liability partnership with a turnover below the audit threshold at which the preparation of audited accounts is not required** | Copy of the most recent accounts as submitted to the Inland Revenue covering either the most recent two year period of trading or, if trading for less than two years, the period that is available. Abbreviated accounts are not acceptable | | n |  | |
| **C2-Q1-4 Accounts for a medium to large incorporated entity and all other organizations that are required to prepare audited accounts** | Copy of the most recent audited accounts covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available | | n |  | |
| **C2-Q1-5 Accounts for other organization types (e.g. not for profit entities, local authorities, housing associations, charities)** | In most cases it is likely that audited accounts will have been prepared and the accounts required at **C2-Q1-4** above will suffice. Where this is not the case, an unaudited copy of the most recent accounts as described in **C2-Q1-2** above should be provided. | |  |  | |
| **C2-Q2** | **Insurance statement and certificates** | **Please enter the requested information in the response column** | | | **Response** |
| **C2-Q2-1 Employers’ liability insurance** | | **C2-Q2-1-1 Policy No.** |  |
| **C2-Q2-1-2 Limit of indemnity** |  |
| **C2-Q2-1-3 Excess** |  |
| **C2-Q2-1-4 Limit for a single event** |  |
| **C2-Q2-1-5 Expiry date** |  |
| **C2-Q2-2 Public liability insurance** | | **C2-Q2-2-1 Policy No.** |  |
| **C2-Q2-2-2 Limit of indemnity** |  |
| **C2-Q2-2-3 Excess** |  |
| **C2-Q2-2-4 Limit for a single event** |  |
| **C2-Q2-2-5 Expiry date** |  |
| **C2-Q2-3 Professional indemnity insurance** *(Where consultancy input involved)* | | **C2-Q2-3-1 Policy No.** |  |
| **C2-Q2-3-2 Limit of indemnity** |  |
| **C2-Q2-3-3 Excess** |  |
| **C2-Q2-3-4 Expiry date** |  |
| **C2-Q2-4 Product liability insurance** *(Where product is to be supplied)* | | **C2-Q2-4-1 Policy No.** |  |
| **C2-Q2-4-2 Limit of indemnity** |  |
| **C2-Q2-4-3 Excess** |  |
| **C2-Q2-4-4 Expiry date** |  |

