**SUSTAINABLE HOUSING DEVELOPMENT FRAMEWORK**

**construction contractors framework agreement**



**Oxford City Housing Limited (OCHL)**

**PQQ DOCUMENT**

**FINAL JANUARY 2021**

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# 

# Introduction

The Authority is seeking to establish a framework agreement with construction contractors which are SMEs, national and international construction companies. The framework appointees will need to be able to work collaboratively with the Authority and to deliver a wide range of high quality residential sustainable energy efficient developments with a focus on a fabric first approach with "Passivhaus" principles for all options other than the 40% beyond future building regulations, and design that meets the Authority's long-term objectives (the "**Sustainable Housing Development Framework**").

OCHL is particularly interested in working with contractors with experience and expertise in achieving:

* 40% carbon reduction from the 2021 future Building Regulations standard (equating to 71% carbon reduction from current 2013 Building Regulations)
* Passivhaus equivalent standard
* Zero carbon for regulated and unregulated energy, with a preference for low embodied energy.

**1.1 Term**

It is intended that the Sustainable Housing Development Framework will have a term of four (4) years from the Framework Agreement Commencement Date. Applicants should note that Call-Off Agreements to deliver Works called off under the Framework Agreement may, where appropriate, continue beyond the end of the term of the Framework Agreement.

**1.2 PAS 91**

BSI PAS 91 is a Publicly Available Specification (PAS) that sets out the content, format and use of questions that are widely applicable to prequalification for construction tendering.

To be eligible for prequalification, it is necessary that suppliers are able to demonstrate that they possess or have access to the governance, qualifications and references, expertise, competence, health and safety/

environmental/financial and other essential capabilities to the extent necessary for them to be considered appropriate to undertake work and deliver services for potential buyers.

The use of this set of common criteria by those who undertake prequalification activity or provide

prequalification services helps to streamline tendering processes by:

* reducing the need for the unproductive, repetitive completion of multiple prequalification processes;
* facilitating the identification of suitably qualified and experienced suppliers;
* increasing consistency between various prequalification databases;
* clarifying the distinction between criteria at the prequalification and contract award stages of the procurement process.

Throughout the construction supply chain, many suppliers seeking to demonstrate their suitability for delivering construction projects are required to submit to frequent prequalification processes involving many different questionnaire forms. This leads to considerable unnecessary effort and wastes time and money, not only for those suppliers but also for the buyers and assessment providers who have to read and evaluate the varied information provided in many different formats. This proliferation of questions and question formats is exacerbated by the many procurement officers that choose, for whatever reason, to undertake their own prequalification activity.

For suppliers seeking to establish themselves as prequalified to deliver construction projects, the sheer number and variety of the questionnaires that they are presented with can be a continual drain on resources.

The consistent use of a set of common questions in all construction related prequalification activity would not only significantly reduce the resources invested by suppliers in such activity, but would also enable assessment providers and procurement officers to more reliably source suppliers solely on the basis of the level of assurance they provide (i.e. the extent to which the answers to the questions given by the suppliers are checked and evaluated), and facilitate suppliers’ access to work where the risk levels are appropriate.

This PAS therefore specifies a set of questions that enable the acquisition of the essential information required in all prequalification processes in a uniform and commonly usable manner.

**The benefits to buyers** of the introduction of PAS 91 to procurement prequalification processes can

include considerable saving in time and money when compiling, using and comparing prequalification questionnaires, more supply chain certainty about basic prequalification requirements and that more suppliers (notably SMEs) can be encouraged to take part, giving wider choice to clients. In addition, the universal use of this PAS could also help to raise the overall standard of communication, understanding and supplier capability across the construction sector.

**The benefits to suppliers** can include not only reduced cost of prequalification and an increase in the possibility of participating in additional prequalification processes, but also freeing up often scarce resources to invest in potentially more profitable activity.

**For assessment providers**, the use of PAS 91 can reduce the time spent developing and refining the questions themselves and make available more time to focus on developing and selling added value services to a better informed procurement client base which understands the benefits of applying PAS 91.

**It is important to recognize** that the information obtained from applying PAS 91 does not remove a buyer’s legal or other requirements to make further enquiries about the supplier’s capabilities, beyond the questions in these modules, to satisfy specific requirements for projects, services or other activities.

Provision is therefore made in PAS 91 for the inclusion of supplementary questions if necessary, subject to certain restrictions.

It is the intention that through the application of PAS 91 to prequalification services and processes, suppliers obtain more control over the timing and extent of their prequalification activity and that meeting widely accepted prequalification criteria can and will be recognized by all potential buyers. Inclusion on a prequalification database does not necessarily guarantee an invitation to tender or an engagement of services. It is recognized that those seeking to have work done might choose to select pre- qualified tenderers or might decide, or be required, to advertise for tenders or expressions of interest for particular projects. However, with the prevalence of prequalification activity, it is suggested that by applying for prequalification through a scheme that conforms to PAS 91, those seeking to tender for construction contracts can access the tendering processes in a resource efficient manner. For those seeking to have contracts fulfilled, the use of PAS 91 can enhance the effectiveness and efficiency of construction tendering processes, whether it is used directly or through an external prequalification assessment provider. The use of PAS 91 is therefore recommended wherever construction-related prequalification is undertaken.

**PAS 91 Module C3 Tables 9 and 10, take account of the European Single Procurement Document (ESPD) as required to comply with the Public Contract Regulations 2015.**

The significant benefits from uniform application of the PAS 91 question sets can only be fully realized when secure data exchange can take place between databases holding prequalification data, allowing those seeking prequalification to securely store and manage their prequalification data and those seeking to build

a list of suitable suppliers to draw the information they require upon submission of appropriate qualification.

# Purpose of this document

This document is being provided to applicants who have expressed an interest in participating in this procurement exercise based upon the Contract Notice 2021/S 000-002966 placed in the e-notification service Find a Tender (FTS).

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

Supplier selection is a key stage in public procurement where you gather information on and make assessments of the prospective bidders' credentials, before considering tenders. This includes gathering information about companies' track records, financial credentials, whether they have been involved in corruption, whether they meet various selection criteria, and so on.

This new process of supplier selection is very similar to the old one, while introducing some new features and a new form. It modifies and modernises a longstanding procurement practice and should not be seen as a major shift in the fundamental approach of supplier selection. It aims to ensure a simpler and more consistent approach across the whole public sector.

This PAS 91 provides a set of questions to be asked by buyers of potential suppliers to enable prequalification of the supply chain for construction-related projects. This PAS 91 also specifies requirements for the consistent use of those questions across projects of varying sizes and types, including in respect of the e-notification service [Find a Tender](https://www.find-tender.service.gov.uk/) (FTS) procurement thresholds for public sector procurement. It is intended that the questions also be used by assessment providers in their intermediary role between buyers and suppliers.

