Selection Questionnaire (SQ)

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| **Project Title** | **Land adjacent to Woodville House, Maltby Street, London SE1 3EQ and former garages site Fendall Street, London SE1 3EA** |
| **Project Reference** | **DN509800** |
| **SQ submission deadline** | **19/05/2021** |
| **Contact** | Ms Demmi RussellEmail:Demmi.Russell@southwark.gov.uk |

# Selection Questionnaire

**Potential Supplier Information and Exclusion Grounds: Table 1, 9 and 10.**

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

A completed declaration of Table 1, 9 and 10 provides a formal statement that the organisation making the declaration has not breached any of the exclusions grounds. Consequently we require all the organisations that you will rely on to meet the selection criteria to provide a completed Table 1, 9 and 10. For example these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete one of these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete a self-declaration (although sub-contractors that are not relied upon do not need to complete the self-declaration).

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

Alternatively you can submit the completed Exclusion Grounds of the [SPD](https://ec.europa.eu/tools/espd) (Part III) as a downloaded XML file to the buyer contact point along with the selection information requested in the procurement documentation.

**Supplier Selection Questions: Tables 2, 4, 5, 6, 7, 8 and 13**

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

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

**Consequences of misrepresentation**

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

**Land adjacent to Woodville House, Maltby Street, London SE1 3EQ and former garages site Fendall Street, London SE1 3EA**

**DN509800**

**RESTRICTED PROCUREMENT PROCEDURE**

**Notes for completion**

1. The “Authority” means the contracting authority, or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You” / “Your” refers to the Applicant completing this Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “Applicant” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “Regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. C1 Q1: Where selection is being made in the expectation that activity will be undertaken by a consortium, the Applicant should identify the organization type and details, relevant to its own situation in addition to making reference to the fact that it expects to be supplying as part of a consortium and including cross reference to the likely consortium members. The Authority recognises that these arrangements may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the Authority immediately of any change in the proposed arrangements and ensure a completed table 1, 9 & 10 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. Every organisation that is being relied on to meet the selection must complete and submit the self-declaration in table 1, 9 and 10.
6. All sub-contractors are required to complete tables 1, 9 and 10
7. For answers to tables 2, 4, 5, 6, 7, 8 and 13 - If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, you should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration.
8. The Authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

**Terms and definitions**

For the purposes of this SQ, the following definitions shall apply:

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

**Assessment provider**: entity undertaking selection of suppliers as a service to both buyers and suppliers

**Buyer:** client or other entity procuring the services of supplier(s) contributing to the fulfilment of a construction related contract

**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

**Consortium:** association of two or more entities (individuals, companies or organizations) pooling resources to participate in a common construction related project

**Construction (work):** the carrying out of any building, civil engineering or engineering construction work and includes:

1. The construction, alteration, conversion, fitting out, commissioning, renovation 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 conclusions;
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 produce or waste resulting from demolition or dismantling of a structure, or from disassembly of prefabricated elements which, immediately before such disassembly, formed 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,

**Construction organisation:** group of individuals acting together in a structured, coordinated manner to achieve a common construction objective. This term is used generically to encompass firms, companies or other entities functioning as one element of a supply chain

**Consultant:** entity (including sub-consultant) providing expert advice or other services in relation to a construction project e.g. a designer

**Sub-consultant:** entity engaged on consultancy work, directly under the control of a consultant

**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. (A contractor is a supplier but a supplier is not necessarily a contractor).

**Sub-contractor:** entity engaged to undertake work for a contractor as part of a larger project being undertaken by that second entity

**Procurement** construction related: commissioning of supplies, works and services in relation to a construction related project

**Supplier:** entity intending to provide supplies, works or services for all or part of a construction related project.

**Supply chain:** sequence of all entities engaged directly or indirectly, by a client to contribute supplies, works and services to a construction-related project.

**Declaration**

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

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

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

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

I am aware of the consequences of serious misrepresentation.

**By completing this declaration you are agreeing with the statement above**

Details of person completing the Declaration

|  |  |
| --- | --- |
| Signature (an electronic signature is acceptable) |  |
| Name |  |
| Position |  |
| For an on behalf of |  |
| Date |  |

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

**tion of supporting information expected, which will be taken into**

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| **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** |  |