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| Table 4 **–** Core Question Module C4: Health and safety: policy and capability | | | | | | | | | |
| **Q Ref** | **Exemptions and pertinent question selection** | | **Exemption(s) Claimed** | | | | | | |
| **Please tick i and /or ii for C4-Q1-1a, b and /or c, as appropriate, and for i, also state the CDM duty holder role(s) for which exemption is claimed** | | | | | **Supplier’s unique reference to certificates or other supporting information** | |
| **C4-Q1** | In the circumstances set out in **C4-Q1-1a)** to **C4- Q1-1c)**, if your organization meets the relevant criteria in respect of exemption categories i) and/or ii) below:  i. one or more of the following CDM duty holder roles: contractor, principal contractor, designer, principal designer;  ii. general health and safety: policy and capability;  and you can provide the supporting information to evidence this, the following exemptions apply:  • for an exemption under i) or ii) above: questions **C4-Q2** to **C4-Q11** need not be completed  • for an exemption under i) above questions **C4- Q12** to **C4-Q22** also need not be completed in respect of the role(s) identified.  If you are not claiming an exemption, please move to question **C4-Q2**. However, if you are claiming exemption(s), but such exemption(s) does not cover all the categories/roles relevant to your application, please:  • complete questions **C4-Q12** to **C4-Q22** in respect of each relevant category/role not covered by an exemption; and  • provide any additional information required for **C4-Q2** to **C4-Q11** in respect of relevant categories/ roles that are not covered by an exemption.\*  ***NOTE*** *\*Additional information to that relevant to the exemption(s) claimed could be required to demonstrate satisfactory organization and arrangements appropriate to the categories/ roles not covered by such exemption(s)* | |  | | | | |  | |
| **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 is equivalent to that of PAS 91. | | For i)  CDM duty holder role(s) claimed. ................................................... For ii) | | | | |  | |
| **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 D). | | For i)  CDM duty holder role(s) claimed. ................................................... For ii) | | | | |  | |
| **C4-Q1-1c)** You hold a certificate of compliance with BS OHSAS 18001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard,1 e.g. accredited by UKAS. | | For i)  CDM duty holder role(s) claimed. ................................................... For ii) | | | | |  | |
| **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-Q2** | **Are you able to show that you have a general policy and an organization which is responsible for ensuring effective health and safety (H&S) management?** | Evidence of periodically reviewed general H&S policy, signed and dated by a senior person within the organization. The H&S policy should also contain the organization and arrangements. These 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 organization. *(Organizations with fewer than 5 employees, see Note 4 to this Table)* | | n | | n | |  | |
| **C4-Q3** | **Are you able to show your arrangements for ensuring that your H&S measures are effective in reducing/ preventing work-related incidents, occupational ill-health and accidents?** | Details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken, and how these arrangements are communicated to workers. *(Organizations with fewer than 5 employees, see Note 4 to this Table)* | | n | | n | | n | |
| **C4-Q4** | **Do you have ready access to competent H&S advice/assistance?** | Evidence of how your organization has ready access to competent H&S advice, for both general health and safety and, for CDM duty holders, construction-related health and safety. *(Access to competent in house advice, in whole or part, is usually preferred. It is essential that H&S advisor(s) are able to provide general H&S advice and that, for CDM duty holders (from the same source or elsewhere) advice on relevant construction H&S issues is accessible as required.)* | | n | |  | |  | |
| **C4-Q5** | **Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organization is likely to undertake?** | Evidence that your organization implements relevant training arrangements to ensure that employees/other workforce have sufficient skills and understanding to discharge their various duties. This should include refresher training on relevant good H&S practice and, for CDM contractors and principal contractors, Construction Phase Plans (CPP) may be used to show how information is disseminated or communicated on-site (*see note 5 to this Table*) | |  | |  | |  | |