This PAS 91 consists of core, optional and supplementary questions as per the below detail:

The Standard Selection Questionnaire and PAS 91 comprises of core module and optional questions:

* Core Question Module C1: Supplier identity, key roles and contact information
* Core Question Module C2: Financial information
* Core Question Module C4: Health and safety: policy and capability
* Optional Question Module O1: Equal opportunity and diversity policy and capability
* Optional Question Module O2: Environmental management policy and capability
* Optional Question Module O3: Quality management policy and capability
* Optional Question Module O4: Building information modelling (BIM), policy and capability.
* 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)
* Core Question Module C3 for Public Sector procurement: grounds for discretionary exclusion
* Supplementary Question Q5: Sustainability criteria
* Supplementary Question Q6: Building typology information.
* Declaration
* Supplier supporting documentation
* Buyer annexed documentation

# Minimum requirements for applicants

In order to be considered for this tender, applicants must meet the minimum criteria which has different threshold requirements depending on which lot the supplier intends to bid for **(further lot information can be found in section 9 of this document)**:

**Lot A**

* Turnover up to £8 million;
* Experian credit score of 51 or more.
* Experience of at least one example of a relevant similar project.
* Commitment to the scheme being managed and part of the Considerate Contractor scheme or similar good neighbour scheme.

**Lot B**

* Turnover exceeding £8 million;
* Experian credit score of 51 or more.
* Experience of at least one example of a relevant similar project.
* Commitment to the scheme being managed and part of the Considerate Contractor scheme or similar good neighbour scheme.

For suppliers that have an Experian Credit score of between 51 and 81 a more rigorous assessment of the supplier’s finances will be undertaken.

# Terms and definitions

For the purposes of this PAS, the following definitions shall apply to the terms used in this specification.

* 1. **Area of capability**

Prequalification topic that enquires about the capability of suppliers and their supply chains – as defined by the relevant question module, e.g. health and safety

* 1. **Assessment provider**

Entity undertaking prequalification of suppliers as a service to both buyers and suppliers

* 1. **Buyer**

Client or other entity procuring the services of supplier(s) contributing to the fulfilment of a construction related contract

* 1. **Client**

Entity (individual, company or organization) seeking or accepting the services of one or more suppliers as the first tier of a construction project supply chain

* 1. **Construction (work)**

***NOTE*** *In the interest of uniformity****,*** *this definition and the content of the explanatory notes that follow have been extracted from the Construction (Design and Management) Regulations 2015, which interpret construction work as follows:*

*“Construction work means the carrying out of any building, civil engineering or engineering construction work and includes*

* + - * 1. *the construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive or toxic substances), de-commissioning, demolition or dismantling of a structure;*
        2. *the preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation (but not pre- construction archaeological investigations), and the clearance or preparation of the site or structure for use or occupation at its conclusion;*
        3. *The assembly on site of prefabricated elements to form a structure or the disassembly on site of the prefabricated elements which, immediately before such disassembly, formed a structure;*
        4. *The removal of a structure, or of any product or waste resulting from demolition or dismantling of a structure, or from disassembly of prefabricated elements which immediately before such disassembly formed such a structure;*
        5. *The installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure, but does not include the exploration for, or extraction of, mineral resources, or preparatory activities carried out at a place where such exploration or extraction is carried out.”*
  1. **Construction organization**

Group of individuals acting together in a structured, coordinated manner to achieve a common construction objective.

***NOTE*** *In PAS 91 this term is used generically to encompass firms, companies or other entities functioning as one element of a supply chain.*

* 1. **Consultant**

Entity (including sub-consultant) providing expert advice or other services in relation to a construction project, e.g. a designer

* 1. **Contractor**

Entity (including sub-contractor) undertaking construction works and services at one or more construction sites in accordance with a formal arrangement made in advance

***NOTE*** *A contractor is a supplier but a supplier is not necessarily a contactor.*

* 1. **Procurement *[construction related]***

Commissioning of supplies, works and services in relation to a construction related project

* 1. **Supplier**

Entity intending to provide supplies, works or services for all or part of a construction related project

* 1. **Supply chain**

Sequence of all entities engaged directly or indirectly, by a client to contribute supplies, works and services to a construction-related project

If an Applicant has any doubt with regard to the clarity of any question contained in this PQQ Document then it should submit a clarification question via the e-sourcing system. All clarification questions are to be submitted not later than 12:00 hrs (GMT) on 19th March 2021 and shall be managed in accordance with the supporting PAS 91 guidance notes.

* 1. **Other Useful Contract Details**

|  |  |
| --- | --- |
| **Portal** | Due North Portal |
| **Portal Web Address** | www.procontract.due-north.com |
| **Name of Authority** | Oxford City Housing Limited (OCHL) |
| **Authority Website** | www.oxford.gov.uk |

**4.13 Electronic Procurement**

An electronic tendering portal has been established for the purposes of the Sustainable Housing Development Framework procurement process and, where relevant, documentation for this procurement process will be made available to prospective Applicants at https://procontract.due-north.com

* 1. **Other Useful Information**

1. The final contract will be let under English law and subject to the jurisdiction of the courts of England.
2. The Authority intend to use a JCT Framework Agreement and subsequent JCT 16 suite of Contracts ***(see section 4.14)***
3. The Authority will not reimburse any expenses however incurred by applicants in preparing their responses and their participation in the procurement generally.
4. The Authority reserves the right to revisit and re-evaluate all or any of the responses to this PAS 91 at any stage of the procurement process at its absolute discretion.
5. The Authority reserves the right to seek further evidence in support of responses to this PAS 91 at a later date.
6. Failure to provide a satisfactory response or no response at all to any of the questions may result in an Applicant being excluded from further consideration.
7. The information supplied will be checked for completeness and compliance before responses are evaluated.
8. Answers to clarification questions will be distributed to all Applicants to ensure fairness.
   1. **The JCT Framework Agreement**

The JCT Framework Agreement 2016 can be used by anyone (including those in the public sector) who anticipates procuring a significant volume of construction/engineering work and/or services over a period of time and who wants to see a collaborative approach to such work and services and progressive and sustainable improvements in the way in which such work and services are performed.