**cc**

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| **C1-Q4**  | **Registration number, if registered with Companies House or equivalent** | **C1-Q4-1 Registration number****with Companies House** |  |
| **C1-Q4-2 Registration number****with equivalent body** |  |
| **C1-Q5**  | **Charity registration number** |  |  |
| **C1-Q6**  | **VAT registration number** |  |  |
| **C1- Q7** | **Name of immediate parent company** |  |  |
| **C1-Q8**  | **Name of ultimate parent company** |  |  |
| **C1-Q9**  | **Type of organization** | *e.g. PLC; limited company; LLP; other partnership; sole trader;**other (please specify)* |  |
| In addition to the information called for in C1-Q1 to C1-Q9, the following (pale blue shaded) supplementary questions (C1-Q10 to C1-Q14)) are applicable to procurements subject to the Public Contracts Regulations 2015 which exceed the relevant declared threshold.  |
| **Q Ref.** | **Nature of information** | **Description of response expected, which will be taken into account in assessment** | **Response** |
| **C1-Q10** | **Size of business** | Are you a micro, a small, or a medium-sized enterprise)? | 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” 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 |  |
| **C1-Q12** | **APPLICABLE TO NON-UK BUSINESSES ONLY****Official lists/national pre-qualification system** | C1-Q12-1 If applicable, is your organization registered on an official list of approved economic operators or does it have an equivalent certificate (e.g. under a national (pre)qualification system)?IF YES:Please answer the remaining parts of Table 1 and complete Tables 9 and 10 and the required declaration. Complete C1-Q12-2 to C1-Q12-6 below. | Yes 🞏 No 🞏N/A 🞏  |
|  |  | C1-Q12-2 Please provide the name of the list or certificate and the relevant registration or certification number, if applicable |  |
|  |  | C1-Q12-3 If the certificate of registration or certification is available electronically, please state the:* web address
* issuing authority or body
* precise reference of the documentation
 |  |
|  |  | C1-Q12-4 Please state the references on which the registration or certification is based, and, where applicable, the classification obtained in the official list (4) |  |
|  |  | C1-Q12-5 Does the registration or certification cover all of the required criteria in the Tables?IF NOIn addition, please complete the missing information in the Tables | 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 obtain it directly by accessing a national database 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?IF YES Please respond to C1-Q13-2, C1-Q13-3 and C1-Q13-4 belowPlease ensure that the others concerned, each provide a separate questionnaire | Yes 🞏 No 🞏 |
|  |  | C1-Q13-2 Please indicate your organization’s role*i.e. sole supplier/lead entity, group member, other entity (relied upon), 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 |  |

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| **Table 2 – Core Question Module C2: Financial information** |

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| **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 currentyear and a statement of fundingprovided by the owners and/orthe bank, or an alternative meansof demonstrating financial status | 🞏 |  |
| **C2-Q1-2 Accounts for an unincorporated business (sole traders and partnerships)** | Copy of the most recent accountsthat contain turnover, profit beforetax, and balance sheet (if prepared)covering either the most recent two-year period of trading or, if trading forless than two years, the period that isavailable. If accounts are not prepared,provide the relevant pages from thelatest tax returns (self-employmentpages for sole traders, partnershippages for partnerships), together withthe 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 accountsas submitted to the Inland Revenuecovering either the most recent two-year period of trading or, if trading forless than two years, the period that isavailable. Abbreviated accounts arenot 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 auditedaccounts covering either the most recent two-year period of trading or, if trading for less than two years, the period that isavailable | 🞏 |  |
| **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 auditedaccounts will have been preparedand the accounts required atC2-Q1-4 above will suffice. Where this is not the case, an unaudited copy of the most recent accounts as described in C2-Q1-2 above should be provided. | 🞏 |  |
| **C2-Q2**  | **Insurance statement and certificates** | **Please enter the requested****information in the response column** | Response |
| **C2-Q2-1****Employers’****liability****insurance** | **C2-Q2-1-1 Policy****No.** |  |
| **C2-Q2-1-2 Limit of****indemnity** |  |
| **C2-Q2-1-3 Excess** |  |
| **C2-Q2-1-4 Limit for****a single event** |  |
| **C2-Q2-1-5 Expiry****date** |  |
| **C2-Q2-2****Public liability****insurance** | **C2-Q2-2-1 Policy No.** |  |
| **C2-Q2-2-2 Limit of****indemnity** |  |
| **C2-Q2-2-3 Excess** |  |
| **C2-Q2-2-4 Limit for****a single event** |  |
| **C2-Q2-2-5 Expiry****date** |  |
| **C2-Q2-3****Professional****indemnity****insurance***(Where**consultancy**input involved)* | **C2-Q2-3-1 Policy No.** |  |
| **C2-Q2-3-2 Limit of****indemnity** |  |
| **C2-Q2-3-3 Excess** |  |
| **C2-Q2-3-4 Expiry****date** |  |
| **C2-Q2-4****Product liability****insurance***(Where product**is to be supplied)* | **C2-Q2-4-1 Policy No.** |  |
| **C2-Q2-4-2 Limit of****indemnity** |  |
| **C2-Q2-4-3 Excess** |  |
| **C2-Q2-4-4 Expiry****date** |  |