| **C4-Q6** | **Do your employees/other workforce have H&S and other relevant knowledge, experience and skills to carry out activities that your organization is likely to undertake?** | Evidence that your employees/other workforce have suitable knowledge, experience and skills for the activities assigned to them, unless there are specific situations where they need to work under competent control and/or supervision (e.g. apprentices and other trainees). | | n | | n  n | | n | |
| **C4-Q7** | **Do you check, review and, where necessary, improve your H&S performance?** | Evidence that your organization has an effective, ongoing system for monitoring H&S procedures, and for periodically reviewing and updating that system as necessary. | | n | |  | |  | |
| **C4-Q8** | **Do you have procedures for involving your employees/other workforce in the planning and implementation of H&S measures?** | Evidence that your organization implements a means of consulting with its employees/other workforce on H&S matters and how comments, concerns or complaints submitted by employees/other workforce are taken into account. | | n | |  | |  | |
| **C4-Q9** | **Do you routinely record and review accidents/incidents and undertake follow-up action?** | Evidence that your organization maintains records of all RIDDOR reportable (see note 6 to this Table) and other incidents for at least the last three years. Evidence that your organization has an effective system for reviewing significant incidents, and recording any resulting action taken (including your response to any H&S enforcement activity). | |  | |  | |  | |
| **C4-Q10** | **Do you have arrangements for ensuring that your suppliers also apply H&S measures that are appropriate to the activities that your organization is likely to undertake?** | Evidence that your organization implements arrangements for ensuring and monitoring H&S skills, knowledge and experience, and performance, throughout your entire supply chain, appropriate to the work likely to be undertaken. | | n | | n | |  | |
| **C4-Q11** | **Do you operate a process of risk assessment, capable of supporting safe systems of work?** | Evidence that your organization implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work (“method statements”). Please provide indicative examples, which must include: the identification and control of any significant occupational health (not just safety) issues, appropriate to the work likely to be undertaken. *(Organizations with fewer than 5 employees, see Note 4 to this Table)* ***NOTE*** *Risk assessments should focus on, and be proportionate to, the risks arising from the type of work to be undertaken. The need to reduce documentation requirements on micro businesses in particular should be taken into account by buyers and assessment providers. Excessive bureaucracy associated with prequalification assessment can obscure the real H&S issues to be considered, and even divert effort away from them* | |  | |  | |  | |
| **C4-Q12** | **CDM duty holder related question selection:** The questions asked in **C4-Q13 to C4-Q22** (in conjunction with questions **C4-Q2** to **C4-Q11**) are appropriate for particular construction duties and have been colour coded accordingly to assist identification. Please indicate below which duty (or duties) best describes your organization’s activity and then only provide responses to the questions colour coded to the duty (or duties) you have selected. ***NOTE*** *The questions refer to duty holders under the Construction (Design and Management) Regulations 2015, which defines the scope of “construction” activity. If your organization potentially fills more than one role (e.g. “Design and Build”), please provide responses to the questions applying to all relevant duty holder roles (e.g. Designer and Principal Contractor)* | | | |  | |  | |  | |
| **CDM DUTY HOLDER ROLE(S) IDENTIFIED *Please respond “yes” or “no” to each role identified below*** | | | |  | | | |  | |
| ***NOTE 1*** *If none of the duty holder roles identified below are relevant, you do not need to respond to any of questions* ***C4-Q13 to C4-Q22 NOTE 2*** *Principal contractors will also need to respond to questions applicable to contractors, and principal designers will also need to respond to questions applicable to designers* | | | | **YES** | | **NO** | |  | |
| **C4-Q12-a)** Contractor/principal contractor*(respond to grey shaded questions* ***C4-Q13 to C4-Q16)*** | | | |  | |  | | *None required* | |
| **C4-Q12-b)** Principal contractor *(in addition to* ***C4-Q13*** *to* ***C4-Q16 also*** *respond to yellow shaded question* ***C4-Q17****)* | | | |  | |  | |  | |
| **C4-Q12-c)** Designer/principal designer *(respond to red shaded questions* ***C4-Q18*** *to* ***C4-Q19)*** | | | |  | |  | |  | |
| **C4-Q12-d)** Principal designer *(in addition to* ***C4-Q18*** *to* ***C4-Q19 also*** *respond to green shaded questions* ***C4-Q20*** *to* ***C4-Q22****)* | | | |  | |  | |  | |