It is important to note that the Framework Agreement is not intended for use as a “stand alone” procurement contract. It is an overarching/umbrella agreement designed for use when a number of similar sets of works or services (referred to as tasks) may be required of the same provider. The Framework Agreement therefore contains a mechanism for the instruction (or calling-off) of individual tasks, which are then subject to the pre-agreed terms of a construction or engineering contract, a sub-contract or a supply agreement- referred to in the Framework Agreement as the underlying contract, with a minimum for further negotiation. The legal, technical and commercial aspects of the individual tasks- the scope of works and/or services; the contractual allocation of risk; the date or dates for completion; price; payment etc. – are therefore all matters which it is envisaged will continue to be dealt with in the project specific underlying Contract for each task called off. For further information please see ***FA/G 2016 JCT Framework Agreement Guide 2016.***

# Freedom of information

Applicants should note that the Authority is subject to the Freedom of Information Act (FOIA). Some or all of the contents of this PAS91 may be subject to the FOIA and may have to be disclosed after conclusion of the tendering process and Contract award. Any Information which an Applicant believes to be Confidential Information must be notified to the Authority in writing. Applicants may not declare the entire PAS91 as Confidential Information – only those sections an Applicant considers to be Confidential Information (which must pertain only to the Applicant and pass at least one of the exclusion tests under the FOIA).

# Verification of Information Provided

Whilst reserving the right to request information at any time throughout the procurement process, the Authority may enable the Applicant to self-certify that there are no mandatory/discretionary grounds for excluding its organisation. When requesting evidence that the Applicant can meet the specified requirements the Authority may only obtain such evidence after the final tender evaluation decision i.e. from an Appointed Contractor only.

# Consortia Arrangements

Where the supplier is participating in the procurement with others as referred to in **question C1-Q13-2** in Table 1, the organizational roles should be understood, as follows:

* **Sole supplier/Lead entity:** Sole entity or, in case of consortium, joint venture or other types of groups, the leader of the group.
* **Group member:** Member (not leader) of the consortium, joint venture or other type of group.
* **Other entity (relied upon):** Entity on which the main supplier, the group or other subcontractor, relies in order to meet the selection criteria.

**Other entity (not relied upon):** Entity on which the main supplier, the group or other subcontractor, does not rely in order to meet the selection criteria.

# Contract Period and Timetable

The timetable for this procurement exercise is detailed below; however, the Authority reserves the right to amend the timetable at any time and will make reasonable endeavours to communicate changes to applicants.

| **Document / Event** | **Date** |
| --- | --- |
| Issue of OJEU Contract Notice and PQQ Document | 12th February 2021 |
| Deadline for receipt of PQQ clarification queries | 19th March 2021 |
| PQQ Response deadline | 26th March 2021 12 noon |
| PQQ evaluation period | 29th March to 13th April 2021 |
| Formal Issue of ITT to short-listed Applicants | 23rd April 2021 |
| Deadline for receipt of ITT clarification queries | 28th May 2021 |
| ITT submission deadline | 4th June 2021 |
| ITT evaluation period | 7th to 25th June 2021 |
| Notification of appointments to Sustainable Housing Development Framework | 2nd July 2021 |
| Standstill Period | 5th to 16th July 2021 |
| Signature of Sustainable Housing Development Framework Agreement | 20th July 2021 |
| Sustainable Housing Development Framework Agreement Commencement Date | 27th July 2021 |

# Value and Pipeline

The Sustainable Housing Development Framework will be divided into the following two (2) Lots:

1. Lot 1 Small Sized Projects- Value does not exceed £7,999,999.00.
2. Lot 2 Large Sized Projects- Value exceeding £8,000,000.00.

Both Lots will cover a variety of potential residential projects. Examples of pipeline projects are set out in ***section 9.1 and 12.***

Subject to the receipt of a sufficient number of compliant Tenders, it is the Authority's intention to appoint [four] contractors to [each Lot]. In accordance with Regulation 46 of the Public Contracts Regulations 2015, Applicants may only submit Tenders for one of the two Lots.

The term "residential" includes but is not limited to [individual dwellings, multi-storey dwellings, social housing provision, non-social housing provision, housing with care, care homes, together with developing the spaces associated with all such schemes, such as landscaping, roads and infrastructure.]

It is estimated by the Authority that the Sustainable Housing Development Framework shall have an overall value of approximately £490m over its lifetime for Oxford. The value of the Framework has the potential to increase significantly up to £1bn where Other Contracting Bodies utilise the Sustainable Housing Development Framework to procure their own projects.

The Authority is at the forefront of public sector procurement in respect of sustainable energy efficient developments. The Authority will enable the Sustainable Housing Development Framework to be available for use by other contracting authorities within the UK.

**9.1 Potential development pipeline for Oxford Development Sites**

|  |  |
| --- | --- |
| **Lot 1 Oxford Development Sites- c. £23 million** | |
| **Location** | **Nr of Units** |
| Northway | 16 |
| Littlemore | 25 |
| Littlemore | 10 |
| Littlemore | 14 |
| Cowley | 16 |
| Cowley | 12 |
| Headington | 5 |
| West Oxfordshire | 16 |
| Total | **114** |

|  |  |
| --- | --- |
| **Lot 2 Oxford Development Sites- c. £470 million** | |
| **Location** | **Nr of Units** |
| Redbridge Paddock | 400 |
| Sandy Lane Recreation Ground | 300 |
| Hill View Farm | 80 |
| Cowley Marsh | 100 |
| Goose Green | 40 |
| Bertie Place | 30 |
| Barton Sites | 300 |
| Business Plan Sites | 500 |
| Ring Road sites | 300 |
| Oxford Regeneration Sites | 300 |
| Total | **2,350** |

# Evaluation Methodology - Application Selection

The Authority intends to shortlist 16 bidders (8 per lot) from the PQQ. Those shortlisted will be invited to tender for this project. Those bidders with the highest score from the core and optional pass/ fail criteria and the subsequent scoring of the supplementary questions will be those who are shortlisted.

Your attention is drawn to the closing date for receipt of submissions 12pm on 26th March 2021. All submissions must be via the tendering portal.

You will be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).

If you cannot answer "no" to each question in table 9 **C3-QP2-C3 to QP2-9 and C3-QP3 to C3-QP3-4 (Grounds for Mandatory Exclusion and non- payment of tax and social security contributions)** of this PAS 91 Document, your PQQ Response will be assessed as a Non-Compliant Response and rejected by the Authority.

If you answer "yes" to the question in in table 9 **C3-QP2-C3 to QP2-9 and C3-QP3 to C3-QP3-4 (Grounds for Mandatory Exclusion and non- payment of tax and social security contributions)** of this PQQ Document (below) and:

you have not paid or entered into a binding agreement to pay the full amount and have had sufficient time to do so, your PQQ Response will be assessed as a Non-Compliant Response and rejected by the Authority;

you have paid or entered into a binding agreement to pay the full amount or you have not yet had time to fulfil your obligations since learning of the exact amount due, your PQQ Response will be assessed as a Non-Compliant Response and the Authority may in its absolute discretion decide either to exclude or not exclude you from the procurement process.

