**ITT SCHEDULE 5**

# Standard Selection Questionnaire

**Potential Supplier Information and Exclusion Grounds: Part 1 and Part 2.**

The standard Selection Questionnaire is a self-declaration, made by you (the potential supplier), that you do not meet any of the grounds for exclusion[[1]](#footnote-1). If there are grounds for exclusion, there is an opportunity to explain the background and any measures you have taken to rectify the situation (we call this self-cleaning).

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

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

**Supplier Selection Questions: Part 3**

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

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

**Consequences of misrepresentation**

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.

**THE PROVISION OF SHORT BREAK SERVICES FOR DISABLED CHILDREN/YOUNG PEOPLE**

**P2019/1822/PE**

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

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

**Part 1: Potential supplier Information**

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

|  |  |
| --- | --- |
| **Section 1** | **Potential supplier information** |
| Question number | Question | Response |
| 1.1(a) | Full name of the potential supplier submitting the information |  |
| 1.1(b) – (i) | Registered office address (if applicable) |  |
| 1.1(b) – (ii) | Registered website address (if applicable) |  |
| 1.1(c) | Trading status 1. public limited company
2. limited company
3. limited liability partnership
4. other partnership
5. sole trader
6. third sector
7. other (please specify your trading status)
 |  |
| 1.1(d) | Date of registration in country of origin |  |
| 1.1(e) | Company registration number (if applicable) |  |
| 1.1(f) | Charity registration number (if applicable) |  |
| 1.1(g) | Head office DUNS number (if applicable) |  |
| 1.1(h) | Registered VAT number  |  |
| 1.1(i) - (i) | If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established? | **Yes / No / NA** (Delete as appropriate)  |
| 1.1(i) - (ii) | If you responded yes to 1.1(i) - (i), please provide the relevant details, including the registration number(s). |  |
| 1.1(j) - (i) | Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement? | **Yes / No** (Delete as appropriate) |
| 1.1(j) - (ii) | If you responded yes to 1.1(j) - (i), please provide additional details of what is required and confirmation that you have complied with this. |  |
| 1.1(k) | Trading name(s) that will be used if successful in this procurement |  |
| 1.1(l) | Relevant classifications (state whether you fall within one of these, and if so which one)1. Voluntary Community Social Enterprise (VCSE)
2. Sheltered Workshop
3. Public service mutual
 |  |
| 1.1(m) | Are you a Small, Medium or Micro Enterprise (SME)[[2]](#footnote-2)? | **Yes / No** (Delete as appropriate) |
| 1.1(n) | Details of Persons of Significant Control (PSC), where appropriate: [[3]](#footnote-3) - Name; - Date of birth; - Nationality; - Country, state or part of the UK where the PSC usually lives; - Service address; - The date he or she became a PSC in relation to the company (for existing companies the 6 April 2016 should be used); - Which conditions for being a PSC are met;  - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. [[4]](#footnote-4)(Please enter N/A if not applicable) |  |
| 1.1(o) | Details of immediate parent company: - Full name of the immediate parent company- Registered office address (if applicable)- Registration number (if applicable)- Head office DUNS number (if applicable)- Head office VAT number (if applicable)(Please enter N/A if not applicable) |  |
| 1.1(p) | Details of ultimate parent company:- Full name of the ultimate parent company- Registered office address (if applicable)- Registration number (if applicable)- Head office DUNS number (if applicable)- Head office VAT number (if applicable)(Please enter N/A if not applicable) |  |

Please note: A criminal record check for relevant convictions may be undertaken for the preferred suppliers and the persons of significant in control of them.

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

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| --- | --- |
| **Section 1** | **Bidding model** |
| Question number | Question | Response |
| 1.2(a) - (i) | Are you bidding as the lead contact for a group of economic operators? | **Yes / No** (Delete as appropriate)If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.If no, and you are a supporting bidder please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3. |
| 1.2(a) - (ii) | Name of group of economic operators (if applicable) |  |
| 1.2(a) - (iii) | Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure. |  |
| 1.2(b) - (i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | **Yes / No** (Delete as appropriate) |
| 1.2(b) - (ii) | If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.