| **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-Q13** Contractor/ principal contractor | **Do you have arrangements for co operating and co-ordinating your work with others (including other suppliers, notably contractors)?** | Describe how co-operation and co-ordination of the work is achieved in practice, and how any other organizations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs. |  |  |  |
| **C4-Q14** Contractor/ principal contractor | **Do you have arrangements for ensuring on-site welfare for your employees/other workforce?** | Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided by a site-specific arrangement with others, or your own measures. This may include CPPs. |  |  |  |
| **C4-Q15** Contractor/ principal contractor | **Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?** | Examples of actual knowledge, skills and experience within your organization. This may include: NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g. provided in a skills matrix for key personnel) |  |  |  |
| **C4-Q16** Contractor/ principal contractor | **Do you review and develop your effectiveness in the contractor/ principal contractor role?** | Evidence that your organization Implements an ongoing system for monitoring performance, including post-project review. |  |  |  |
| **C4-Q17** Principal contractor | **Do you implement arrangements to meet the ‘principal contractor’ duties under the Construction (Design and Management) Regulations 2015?** | Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal contractor. In particular, provide evidence of how you: **C4–Q17-1** Plan, manage, monitor and coordinate H&S in the construction phase, including communication with the client, principal designer and contractors; **C4–Q17-2** Prepare, review and maintain CPPs; **C4–Q17-3** Organize co operation between contractors and others, and coordinate the work; **C4–Q17-4** Ensure relevant and suitable site inductions; **C4–Q17-5** Provide information for the H&S file |  |  |  |
| **C4-Q18** Designer/ principal designer | **Do you implement arrangements to meet the ‘designer’ duties under the Construction (Design and Management) Regulations 2015?** | Evidence showing how you address **C4-Q18-1** to **C4-Q18- 4** below. Provide relevant examples showing how risk was reduced through design. ***NOTE*** *Emphasis should be on practical, proportionate measures that address significant risks arising from designs for relevant construction, not on lengthy documentation about generic risks.* **C4-Q18-1** Check that the client is aware of their duties **C4-Q18-2** Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015? Provide relevant evidence of: • your CPD programme and/ or examples of training and development plans (which may include in house training). • your relevant qualifications, e.g. membership of a professional institution such as CIAT; CIBSE; ICE or RIBA. • how you maintain your technical knowledge and understanding of construction design. **C4-Q18-3** Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use). **C4-Q18-4** Effectively manage design changes, with regard to ensuring H&S during and post-completion. |  |  |  |
| **C4-Q19** Designer**/ principal designer** | **Do you review and monitor your design performance, notably in relation to H&S?** | Evidence that your organization implements an ongoing system for monitoring H&S design procedures and for reviewing and updating that system as necessary, e.g. through project design review (during and post completion). |  |  |  |
| **C4-Q20** Principal Designer | **Do you implement arrangements to meet the “principal designer” duties under the Construction (Design and Management) Regulations 2015?** | Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal designer. In particular, evidence of how you: **C4–Q20-1** Help the client to meet its duties under CDM 2015 **C4–Q20-2** Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase **C4–Q20-3** Plan, manage and monitor health and safety-related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling foreseeable risks; **C4–Q20-4** Ensure designers carry out their duties, including oversight and co-ordination within the design team and with other designers/contractors; **C4-Q20-5** Liaise with the principal contractor; **C4–Q20-6** Prepare and provide relevant information to other duty holders, including the H&S file. |  |  |  |
| **C4-Q21** Principal designer | **Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?** | Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications. *For example, a member of the registers administered by the Association for Project Safety or the Institution of Construction Safety (formerly known as the CDM co-ordinator’s register), or the ICE construction health and safety register.* |  |  |  |
| **C4-Q22** Principal designer | **Do you review and develop your effectiveness in the principal designer role?** | Evidence that your organization implements, an ongoing system for monitoring performance, including post-project review. |  |  |  |