**10.1 Scoring Methodology**

Evaluation of Core and Optional module question PAS91 will be scored on a pass/ fail mechanism.

**Pass** - meaning that the response has fully satisfied the Authority's requirements; or

**Fail** - meaning that the response has not satisfied the Authority's requirements and the relevant Applicant will not be invited to further participate in this procurement process.

Evaluation of the supplementary questions ***(table 11)*** will be made against the criteria and scoring mechanism (1-10).

**10.2 Supplementary Questions Scoring Criteria**

|  |  |  |
| --- | --- | --- |
| Supplementary Questions Scoring Criteria | | |
| Score | Result | Description |
| 0 | Unacceptable | Nil Response, or Proposal is so incomplete or irrelevant that it is not possible to form a judgement |
| 2 | Poor | Almost unacceptable, response is limited or proposal is inadequate or substantially irrelevant. |
| 4 | Unsatisfactory | Below expectation, proposal does not fully address the requirement and gives rise to a number of concerns about its potential reliability. |
| 6 | Satisfactory | Satisfactory, proposal generally meets requirements, gives minor reservations about meeting some of the requirements. |
| 8 | Good | Good, meets expectations, proposal provides detail that is directly relevant, gives confidence as to reliability to meeting all key aspects of the requirements. |
| 10 | Excellent | Comprehensive, proposal exceeds expectations, gives high confidence that all key aspects of the proposal may be relied upon without reservation, offers added value and innovation that is relevant to requirement. |

***To note the Authority reserve the right to exclude a supplier should they score 0 for any area.***

**10.3 Supplementary Questions Weighting**

A **maximum of 500 words** per each contract example may be used to answer **Questions S1-Q1, Q2, Q3,** of the supplementary questions section ***(table 11).***

***The tenderer is to note that marketing material etc is not required in their submission.***

|  |  |
| --- | --- |
| Supplementary Questions Scoring Criteria | |
| Nr | Percentage Weighting |
| S1- Q1 | 20% |
| S1- Q2 | 15% |
| S1-Q3 | 15% |
| S1- Q4 | 25% |
| S1- Q5 | 15% |
| S1- Q6 | 10% |
| Total | 100% |

**10.4 Sectional Scoring**

|  |  |  |
| --- | --- | --- |
| **Scoring Methodology** | | |
| **Section** | **Relevant Question** | **Method** |
| Core Question Module C1 | All | Pass/ Fail |
| Core Question Module C2 | All | Pass/ Fail |
| Core Question Module C4 | All | Pass/ Fail |
| Optional Question Module O1 | All | Pass/ Fail |
| Optional Question Module O2 | All | Pass/ Fail |
| Optional Question Module O3 | All | Pass/ Fail |
| Optional Question Module O4 | All | Pass/ Fail |
| Core Question Module Public Sector Procurement | All | Pass/ Fail |
| Supplementary Questions | All | Scoring 1-10 |

# Confidentiality

11.1. When providing details of contracts in answering Table 1 **Supplier identity, key roles and contact information** the Applicant agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.

11.2. The Authority reserves the right to contact the named customer contacts in Table 1 **Supplier identity, key roles and contact information** regarding the contracts included by the Applicant in Table 7 **Quality management policy and capability.** The named customer contacts do not owe the Authority any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.

11.3. 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 its advisers, the Cabinet Office and/or other contracting authorities defined by the PCR 2015 as required under the FOIA, the Environmental Information Regulations 2004, the Audit Commission Act 1998 or as required.

# Building Typology

The authority are proposing the following range of house types for the Sustainable Housing Procurement Framework:

* 1 bed flat
* 2 bed flat
* 2 bed house
* 3 bed house
* Town house (3 bed 2.5 storey)
* Town house (4 bed (2.5 storey)
* 4 bed house

The bidding Contractor will have the opportunity to view the current proposed planning drawings for each relevant typology annexed to this document. These are under review and subject to change and will be confirmed in the ITT.

# Receipt and Evaluation of PQQ

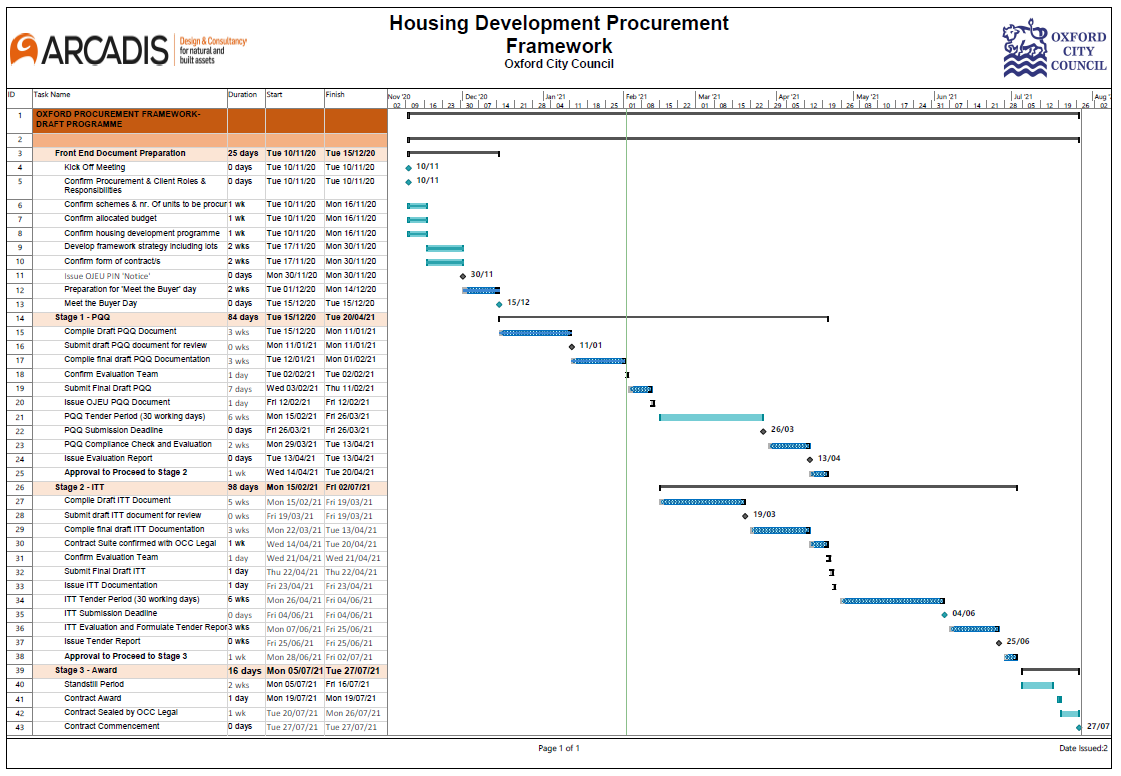
* 1. Completed PQQ Responses may be submitted at any time **before** the PQQ Response Due Date. Any early submissions will be held in an electronic “lock box” until the deadline has passed. [Applicants will receive an e-mail notification acknowledging receipt of its PQQ Response.]
  2. Please note that completed PQQ Responses received **after** the PQQ Response Due Date will not be opened or considered by the Authority. However, the Authority may in its absolute discretion extend the deadline and, in such circumstances, the Authority will notify all Applicants of any such extension to the PQQ Response Due Date.
  3. Before evaluating a PQQ Response, the Authority will check the submission for compliance. In the event an Applicant has not completed all sections of the PQQ Document or has not provided all of the Required Information the PQQ Response shall be a Non-Compliant Response and the Authority reserves the right to exclude that Applicant from the procurement process as a whole.
  4. All Compliant PQQ Responses will then be evaluated consistently and objectively by the Authority according to the principles set out in the PAS 91 Document and the Evaluation Matrix.