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| --- | --- | --- | --- | --- | --- |
| Name |  |  |  |  |  |
| Registered address |  |  |  |  |  |
| Trading status |  |  |  |  |  |
| Company registration number |  |  |  |  |  |
| Head Office DUNS number (if applicable) |  |  |  |  |  |
| Registered VAT number |  |  |  |  |  |
| Type of organisation |  |  |  |  |  |
| SME (Yes/No) |  |  |  |  |  |
| The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables |  |  |  |  |  |
| The approximate % of contractual obligations assigned to each sub-contractor |  |  |  |  |  |

 |

**Contact details and declaration**

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

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

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

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

I am aware of the consequences of serious misrepresentation.

|  |  |
| --- | --- |
| **Section 1** | **Contact details and declaration** |
| Question number | Question | Response |
| 1.3(a) | Contact name |  |
| 1.3(b) | Name of organisation |  |
| 1.3(c) | Role in organisation |  |
| 1.3(d) | Phone number |  |
| 1.3(e) | E-mail address  |  |
| 1.3(f) | Postal address |  |
| 1.3(g) | Signature (electronic is acceptable) |  |
| 1.3(h) | Date |  |

**Part 2: Exclusion Grounds**

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

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| --- | --- |
| **Section 2** | **Grounds for mandatory exclusion** |
| Question number | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)** The detailed grounds for mandatory exclusion of an organisation are set out on this [web page](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. Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf). |
|  | Participation in a criminal organisation.  | **Yes / No** (Delete as appropriate)If Yes please provide details at 2.1(b) |
|  | Corruption.  | **Yes / No** (Delete as appropriate)If Yes please provide details at 2.1(b) |
|  | Fraud.  | **Yes / No** (Delete as appropriate)If Yes please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities | **Yes / No** (Delete as appropriate)If Yes please provide details at 2.1(b) |
|  | Money laundering or terrorist financing | **Yes / No** (Delete as appropriate)If Yes please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings | **Yes / No** (Delete as appropriate)If Yes please provide details at 2.1(b)  |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction,Identity of who has been convictedIf the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.2 | If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion ? (Self Cleaning) | **Yes / No** (Delete as appropriate) |
| 2.3(a) | **Regulation 57(3)**Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | **Yes / No** (Delete as appropriate) |
| 2.3(b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

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

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| **Section 3** | **Grounds for discretionary exclusion**  |
|  | Question | Response |
| 3.1 | **Regulation 57 (8)**The detailed grounds for discretionary exclusion of an organisation are set out on this [web page](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. Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. |
| 3.1(a) | Breach of environmental obligations?  | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1 (b) | Breach of social obligations?  | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1 (c) | Breach of labour law obligations?  | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(d) | Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | **Yes / No** (Delete as appropriate)If yes please provide details at 3.2 |
| 3.1(j)3.1(j) - (i)3.1(j) - (ii)3.1(j) –(iii)3.1(j)-(iv) | Please answer the following statementsThe organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.The organisation has withheld such information.The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | **Yes / No** (Delete as appropriate)If Yes please provide details at 3.2**Yes / No** (Delete as appropriate)If Yes please provide details at 3.2**Yes / No** (Delete as appropriate)If Yes please provide details at 3.2**Yes / No** (Delete as appropriate)If Yes please provide details at 3.2 |

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| 3.2 | If you have answered Yes to any of the above, explain what measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self Cleaning) |  |

**Part 3: Selection Questions**[[5]](#footnote-5)

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| **Section 4** | **Economic and Financial Standing** **– Not Used** |

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| **Section 5** | **If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider group, please provide further details below:**  |
| **Name of organisation** |  |
| **Relationship to the Supplier completing these questions** |  |

|  |  |  |
| --- | --- | --- |
| 5.1 | Are you able to provide parent company accounts if requested to at a later stage? | **Yes / No** (Delete as appropriate) |
| 5.2 | If yes, would the parent company be willing to provide a guarantee if necessary? | **Yes / No** (Delete as appropriate) |
| 5.3 | If no, would you be able to obtain a guarantee elsewhere (e.g. from a bank)?  | **Yes / No** (Delete as appropriate) |

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| **Section 6** | **Technical and Professional Ability – Not Used** |

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| **NOTE TO SUPPLIERS – This section 7 - Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015 will be scored on a pass/fail basis** |
| Score | Classification |
| PASS | Confirmation that your organisation is compliant with the annual reporting requirements contained within Section 54 of the Act 2015. |
| PASS | An explanation of why your organisation is not compliant with the annual reporting requirements contained within Section 54 of the Act 2015 which the council deems sufficient. |
| FAIL | An explanation of why your organisation is not compliant with the annual reporting requirements contained within Section 54 of the Act 2015 which the council does not deem sufficient. |

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| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015[[6]](#footnote-6)** |
| 7.1 | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | **Yes / No** (Delete as appropriate) |
| 7.2 | If you have answered yes to question 1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | **Yes** (Delete as appropriate)Please provide relevant the url …**No** (Delete as appropriate)Please provide an explanation |

**8. Additional Questions**

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

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| **Section 8** | **Additional Questions** |