**NOTES TO TABLE 4**  
**In C4-Q1-1c)** ‘accredited’ means having undergone third-party attestation by an organization that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multi-lateral agreements.

**NOTE 2** For suppliers that will be CDM duty holders – The core questions in Table 4 align with legal requirements on the relevant duty holder under the Construction (Design and Management) Regulations (CDM 2015).  
**NOTE 3** For suppliers that will be CDM duty holders – Asking the questions in Table 4 does not remove the buyer’s requirement to make further enquiries about the supplier’s H&S capability, as required for specific projects, services or other activities.  
**NOTE 4** If a supplier has fewer than five employees it is not legally required to write down its general policy, organization or arrangements. However, it does need to be able to show that its arrangements are adequate in relation to the type of activity likely to be undertaken.  
**NOTE 5** Relevant and proportionate CPPs are required for ‘construction work’ covered by CDM 2015. CPPs need only be proportionate to the nature of the activity likely to be undertaken.  
**NOTE 6** RIDDOR: The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

| Table 9 – Core Question Module C3 for Public Sector procurement – ESPD option, Grounds for mandatory exclusion and non-payment of tax and social security contributions (mandatory and discretionary exclusion) | | | | |
| --- | --- | --- | --- | --- |
| Q Ref. | Question | | Response | |
| ESPD Option | | | | |
| C3-QP1 | Have you submitted a completed European Single Procurement Document (ESPD)? The questions in this module (Tables 9 and 10) need not be completed if you have provided a completed and signed European Single Procurement Document (ESPD). | | YES | NO |
| Grounds for Mandatory Exclusion | | | | |
| C3-QP2 | In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015 the detailed grounds for mandatory exclusion of an organization are set out on the https://www.gov.uk/government/uploads/system/uploads/attachment\_data/ file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf which should be referred to before completing these questions.  Within the past five years, anywhere in the world, have you, your organization or any person who has powers of representation, decision or control in the organization been convicted of any of the offences within the summary (C3-QP2-1 to C3-QP2-8) below, and listed on the above referenced webpage? | |  |  |
| C3-QP2-1 | Participation in a criminal organization | | YES | NO |
| C3-QP2-2 | Corruption | | YES | NO |
| C3-QP2-3 | Fraud | | YES | NO |
| C3-QP2-4 | Terrorist offences or offences linked to terrorist activities | | YES | NO |
| C3-QP2-5 | Money laundering or terrorist financing | | YES | NO |
| C3-QP2-6 | Child labour and other forms of trafficking human beings | | YES | NO |
| C3-QP2-7 | Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales or Northern Ireland | | YES | NO |
| C3-QP2-8 | Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland. | | YES | NO |
| C3-QP2-9 | If you have answered yes to any of questions C3-QP2-1 to C3-QP2-8, provide further details for each such question, including: • date of conviction and the jurisdiction; • which of the grounds listed the conviction was for; • the reasons for conviction; • the identity of who has been convicted. If the relevant documentation is available electronically, provide: • the web address; • issuing authority; • precise reference of the documents. | | Response | |
| C3-QP2-10 | If you have answered Yes to any of the questions C3-QP2-1 to C3-QP2-8, explain, for each such question, what measures have been taken to demonstrate the reliability of the organization despite the existence of relevant grounds for exclusion (self-cleaning - see Regulation 57 (13 to 17) of the Public Contracts Regulations 2015). | | Response | |
| Non-payment of tax and social security contributions (mandatory and discretionary exclusion) | | | | |
| C3-QP3 | In respect of Regulation 57(3) and (4) of the Public Contracts Regulations 2015, the detailed grounds for mandatory and discretionary exclusion of an organization are set out on the webpage: https://www.gov.uk/government/uploads/system/uploads/attachment\_data/ file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf which should be referred to before completing these questions. | | Response | |
| C3-QP3-1 | Has your organization met all its obligations relating to the payment of taxes or social security contributions, both in the UK and in the country in which the organization is established (if outside the UK)? | | YES | NO |
| C3-QP3-2 | If you responded “No” for question C3-QP3-1, was this through a judicial or administrative decision having final and binding effect? | | YES | NO |
| C3-QP3-3 | Have any tax returns submitted on or after 1 October 2012 been found to be incorrect as a result of: | | YES | NO |
| C3-QP3-3(a) | • HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; | | YES | NO |
| C3-QP3-3(b) | • a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle; or | | YES | NO |
| C3-QP3-3(c) | • a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS), VADR (Schedule 11A to the Value Added Tax Act 1994 (as amended by Schedule 1 to the Finance (no. 2) Act 2005) or any equivalent or similar regime in a jurisdiction in which the supplier is established. | | YES | NO |
| C3-QP3-4 | If you have answered No to C3-QP3-1 and/or Yes to any of questions C3-QP3-2 to C3-QP3-3(c), provide further details for each instance, including: • whether you believe there to be any overriding reasons for non payment; • the country or state concerned; • the amount concerned; • details of the means for a No response to question C3-QP3-1 (if not included the response to C3-QP3-2 or C3-QP3-3(a) (b) or (c)); • the date of the conviction or decision (if applicable); • in case of a conviction, insofar as established directly therein, the length of the period of exclusion; • whether you have paid, or have entered into a binding arrangement with a view to paying, “the taxes or social security contributions due” including where applicable any interest accrued and/or fines; and • if the relevant documentation is available electronically indicate the web address, issuing authority or body and precise reference of the document. | Response | | | |