* 1. To ensure consistency in evaluation and scoring, the Authority's project team overseeing this procurement process will review all PQQ Responses as a team. The evaluation model which the Authority uses is a combination of “Pass or Fail” and “Scored and Weighted” criteria.

**Applicants should ensure that they read the PQQ Evaluation Matrix at paragraph 10.2 and 10.3 in full and consider it and the guidance provided in each question in the PAS 91 Document when completing their PQQ Response.**

* 1. The Authority shall have no responsibility in relation to PQQ Responses which are not submitted on time and/or otherwise amount to a Non-Compliant Response and reserves the right to reject any Non-Compliant Response in its entirety and not consider the relevant Applicant further in the procurement process.

# Housing Development Procurement Framework Programme



**\*EVALUATION METHODOLOGY- PASS/ FAIL\***

# 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** |  |  |

**Table 1 – Core Question Module C.1: Supplier identity, key roles and contact information *(continued)***

|  |  |  |  |
| --- | --- | --- | --- |
| **Q Ref** | **Nature of information** | **Description of response expected, which will be taken into account in assessment** | **Response** |
| **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)* |  |
| **C1- Q10** | **Size of business** | Are you a micro, a small, or a medium-sized enterprise (1)? | **YES**  **NO** |
| **C1- Q11** | **ONLY IN THE CASE THE PROCUREMENT IS RESERVED (2)**  **Sheltered workshop/“social business”** | **C1-Q11-1** Is your organization a sheltered workshop, a “social business” (3) or will it provide for the performance of the contract in the context of sheltered employment programmes?  IF YES  Please respond to **C1-Q11-2** and  **C1-Q11-3** below | **YES**  **NO** |
| **C1-Q11-2** What is the corresponding percentage of disabled or disadvantaged workers? |  |
| **C1-Q11-3** Please specify which category or categories of disabled or disadvantaged workers the employees concerned belong to |  |
|  |  |  |  |

**Table 1 – Core Question Module C.1: Supplier identity, key roles and contact information *(continued)***

|  |  |  |  |
| --- | --- | --- | --- |
| **Q Ref** | **Nature of information** | **Description of response expected, which will be taken into account in assessment** | **Response** |
|  |  | **C1-Q12-5** Does the registration or certification cover all of  the required criteria in Tables *(document compiler to insert the table numbers for all of the questions included for the*  *procurement, other than those in tables 1, 9 and 10)*?  IF NO  In addition, please complete the missing information in Tables *(document compiler to insert the table numbers for all of*  *the questions included for the procurement, other than those in*  *tables 1, 9 and 10)* | **YES**  **NO** |
| **C1-Q12-6** ONLY if this is required in the relevant notice or procurement documentation: Will your organization be able to provide a certificate with regard to the payment of social security contributions and taxes or provide information enabling the contracting authority or contracting entity to obtaining it directly by accessing a national  database in any Member State that is available free of charge?  If the relevant documentation is available electronically, please state the:   * web address * issuing authority or body * precise reference of the documentation | **YES**  **NO** |
| **C1- Q13** | **Form of Participation** | **C1-Q13-1** Are you participating in the procurement procedure together with others (5)?  IF YES  Please respond to **C1-Q13-2, C1- Q13-3** and **C1-Q13-4** below  Please ensure that the others concerned, each | **YES**  **NO** |

**Table 1 – Core Question Module C.1: Supplier identity, key roles and contact information *(continued)***

|  |  |  |  |
| --- | --- | --- | --- |
| **Q Ref** | **Nature of information** | **Description of response expected, which will be taken into account in assessment** | **Response** |
|  |  | provide a separate questionnaire |  |
|  |  | **C1-Q13-**2 Please indicate your organization’s role(6)  *i.e. sole supplier/lead entity, group member, other entity (relied upon) (7), other entity (not relied upon)* |  |
| **C1-Q13-3** To enable the collation of the group’s responses, please identify the other organizations participating in the procurement procedure together |  |
| **C1-Q13-4** Where applicable, please provide the name of the group |  |
| **C1-Q14** | **Lots** | Where applicable, please indicate the lot(s) for which you wish to tender |  |

***NOTES to Table 1***

*1) See EU definition of SME* [*https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition\_en*](https://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en)

*2) See contract notice point III.1.5*

*3) I.e. its main aim is the social and professional integration of disabled or disadvantaged persons*

*4) The references and classification, if any, are set out on the certification*

*5) Notably as part of a group, consortium, joint venture or similar, or a subcontractor that is being relied on to meet the selection criteria.*

*6) Where the supplier is participating in the procurement with others as referred to in question* ***C1-Q13-2****, the organizational roles should be understood, as follows:*

*Sole supplier/ Lead entity: Sole entity or, in case of consortium, joint venture or other types of groups, the leader of the group.*

*Group member: Member (not leader) of the consortium, joint venture or other type of group.*

*Other entity (relied upon): Entity on which the main supplier, the group or other subcontractor, relies in order to meet the selection criteria.*

*Other entity (not relied upon): Entity on which the main supplier, the group or other subcontractor, does not rely in order to meet the selection criteria.*

*7) This includes subcontractors that the supplier relies on in the application and other organizations that the group relies on in the application (see Regulation 63 of the Public Contracts Regulations 2015).*

*8) For subcontractors that are not relied on by a candidate in its application, the buyer may ask whether the candidate intends to subcontract, the details of the proposed subcontractors (in so far as this is possible) and also for those subcontractors to complete a self-declaration against the exclusion grounds (Regulation 71 (1) and (8) Public Contracts Regulations 2015)*