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| **NOTE TO SUPPLIERS - This section 8.1 Insurance will be scored on a pass/fail basis** |
| Score | Classification |
| PASS | Confirmation that your organisation has or can commit to obtain, prior to the commencement of the contract, the levels of insurance required. |
| FAIL | Confirmation that your organisation does not have or cannot commit to obtain, prior to the commencement of the contract, the levels of insurance cover required. |

|  |  |  |
| --- | --- | --- |
| **8.1** | **Insurance** |  |
| a. | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below: Y/N Employer’s (Compulsory) Liability Insurance = £5mPublic Liability Insurance = £10mProfessional Indemnity Insurance = £1m\*It is a legal requirement that all companies hold Employer’s (Compulsory) Liability Insurance of £5 million as a minimum. Please note this requirement is not applicable to Sole Traders. | **Yes / No** (Delete as appropriate)**Yes / No** (Delete as appropriate)**Yes / No (Delete as appropriate)** |

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| **8.4** | **Environmental Management – NOT USED** |

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| **NOTE TO SUPPLIERS - This section 8.5 Compliance with Equality Legislation will be scored on a pass/fail basis** |
| Score | Classification |
| PASS | Confirmation that your organisation or any sub-contractors (if used) have had no finding of unlawful discrimination against them. |
| PASS | Confirmation that your organisation or any sub-contractors (if used) have had a finding of unlawful discrimination against them and has outlined the remedial actions taken subsequently, which the council deems sufficient. |
| FAIL | Confirmation that your organisation or any sub-contractors (if used) have had a finding of unlawful discrimination against them and has not outlined the remedial actions taken subsequently or has outlined remedial actions taken which the council does not deem sufficient. |

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| **8.5** | **Compliance with Equality Legislation** |
| For organisations working outside of the UK please refer to equivalent legislation in the country that you are located. |
| a. | In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | **Yes / No** (Delete as appropriate)  |
| b. | In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination? If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.You may be excluded if you are unable to demonstrate to the authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.  | **Yes / No** (Delete as appropriate) |
| c. | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | **Yes / No / N/A** (Delete as appropriate) |

**8A. Project Specific Questions to Assess Technical and Professional Ability**

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| **Section 8A** | **Project Specific Questions to Assess Technical and Professional Ability**  |

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| **8A.1** | **Data Processing**  |
| Please confirm that you are able to comply with the Data Processing Schedule set out in the Contract. (see Contract Particulars and Standard Terms and Conditions)If answering ‘No’ please provide an explanation and details of alternative instructions which can be adhered to.  | **Yes / No** (Delete as appropriate) |
| **NOTE TO SUPPLIERS - This section 8A.2 Data Processing will be scored on a pass/fail basis** |
| Score | Classification |
| PASS | Details that your organisation or any sub-contractors (if used) have the minimum security measures in place. Provide details below. |
| FAIL | Details that your organisation or any sub-contractors (if used) have not got the minimum security measures in place.Please provide details below.  |
| Protective Measures:Please detail the security measures your organisation will have in place as Data Processor to ensure the security of the data to be processed in accordance with the Contract (see Contract Particulars and Standard Terms and Conditions. As a minimum this must include:a) Pseudonymisation and anonymisation where necessary;b) evidence of the ability to maintain the availability, confidentiality, integrity and resilience of information systems – this should include a clear reference to back-ups and business continuity processes;c) evidence of the ability to restore availability and access personal data quickly (within a specified timeframe) after an incident;d) evidence of a programme of regular testing, assessment and evaluation of the effectiveness of their security measures. Examples may include: a) Ensuring laptops, tablets, smart phones and other removable media are encrypted; b) Appropriate security arrangements in relation to moving paper records;c) Secure storage at the business premises (paper locked away, systems have anti-virus, back-ups and firewalls). |  **Please supply details** |

**8A Appendix 1**

**Question 8.A.3**

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| **Darlington Borough Council****Contractors Competence Questionnaire** |