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| **Table 9 – Core Question Module C3 for Public Sector procurement – SPD option, Grounds for mandatory exclusion and non-payment of tax and social security contributions (mandatory and discretionary exclusion)** |

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| Q Ref.  | Question    | Response  |
| **SPD Option** |  |
| **C3-QP1**  | Have you submitted a completed Single Procurement Document (SPD)?The questions in this module (Tables 9 and 10) need not be completed if you have provided a completed and signed Single Procurement Document (SPD). | 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://assets.publishing.service.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 🞏 |

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| **C3-QP2-8** | Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland. | Yes 🞏 No 🞏 |
| **C3-QP2-9** | If you have answered yes to any of questions **C3-QP2-1** to **C3-QP2-8**, provide further details for each such question, including:* date of conviction and the jurisdiction;
* which of the grounds listed the conviction was for;
* the reasons for conviction;
* the identity of who has been convicted.

If the relevant documentation is available electronically, provide:* the web address;
* issuing authority;
* precise reference of the documents.
 | Response |
| **C3-QP2-10** | If you have answered Yes to any of the questions **C3-QP2-1** to **C3-QP2-8**, explain, for each such question, what measures have been taken to demonstrate the reliability of the organization despite the existence of relevant grounds for exclusion (self-cleaning - see Regulation 57 (13 to 17) of the Public Contracts Regulations 2015). | Response |
| **Non-payment of tax and social security contributions (mandatory and discretionary exclusion)** |  |
| **C3-QP3** | In respect of Regulation 57(3) and (4) of the Public Contracts Regulations 2015, the detailed grounds for mandatory and discretionary exclusion of an organization are set out on the webpage:<https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf>which should be referred to before completing these questions. |  |
| **C3-QP3-1****C3-QP3-2****C3-QP3-3****C3-QP3-3(a)****C3-QP3-3(b)****C3-QP3-3(c)** | 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)? If you responded “No” for question **C3-QP3-1**, was this through a judicial or administrative decision having final and binding effect? Have any tax returns submitted on or after 1 October 2012 been found to be incorrect as a result of:* HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle;
* 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
* 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 🞏Yes 🞏 No 🞏Yes 🞏 No 🞏 Yes 🞏 No 🞏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 |

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| **Table 10 – Core Question Module C3 for Public Sector procurement: grounds for discretionary exclusion** |

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| Q Ref | Question  | Response  |
| **C3-QP4**  | Regulation 57 (8) of the Public Contracts Regulations 2015 The detailed grounds for discretionary exclusion of an organization are set out on the webpage:<https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf>which should be referred to before completing these questions. Within the past three years, anywhere in the world, have any of the situations identified in **C3- QP4-1** to **C3-QP4-8(e)** below applied, to you or your organization. |  |
| **C3-QP4-1** | Breach of obligations in the field of environment, social and/or labour law. | Yes🞏 No🞏 |
| **C3-QP4-2** | Bankruptcy, insolvency | Yes🞏 No🞏 |
| **C3-QP4-3** | Guilty of grave professional misconduct | Yes🞏 No🞏 |
| **C3-QP4-4** | Distortion of competition | Yes🞏 No🞏 |
| **C3-QP4-5** | Aware of any conflict of interest | Yes🞏 No🞏 |
| **C3-QP4-6** | Been involved in the preparation of the procurement procedure | Yes🞏 No🞏 |
| **C3-QP4-7** | Performance deficiencies on a previous contract leading to early termination, damages or other sanctions | Yes🞏 No🞏 |
| **C3-QP4-8** | Misrepresentation and undue influenceDo any of the following statements apply to your organization? |
| **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 |

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| **Table 4 – Core Question Module C4: Health and safety: policy and capability** |