# Core Question Module C2: Financial Information

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Q Ref** | **Information required** | **Description of information 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  *(See Note 2 to this Table)* |  |  |
| **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. |  |  |
| **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 |  |  |
| **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 |  |  |

**Table 2 – Core Question Module C2: Financial information *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Q Ref** | **Information required** | **Description of information expected, which will be taken into account in assessment** | | **Tick as applicable** | **Supplier’s unique reference to relevant supporting information** |
|  | **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** | |  |

# 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:   1. one or more of the following CDM duty holder roles: contractor, principal contractor, designer, principal designer; 2. 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).* | |  | | |  | |
|  | **Circumstances of exemption** | | | | | | | |
| **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) | | | | |  | |
| **Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*** | | | | | | | | |
| **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)* | |  |  | |  | |
| **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)* | |  |  | |  | |

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.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*** | | | | | |
| **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.)* |  |  |  |
| **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*). |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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-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). |  |  |  |
| **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. |  |  |  |
| **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. |  |  |  |
| **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). |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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-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. |  |  |  |
| **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.* |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **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****)* |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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) |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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-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. |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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**  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; |  |  |  |

**Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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-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 coordinator’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***

***NOTE 1*** *Assessors should not request unnecessary paperwork and may not necessarily require evidence of all the examples in column 3 of Table 4. Suppliers (including contractors, consultants and others) should only be required to produce enough evidence to show that they meet the relevant criteria, taking account of the nature of activities/projects likely to be involved, and the hazards and risks. 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 they appoint subsequently proves not to have the necessary capability (essential knowledge, skills and experience) when carrying out the activity.*

***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.*

***Stage 1****: An assessment of the supplier’s organization and arrangements for H&S, to determine whether these are sufficient to enable the supplier to carry out the activity safely and without risk to health. Stage 1 assessments assess the general (basic) capability of the supplier and are within the scope of PAS 91.*

***Stage 2****: Stage 2 assessments are outside the scope of PAS 91\*. They involve an additional assessment of the supplier’s experience, technical capability and track record, to establish that: it is capable of carrying out the actual construction activity/project required (i.e. project, activity or service-specific enquiries), and notably in relation*

*to higher hazard activity; that the supplier recognizes any limitations and how these should be overcome; and appreciates the hazards associated with the activity and how the risk should be effectively controlled.*

*\*Stage 2 assessments follow Stage 1 enquiries and they should not therefore be asked in relation to PAS 91 (although in the public sector only, stage 2 questions relating to previous experience will be asked in the prequalification questionnaire – if required by law).*

***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 5 – Optional Question Module O1: Equal opportunity and diversity policy and capability

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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** |
| **O1-Q1** | **As an employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010?**  ***NOTE*** *This applies to both public and private procurement* | **In respect of O1-Q1, copies of:**  **O1-Q1-1** relevant instructions or written statement/evidence of relevant actions  **O1-Q1-2** relevant guidance or written statement/evidence of relevant actions  **O1-Q1-3** relevant policies/ literature or written statement/ evidence of relevant actions |  |  |  |
|  |  | **O1-Q1-4** evidence of where you |  |  |
|  |  | believe these policies have made a difference |  |  |

**Table 5 – Optional Question Module O1: Equal opportunity and diversity policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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** |
| **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 favorably than others?** | No supporting evidence required |  |  |  |
| **O1-Q3** | **In the last three years has any finding of unlawful discrimination been made against your organization by any court or industrial or employment tribunal or equivalent body?** | Details of any findings |  |  |  |
| **O1-Q4** | **In the last three years, has your organization been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body**  **on grounds of alleged unlawful discrimination?** | Details of any investigations |  |  |  |
| **O1-Q5** | **In the last three years, has your organization been found in breach of section 15 of the Immigration, Asylum and Nationality Act 2006?** | Details of any findings |  |  |  |

# Table 5 – Optional Question Module O1: Equal opportunity and diversity policy and capability *(continued)*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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** |
| **O1-Q6** | **In the last three years, has your organization been found in breach of section 21 of the Immigration, Asylum and Nationality Act 2006?** | Details of any findings |  |  |  |
| **O1-Q7** | **In the last three years, has your organization been found to be in breach of the National Minimum Wage Act 1998?** | Details of any findings |  |  |  |
| **O1-Q8** | **If the answer to any of questions 3 to 7 is “yes”, what steps did your organization take as a result of that finding or investigation?** | Details/evidence of remedial action |  |  |  |
| **O1-Q9** | **Does your organization operate appropriate arrangements to ensure that equality and diversity is embedded within your organization?** | Provide copies of any relevant policies or written statement/ evidence of relevant actions |  |  |  |
| **O1-Q10** | **Do you actively promote good practice in terms of eliminating discrimination in all forms through:** |  |  |  |  |
| **O1-Q10-1 guidance to your employees/**  **Suppliers concerned with recruitment, training and promotion?** | In respect of **O1-Q10-1**, copies of any relevant guidance or written statement/evidence of relevant actions. |  |  |  |
| **O1-Q10-2 making guidance or policy documents concerning how the organization embeds equality and diversity available to employees/ sub-contractors, recognized trade unions or other representative groups of employees?** | In respect of **O1-Q10-2**, copies of any relevant guidance, policies, or written statement/ evidence of relevant actions. |  |  |  |
| **O1-Q10-3 appropriate recruitment advertisements or other literature?** | In respect of **O1-Q10-3**, copies of any relevant advertisement or written statement/evidence of relevant actions. |  |  |  |

# Table 6 – Optional Question Module O2: Environmental management policy and capability

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Q Ref** | **Exemption** | | **Exemption claimed** | **If exemption claimed, supplier’s unique reference to certificates or other supporting information** | | |
| **O2-Q1** | The questions in this module need not be completed if your organization holds a certificate 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 certificate, and can provide information to evidence this. | | **YES** |  | | |
| **NO** |
| **Table 6 – Optional Question Module O2: Environmental management policy and capability *(continued)*** | | | | | | |
| **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** | Evidence that you or your organization has an environmental management | |  |  |  |
|  | **and organization for** | policy authorized by the chief executive | |  |  |
|  | **the management of** | or equivalent that is regularly reviewed. | |  |  |
|  | **construction-related** | The policy should be relevant to | |  |  |
|  | **environmental issues?** | the nature and scale of the activity | |  |  |
|  |  | and set out the responsibilities for | |  |  |
|  |  | environmental management throughout | |  |  |
|  |  | the organization. | |  |  |
| **O2-Q3** | **Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/ preventing significant 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. | |  |  |