| Table 10 – Core Question Module C3 for Public Sector procurement: grounds for discretionary exclusion | | | | |
| --- | --- | --- | --- | --- |
| Q Ref | Question | | Response | |
| C3-QP4 | Regulation 57 (8) of the Public Contracts Regulations 2015 The detailed grounds for discretionary exclusion of an organization are set out on the webpage: https://www.gov.uk/government/uploads/system/uploads/attachment\_data/ file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf which should be referred to before completing these questions. Within the past three years, anywhere in the world, have any of the situations identified in C3- QP4-1 to C3-QP4-8(e) below applied, to you or your organization. | |  | |
| C3-QP4-1 | Breach of obligations in the field of environment, social and/or labour law. | | YES | NO |
| C3-QP4-2 | Bankruptcy, insolvency | | YES | NO |
| C3-QP4-3 | Guilty of grave professional misconduct | | YES | NO |
| **C3-QP4-4** | | Distortion of competition | YES | NO |
| **C3-QP4-5** | | Aware of any conﬂict of interest | YES | NO |
| **C3-QP4-6** | | Been involved in the preparation of the procurement procedure | YES | NO |
| **C3-QP4-7** | | Performance deficiencies on a previous contract leading to early termination, damages or other sanctions | YES | NO |
| **C3-QP4-8** | | Misrepresentation and undue inﬂuence Do any of the following statements apply to your organization? | YES | NO |
| **C3-QP4-8(a)** | | The organization 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. | YES | NO |
| **C3-QP4-8(b)** | | The organization has withheld such information. | YES | NO |
| **C3-QP4-8(c)** | | The organization is not able to submit supporting documents required under Regulation 59 of the Public Contracts Regulations 2015. | YES | NO |
| **C3-QP4-8(d)** | | The organization has inﬂuenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organization undue advantages in the procurement procedure. | YES | NO |
| **C3-QP4-8(e)** | | The organization has negligently provided misleading information that may have a material inﬂuence on decisions concerning exclusion, selection or award. | YES | NO |
| **C3-QP4-9** | | If you have answered Yes to any of questions **C3- QP4-1** to **C3-QP4-8(e)**, provide • details of the circumstances; • explain what measures have been taken to demonstrate the reliability of the organization despite the existence of a relevant ground for exclusion (Self cleaning - see Regulation 57 (13 to 17) of the Public Contracts Regulations 2015); • if relevant documentation is available electronically, indicate the web address, issuing authority or body and precise reference of the document. | YES | NO |