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| **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) abovequestions **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.\*
 |  |  |
| **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,e.g. accredited by UKAS. | For i) 🞏CDM duty holder role(s) claimed.................................................... |  |
| For ii) 🞏 |
| **Q Ref.** | **Question** | Example of the type of information in support of responses, which will be taken into account in assessment | Yes | No | Supplier’sunique referenceto relevantsupportinginformation |
| **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. | 🞏 | 🞏 |  |
| **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.  | 🞏 | 🞏 |  |
| **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. | 🞏 | 🞏 |  |
| **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. | 🞏 | 🞏 |  |
| **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). | 🞏 | 🞏 |  |
| **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.  | 🞏 | 🞏 |  |
| **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. |  |  |
| **CDM DUTY HOLDER ROLE(S) IDENTIFIED*****Please respond “yes” or “no” to each role identified below*** |  |  |
|  | **YES** | **NO** |  |
| **C4-Q12-a)** Contractor/principal contractor*(respond to grey shaded questions* ***C4-Q13 to C4-Q16)*** | 🞏 | 🞏 | *None required* |
| **C4-Q12-b)** Principal contractor *(in addition to* ***C4-Q13*** *to* ***C4-Q16 also*** *respond to yellow shaded question* ***C4-Q17****)* | 🞏 | 🞏 |
| **C4-Q12-c)** Designer/ principal designer *(respond to red shaded questions* ***C4-Q18*** *to* ***C4-Q19)*** | 🞏 | 🞏 |
| **C4-Q12-d)** Principal designer *(in addition to* ***C4-Q18*** *to* ***C4-Q19 also*** *respond to green shaded questions* ***C4-Q20*** *to* ***C4-Q22****)* | 🞏 | 🞏 |
| **Q Ref** | **Question** | Example of the type of information in support of responses, which will be taken into account in assessment. | YES | NO | Supplier’s unique reference to relevant supporting information |
| **C4-Q13**Contractor /principal contractor | **Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?** | Describe how co-operation and co-ordination of the work is achieved in practice, and how any other organizations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs. | 🞏 | 🞏 |  |
| C4-Q14Contractor/principal contractor | **Do you have arrangements for ensuring on-site welfare for your employees/other workforce?** | Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided by a site-specific arrangement with others, or your own measures. This may include CPPs. | 🞏 | 🞏 |  |
| **C4-Q15**Contractor/principal contractor | **Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?** | Examples of actual knowledge, skills and experience within your organization. This may include: NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g. provided in a skills matrix for key personnel) | 🞏 | 🞏 |  |
| **C4-Q16**Contractor/principal contractor | **Do you review and develop your effectiveness in the contractor/principal contractor role?** | Evidence that your organization Implements an ongoing system for monitoring performance, including post-project review. | 🞏 | 🞏 |  |
| **C4-Q17**Principal contractor  | **Do you implement arrangements to meet the ‘principal contractor’ duties under the Construction (Design and Management) Regulations 2015?** | Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal contractor. In particular, provide evidence of how you:**C4–Q17-1** Plan, manage, monitor and coordinate H&S in the construction phase, including communication with the client, principal designer and contractors; **C4–Q17-2** Prepare, review and maintain CPPs;**C4–Q17-3** Organize co-operation between contractors and others, and coordinate the work;**C4–Q17-4** Ensure relevant and suitable site inductions; **C4–Q17-5** Provide information for the H&S file. | 🞏 | 🞏 |  |
| **C4-Q18****Designer/principal designer** | **Do you implement arrangements to meet the ‘designer’ duties under the Construction (Design and Management) Regulations 2015?** | Evidence showing how you address **C4-Q18-1** to **C4-Q18-4** below. Provide relevant examples showing how risk was reduced through design.**C4-Q18-1** Check that the client is aware of their duties**C4-Q18-2** Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015?Provide relevant evidence of:* your CPD programme and/or examples of training and development plans (which may include in-house training).
* your relevant qualifications, e.g. membership of a professional institution such as CIAT; CIBSE; ICE or RIBA.
* how you maintain your technical knowledge and understanding of construction design.

**C4-Q18-3** Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use).**C4-Q18-4** Effectively manage design changes, with regard to ensuring H&S during and post-completion. | 🞏 | 🞏 |  |
| **C4-Q19**Designer**/principal designer**  | **Do you review and monitor your design performance, notably in relation to H&S?** | Evidence that your organization implements an ongoing system for monitoring H&S design procedures and for reviewing and updating that system as necessary, e.g. through project design review (during and post-completion). | 🞏 | 🞏 |  |
| **C4-Q20**Principal Designer  | **Do you implement arrangements to meet the “principal designer” duties under the Construction (Design and Management) Regulations 2015?** | Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal designer. In particular, evidence of how you:**C4–Q20-1** Help the client to meet its duties under CDM 2015 **C4–Q20-2** Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase **C4–Q20-3** Plan, manage and monitor health and safety-related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling foreseeable risks; **C4–Q20-4** Ensure designers carry out their duties, including oversight and co-ordination within the design team and with other designers/contractors;**C4-Q20-5** Liaise with the principal contractor;**C4–Q20-6** Prepare and provide relevant information to other duty holders, including the H&S file. | 🞏 | 🞏 |  |
| **C4-Q21**Principal designer | **Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?** | Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications. | 🞏 | 🞏 |  |
| **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. | 🞏 | 🞏 |  |
| **Table 13 – Supplementary/additional questions including in respect of****organizational technical and/or professional capability** |

Please Table 4: Scoring Methodology for Part 6– Applicant Selection Guidance – for further method statement quality questions.