**Table 6 – Optional Question Module O2: Environmental management policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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-Q4** | **Do you have arrangements for providing employees who will engage**  **in construction, with training and information on construction-related**  **environmental issues?** | Evidence that your organization has in place, and implements, training arrangements to ensure that its workforce has sufficient 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 where necessary improve your environmental management performance?** | 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 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?** | 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 organizations supply chain. |  |  |  |

***NOTE*** *EMAS is the European Eco-management and Audit Scheme, sponsored by the European Commission (see* [*http://eceuropaeu/environment/emas/index\_ENhtm)*](http://eceuropaeu/environment/emas/index_ENhtm))

# Table 7 – Optional Question Module O3: Quality management policy and capability

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Q Ref** | **Exemption** | | **Exemption claimed** | **If exemption claimed, supplier’s unique reference to certificates or other supporting information** | | |
| **O3-Q1** | The questions **O3-Q2** to **O3-Q6**, need not be completed if your organization holds a certificate of compliance with BS EN ISO 9001(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard3 e.g. accredited by UKAS, 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** |
| **O3-Q2** | **Do you have a policy and organization for quality management?** | Evidence that your organization has and implements a quality management policy that is authorized by the  chief executive or equivalent that is 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 organization. | |  |  |  |

**Table 7 – Optional Question Module O3: Quality management policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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** |
| **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?** | Evidence that your organization keeps copies of documentation setting out quality management organization and procedures that meet currently agreed good. practice. These should include the arrangements for quality management throughout the organization. They should set out how the company  will carry out its policy, with a clear indication of how the arrangements are communicated to employees/other workforce. |  |  |  |
| **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 organization is likely to bid?** | Evidence that your organization has in place and implements, training arrangements to ensure that its employees/other workforce has sufficient skills and understanding to  discharge their various responsibilities.  These arrangements should include a programme of training that will keep employees/other workforce up to date with required knowledge about quality related issues, including copies of job profiles; training manuals and training records. |  |  |  |
| **O3-Q5** | **Do you have procedures for periodically reviewing, correcting and improving quality performance?** | Evidence that your organization has a system for monitoring quality management procedures on an on- going basis. Your organization should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance. |  |  |  |
| **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?** | Evidence that your organization 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 organizations supply chain. |  |  |  |

3) In **O3-Q1** 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.

# Table 8 – Optional Question Module O4: Building information modelling (BIM), policy and capability

***NOTE*** *This will be used for UK Government procured projects for Departments that have commenced implementation of the BIM Strategy and may be used by other clients adopting a similar path.*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Q Ref** | **Exemptions** | | **Exemption claimed** | **If exemption claimed, supplier’s unique reference to certificates or other supporting information** | | |
| **O4-Q1** | The questions **O4-Q2** to **O4-Q5** need not be completed if your organization holds a third-party certificate of compliance with PAS 1192-2:2013 \*(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard4 e.g. accredited by UKAS, and can provide information to evidence this.  ***NOTE*** *Such accrediting organizations will be required to have specialized design management competences*  *\*updated version expected November 2017.* | | **YES** |  | | |
| **NO** |
|  |  | |  |  | | |
| **Table 8 – Optional Question Module O4: Building information modelling (BIM), policy and capability *(continued)*** | | | | | | |
| **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** |
| **O4-Q2** | **Do you have the capability of working with a project using a “Common Data**  **Environment” as described in PAS 1192-2:2013?** | Evidence that your organization understands the concept of a “Common Data Environment” as described in PAS 1192-2:2013 and is able to exchange information between supply chain members in an efficient and collaborative manner. If you have delivered a project in this way, you may use this to demonstrate your capability. Your explanation should be clear and concise. | |  |  |  |
| **O4-Q3** | **Do you have documented policy, systems and procedures to achieve “Level 2 BIM” maturity as defined in the government’s BIM Strategy?**  (see note to this Table) | Evidence that you or your organization has a policy authorized by the chief executive or equivalent that is regularly reviewed. The policy and procedures should be relevant  to the nature and scale of the work to be undertaken. | |  |  |  |
| **O4-Q4** | **Do you have the capability of developing and delivering or working to (depending upon the role(s) that this PQQ covers) a BIM Execution Plan (BEP) as described in PAS 1192-2:2013?** | Evidence that your organization understands the requirements of PAS 1192-2:2013, in particular with respect to BEP. This will include how to create reliable information and exchange it between supply chain members in an efficient and collaborative manner, and where appropriate, to the client, in the form specified (e.g. in accordance with the COBie UK 2012 standard and other typical client’s information requirements). If you have delivered a project in this way, you may present an example BEP. | |  |  |  |

4) In O3-Q1 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.

**Table 8 – Optional Question Module O4: Building information modelling (BIM), policy and capability *(continued)***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **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** |
| **O4-Q5** | **Do you have arrangements for training employees in BIM-related skills and do you assess their capabilities?** | Evidence that your organization has in place training arrangements to ensure that its staff/workforce have sufficient skills and understanding to implement and deliver projects in accordance with the policy and procedures established to achieve “Level 2 BIM” maturity.  Completed Construction Project Information Exchange (CPIx) templates referred to in the Project Implementation Plan (PIP), part of the BEP defined in PAS 1192-2:2013 would be considered. |  |  |  |
|  |  | If this PQQ is for the first such project that you have considered undertaking, a training plan and evidence of how prior training outcomes in other areas have been assessed, would be considered. |  |  |

***NOTE*** *Level 2 BIM describes a specific range of BIM capabilities (see PAS 1192-2:2013) These involve developing and sharing 3D construction project-related data, via an electronic “BIM environment”, with others involved in a project. This includes an as-built “Data Drop” for use by the Client. The electronic BIM environment allows*

*design models (digital objects and supporting information about these objects) to be shared. Each model requires platform software and a database of object information.*

# 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 *webpage –*  [https://www](http://www.gov.uk/government/uploads/system/uploads/attachment_data/).gov[.uk/government/uploads/system/uploads/attachment\_data/](http://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/](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf) [file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf](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. |  | | |
| **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: |  | |  |
| **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 | | |

***Note to Table 9 We reserve our right to use our discretion to exclude your bid where we can demonstrate by any appropriate means that you are in breach of your obligations relating to the non-payment of taxes or social security contributions.***

# 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/](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf) [file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf](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? | | | |
| **Table 10 – Core Question Module C3 for Public Sector procurement: grounds for discretionary exclusion (continued)** | | | | |
| **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. | Response | | |

# Supplementary Questions (Table 11)

A **maximum of 500 words** per each contract example may be used to answer **Questions S1-Q1, Q2, Q3,** of the supplementary questions section ***(table 11).***