|  |  |  |  |
| --- | --- | --- | --- |
| Table 6 - Optional Question Module O2: Environmental management policy and capability | | | |
| Q Ref. | Exemption | Exemption Claimed | If exemption claimed, supplier’sunique reference to certifcatesor other supporting information |
| **O2-Q1** | The questions in this module need not be completed if your organization holds a certifcate of compliance with BS EN ISO 14001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard2, e.g. accredited by UKAS, or you have a valid EMAS certifcate, and can provide information to evidence this. | YES  NO |  |
|  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Q Ref** | **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 organization for the management of construction-related environmental issues?** | Evidence that you or your organization has an environmental management policy authorized by the chief executive or equivalent that is 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 organization. | n | n |  |
| **O2-Q3** | **Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/ preventing signifcant impacts on the environment?** | Evidence that your organization’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 employees/other workforce, in relation to environmental matters including: • sustainable materials procurement; • waste management; • energy management. This should include the arrangements for responding to, monitoring and recording environmental incidents, emergencies and complaints. |  |  |  |
| O2-Q4 | Do you havearrangements forproviding employeeswho will engagein construction,with training andinformation onconstruction-related environmental issues? | Evidence that your organization has in place, and implements, training arrangements to ensure that its workforce has suffcient skills and understanding to carry out their various duties. This should include a programme of refresher training that will keep employees/other workforce updated on relevant legal requirements and good environmental management practice. |  |  |  |
| O2-Q5 | Do you check,review and wherenecessary improvebyour environmentalmanagementperformance? | Evidence that your organization has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval. |  |  |  |
| O2-Q6 | Do you havearrangements forensuring that anysuppliers you engage apply environmentalprotection measures that are appropriate to the activity for which they are beingengaged? | Evidence that your organization 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 organization’s supply chain |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Table of Supplementary Questions | | | | | |
| Number | Question | Description of information in support of response, which will be taken into account in assessment | Yes | No | Unique reference to supporting information |
| S1Q1 | Has your company carried out mixed-use (residential and commercial) projects of a comparable high quality specification and design to the project in question? | Details of relevant mixed-use (residential and commercial) projects carried out including client, value (i.e. by units, cost and quality), location, and services provided (eg liaison with planners, technical design and construction). |  |  |  |
| S1Q2 | Does your company have the requisite knowledge and understanding of the local housing market relevant to the project in question? | Details of relevant residential projects carried out including client, value (i.e. by units, cost and quality), location, and services provided (eg liaison with planners, technical design and construction). |  |  |  |
| S1Q3 | Does your company have experience of working with supply chains local to a development | Details of how these were achieved on similar reference projects. |  |  |  |
| S1Q4 | Does your company have experience of engaging with a local community when carrying out construction projects? | Details of relevant projects, steps taken to engage with the local community and the different methods that have been employed to do so. |  |  |  |
| S1Q5 | Does your company have experience of dealing with local authority clients? | Details of relevant projects and how you have taken account of their particular requirements and context |  |  |  |

|  |  |
| --- | --- |
| Declaration | |
|  | I declare that to the best of my knowledge the answers submitted in this PQQ are correct and accurate.  I declare that upon request and without delay I will provide the certificates and/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 participate further in this procurement. I understand that the contracting 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.  **By completing this declaration you are agreeing with the statement above** |
| **FORM COMPLETED BY** |
| Signature |  |
| Name |  |
| Position |  |
| For and on behalf of |  |
| Date |  |

**Annex 2**

Evaluation Criteria

1. Evaluation criteria
   1. The PQQ is made up of a number of questions which are Pass/Fail or scored. Each question is categorised below and guidance on the Requirements which the Council is seeking and evaluating PQQ Responses against is also provided (where relevant).
   2. These questions are based on PAS 91:2013+A1:2017.
2. The evaluation team

An evaluation team will undertake a comprehensive, systematic and consistent evaluation of each PQQ Response. The evaluation team will comprise officers of the Council and their technical and legal consultants.

1. Criteria
   1. Pass/Fail**– please note that where a "Fail" is awarded at any point, this will result in the PQQ Response being rejected and not considered further:**