***The following questions are scored as per the table on page 10***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **numbering** | **question** | **Description of information in support of response, which will be taken into account in assessment** | **YES** | **NO** | **Unique reference to supporting information** | |
| **S1-Q1** | **Do you and/or your company have the technical ability to carry out the activities that are the subject of this prequalification questionnaire?** | Evidence of your company’s capability in meeting all 3 carbon standards including a minimum fabric standard of that required for passivhaus. Evidence provided by way of a completed project record, demonstrating the skills, efficiency, experience, reliability of your organization, client references and overarching products and fabric details.  Responses will be evaluated with regard to provision of comprehensive information on the following:  i)description of the project including project value and Client details and Client brief;  ii)pre-construction services, including any pre-contract advice, surveys and design drawings undertaken by your company, pre-contract planning, construction phase programming and management plans;  iii)construction phase Health & Safety services, including examples of Construction Phase Health & Safety Project Plan and Health & Safety Inspections;  iv) cost planning and management;  v)specific working methods for providing, maintaining and monitoring a high level of service delivery and customer satisfaction;  vi)details of meetings, communications and interactions between all parties to ensure efficient project completion;  vii)description of approach to handover, including awareness training of all relevant persons involved.  \*\*The tenderer is to note that the above evidenced records are to meet the below sustainability criteria in detail.\*\*  1. 40% carbon reduction from the 2021 Future Homes Standard updated Building Regulations standard (equating to 71% carbon reduction from current 2013 Building Regulations)  2. Passivhaus equivalent standards with an air tightness of at least 0.6 air changes per hour @ 50Pa with a likely Primary Energy demand of ≤ 60 (PH Classic) Kwh/m2 per year  3.Zero Carbon – as above and maximising low carbon/ renewable technologies; plus potentially carbon off setting of actual energy if required |  |  |  | |
|  |  |  |  |  |
|  | | | | | |
| **Table 11 – Supplementary Questions (continued)** | | | | | | |
| **S1-Q2** | **Have you and/or your company carried out activities of the same or similar nature to that which is the subject of this prequalification questionnaire?** | 1. A list of relevant activities carried out over the past 5 years together with evidence of satisfactory completion for the most important of those activities, indicating in each case: 2. i) project size (e.g. by value); and 3. ii) when and where the work or works were carried out. |  |  |  | |
| **S1- Q3** | **Have you and/or your company provided works or services of the same or similar nature to that which is the subject of this prequalification questionnaire?** | A statement of the principal supplies sold or services provided in the past 3 years including:  i)the dates on which the supplies or services were provided;  ii)the identity of the person to whom the supplies were sold or the services were provided; and any certificate issued or countersigned by that person confirming the details of the contract for those supplies sold or services provided. |  |  |  | |

**Table 11 – Supplementary Questions (continued)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **numbering** | **question** | **Description of information in support of response, which will be taken into account in assessment** | **YES** | **NO** | **Unique reference to supporting information** |
| **S1-Q4** | **Do you and/or your company have the necessary technical facilities to fabricate, supply and deliver the supplies and services that are the subject of this prequalification questionnaire?** | A statement of the professional qualifications held by you and/or other members of staff/workforce within your company who will be responsible for providing the services or carrying out the activities that are the subject of this prequalification questionnaire. Tenderer is to provide evidence of experience of key staff or consortium partners in low/zero carbon off site manufacture builds. |  |  |  |
| **S1-Q5** | **Do you and/or your company have the necessary numbers of staff to fabricate, supply and deliver the activities, supplies and/or services that are the subject of this prequalification questionnaire?** | A statement of the average annual number of managerial staff and other workforce over the previous 3 years. |  |  |  |
| **S1-Q6** | **If you and/ or your company have not delivered the sustainability criteria as per supplementary question 1, the tenderer is to provide information as to how they intend to meet the required standards.** | Where no projects that are passivhaus or zero carbon have been delivered previously, suppliers must detail how they expect to be able to meet these standards as part of the framework.  Evidence is to be provided by way of a suggested detailed approach for the standard/s including key elements of building design and construction for this.  The appropriate skills, experience and reliability of your organization or key partners in the area of low/zero carbon building and reference to key overarching products and fabric details is useful supporting evidence. (if different to that already stated) |  |  |  |
|  | | | | | |

# Conflicts of interest

In accordance with PAS 91 (above table 10), the Authority may exclude the 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 the procurement procedure.

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 Authority, detailing the conflict in a separate Appendix. Provided that it has been carried out in a transparent manner, routine pre-market engagement carried out by the Authority should not represent a conflict of interest for the Applicant.

# Taking Account of Bidders’ Past Performance

In accordance with PAS 91 (above table 7), the Authority may assess the past performance of an Applicant (through a Certificate of Performance provided by a customer or other means of evidence). The Authority may take into account any failure to discharge obligations under the previous principal relevant contracts of the Applicant completing this PQQ. The Authority may also assess whether specified minimum standards for reliability for such contracts are met.

In addition, the Authority may re-assess reliability based on past performance at key stages in the procurement process (i.e. Applicant selection, tender evaluation, contract award stage etc.). Applicants may also be asked to update the evidence they provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

# "Self-cleaning"

Any Applicant that answers ‘yes’ to any question (above table 10/11) must provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. The Applicant has to demonstrate it has taken such remedial action, to the satisfaction of the Authority in each case.

If such evidence is considered by the Authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.

In order for the evidence referred to above to be sufficient, the Applicant shall, as a minimum, prove that it has:

* paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
* clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
* taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the Applicant shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Authority to be insufficient, the Applicant shall be given a statement of the reasons for that decision.

|  |  |  |
| --- | --- | --- |
| Declaration **\*EVALUATION METHODOLOGY = REQUIRED INFORMATION\*** | | |
|  | I declare that to the best of my knowledge the answers submitted to these questions are correct. 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, and I am signing on behalf of......................... (**Insert name of Applicant / Relevant Organisation**).  I understand that the Authority may reject the PQQ Response if there is a failure to answer all relevant questions fully or if I provide false/misleading information. I have provided a full list of any Appendices used to provide additional information in response to questions.  I also declare that there is no conflict of interest in relation to the Authority’s requirements.  The following appendices form part of the PQQ Response;   |  |  | | --- | --- | | **Section Reference of PQQ** | **Appendix number** | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | |  |  | | |
| **PQQ RESPONSE COMPLETED BY** | |
| 26.1 | Name |  |
| 26.2 | Role in Applicant Lead Organisation / Applicant Relevant Organisation (delete as required) |  |
| 26.3 | Date |  |
| 27.4 | Signature |  |

# Sustainable Housing Development PQQ – Template for Appendices

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| --- |
| **Applicant Name –** |
| **Appendix Number –** |
| **PQQ Section/Question reference –** |
|  |

# Standard modular house type pack