|  |  |  |
| --- | --- | --- |
| **Question** | **Completed By** | **Requirements** |
| Table 1 | Providing information as requested | Pass: Information has been provided  Fail: Information has not been provided |
| Table 2 - Q1 | Providing information as requested | A fail will be awarded where either the information has not been provided or that the Applicant appears to present a high financial risk for the scale of contract.  To support this assessment the Council will obtain a financial appraisal report from Creditsafe. The report provides the Council with an overall Risk Score which will be used to assess the applicant’s financial standing and in any event the following shall apply:   |  |  |  |  | | --- | --- | --- | --- | | Risk Score | | Evaluation Outcome | | | 0-29 |  | Fail |  | | 30+ |  | Pass |  | |  |  |  |  | |
| Table 2 - Q2 |  | A "Fail" will be awarded where an Applicant does not hold, or does not commit to obtaining prior to the commencement of the contract, the stated insurances:  £10million – Public Liability  £10million – Employers Liability |
| Table 4 | C4-Q1: Exemptions If your organisation meets the criteria and you provide supporting evidence, then some of the following questions may not apply. Please ensure that the evidence is provided.  If your organisation is NOT claiming exemption than you are required to complete all of the health and safety questions C4-Q3 to C4-Q22.  C4-Q3 to Q22: Health and Safety Questions The questions in this subsection have a discretionary ‘Manual Pass / Fail’ criteria. Organisations are required to provide a response that demonstrates the requirement as set out in each of the questions. Organisations must also provide the evidence to support their response.  The Council will consider the response and any information that the Applicant provides which clearly indicates that they meet the requirements as set out in each of the questions | Pass: Requirements met  Fail: Requirements not met |
| Table 9 | Confirming as requested | PASS - All answers are No (also including responses from all the organisations that will be relied upon to meet the criteria)  FAIL – One or more answers are Yes (also including responses from all the organisations that will be relied upon to meet the selection criteria) |
| Table 10 | Confirming as requested | PASS - All answers are No or although one or more answers are Yes the Council, having reviewed the supporting information, has decided the contractor can proceed to the next stage of the process (also including responses from all the organisations that will be relied upon to meet the criteria)  FAIL – One or more answers are Yes and the Council, having reviewed the supporting information, decides that the contractor cannot progress further in the process (also including responses from all the organisations that will be relied upon to meet the criteria) |

* 1. **Scored – These questions are assessed in line with the methodology and scoring matrix set out at section 3.4 and section 3.4.3, below:**

|  |  |
| --- | --- |
|  | **Weighting %** |
| Table 6 | 10 |
| S1Q1 | 30 |
| S1Q2 | 30 |
| S1Q3 | 10 |
| S1Q4 | **10** |
| S1Q5 | **10** |

* 1. **Methodology for scored questions**
     1. Scored questions summarised in the table at para 3.3 above will be scored out of five (5) using the scoring matrix set out below at section 3.5. Each member of the evaluation team will mark individually and allocate provisional scores. These scores will then be subject to moderation and, where there is a disparity in scoring between the different members of the evaluation team, the evaluation team will meet to discuss the scoring and agree on the appropriate score. The agreed scores will then be weighted in accordance with the weighting set out above at section 3.3.
     2. There are a total of 100 marks available for the scored questions. All weightings are based on a percentage of the total marks available. Once each mark has been weighted in accordance with the percentage weightings, the weighted marks will be added together to identify the total mark for that Applicant.
     3. The Council reserves the right at its sole discretion (acting reasonably) to reject any Applicant who receives a 0 (Fail) score for any Question in this PQQ assessment.
  2. Scoring Matrix

Applicants will note that this refers to meeting the "requirements"; these are set out in the guidance for each question, above (which should be read in the context of the procurement documents). Further context is set out in the remaining procurement documents.

|  |  |
| --- | --- |
| Using a 0 – 5 scoring system | |
| 0 | Unacceptable Response – No information provided or response does not address the requirement. |
| 1 | Poor response – The response contains material omissions and / or is supported by limited evidence / examples. Major concerns that the organisation has the potential to deliver / that they have failed to meet a reasonable standard. |
| 2 | Fair response – The response contains some omissions and / or is not well supported by evidence / examples. Some concerns about the applicant’s ability to deliver / that they have failed to meet a reasonable standard. |
| 3 | Good response – There is adequate detail / supporting examples giving a reasonable level of confidence in the Bidder’s experience and ability. The applicant appears to have the potential to deliver as required / has met a reasonable standard and there are only minor concerns about the applicant’s experience. |
| 4 | Very Good Response – The level of detail / supporting examples gives a high level of confidence in the applicant’s experience and ability. The applicant clearly has the potential to deliver and / or has clearly met an acceptable standard. |
| 5 | Excellent Response – A comprehensive well evidenced submission, clearly demonstrating expertise and knowledge incorporating value added benefits/social value attributes & other points of innovation. The response fully captures understanding of the steps involved to deliver the aspects of the question posed, giving a very high level of confidence in the applicant’s experience and ability. |