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|  |  |
|  | **Brief description of work/ projects your company will undertake for Darlington Borough Council?** |  |
|  | **Number of Employees** |  |
|  | **Have you within the past 24 months, successfully met the requirements of CHAS or a related scheme in membership of SSIP?**  |  |
|  | **Do you hold a UKAS or equivalent, accredited independent third party certificate of compliance with BS OHSAS 18001?** |  |
|  | **Who is the Director responsible for Health and Safety within your organisation?**  |  |
|  | **Provide details of any prosecutions or enforcement notices served on your company in the past 3 years by the HSE or Local Authority. A prosecution notice will not debar your company from registration, however, failure to declare one will.****If applicable please attached details and corrective action taken.** |  |
| **If your organisation has met the requirements of 3 Or 4 above and can provide the supporting evidence you do not need to complete any further sections.** **If you do not meet the above requirements of 3 Or 4 please continue and complete the sections relevant to your business.**  |
| **Role Identified** | **Please tick** | **Complete the Following** |
| All high risk activity contracts less than 5 employees (except designers and principal designers) |  | Section 1  |
| All high risk activity contracts more than 5 employees (except designers and principal designers) |  | Section 2 |
| Principal Designers and Designers |  | Section 3 |
| Principal Contractors |  | Section 2 + Section 4 |
| Care services providers including residential care  |  | Section 2 + Section 5 |

**What to Do now?**

1. Please read through each question in your sections for completion carefully
2. Please read through the required standards next to each question carefully
3. Please indicate your answer Yes or No
4. Where applicable please complete any additional notes to support your answer
5. Please indicate unique references to relevant supporting information
6. Ensure you answer **all** questions in your section
7. Ensure that the information provided is;
	1. Relevant to your organisation and is applicable and appropriate
	2. Current and in date
	3. Complete, blank copies of records are not evidence to demonstrate compliance
	4. Copies – do not send original documents, we cannot guarantee a return
8. If your organisation believes a question is not applicable a full explanation must be detailed within the notes column for the assessors consideration.

**Assessment Process**

Once the documentation has been received it will be assigned to a member of the Health and Safety Team who will carry out an assessment.

The results of the assessment will be returned and the contractor will either be approved or required to provide additional information. Where it has been identified that additional information is required then the contractor will have two further opportunities to submit suitable and sufficient information.

Contractors are required to supply additional information in accordance with the deadline set, this is usually 4 weeks from the date of assessment however this may be altered depending on contract requirements.

Reasons the assessment may fail include;

1. Inability to satisfactorily demonstrate a health and safety management system is operating effectively in the day to day management of the business;
2. Inability to demonstrate competence i.e. training undertaken or provided, is compliant with core regulations criteria, industry guidance and/ or best practice
3. Provision of insufficient relevant information or incomplete sections of the application form
4. Quality of application and documentation falls significantly below the required health and safety standards.

If after three submissions (including the initial assessment), the contractor is unable to satisfy the requirements of the assessment they will be unable to resubmit for a further 6 months. The contractor can appeal this decision and must contact their procurement officer for details of the process.

Contractors will be approved for 2 years and Darlington Borough Council Health and Safety Team may carry out ad-hoc service monitoring.

|  |
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| **Section 1 - All high risk activity contracts less than 5 employees** |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Question** | **Required standard – examples of types of information in support of responses, which will be taken into account in assessment.** | **Yes** | **No** | **Supporting Notes** | **Suppliers unique reference to relevant supporting information** |
| **1.1** | **Do you have arrangements in place for identifying and controlling health and safety risks?**  | * Please provide a statement outlining how you do this and include details of the hazards and controls you have identified and have in place relevant to the work activities you will be undertaking.
* Please provide an example of any risk assessments you may have completed
 |  |  |  |  |
| **1.2** | **Do you have access to competent health and safety advice?** | * Please describe how you obtain advice relevant to your company activities (this does not have to be an external consultant – it may be internal with reference to advice and guidance on the HSE website)
* If internal please describe the persons competency i.e. training, knowledge, experience
 |  |  |  |  |
| **1.3** | **Do you have arrangements to ensure your workforce has the skills, knowledge and experience to work safely?** | * Please describe your arrangements outlining how you identify and implement training requirements.
* Please supply evidence to support your statement e.g. example of training records, toolbox talks, competence cards, training certificates
 |  |  |  |  |
| **1.4** | **Do you have arrangements in place for recording and investigation accidents, incidents and near misses?** | * Please describe your arrangements for accident reporting and investigation
* Please provide statistics for the past 3 years.
 |  |  |  |  |
| **1.5** | **If you use subcontractors do you have arrangements for ensuring that your suppliers apply health and safety measures to a standard appropriate to the activity they are being engaged for?** | * Please describe your arrangements for assessing health and safety competence and performance for your subcontractors.
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| **Section 2 - All high risk activity contracts more than 5 employees** |

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|  | **Question** | **Required standard – examples of types of information in support of responses, which will be taken into account in assessment.** | **Yes** | **No** | **Supporting Notes** | **Suppliers unique reference to relevant supporting information** |
| **2.1** | **Are you able to demonstrate that you have a policy and organisation for health and safety?** | * Copy of your health and safety policy reviewed periodically and signed by the chief executive
* Documentation to demonstrate how health and safety responsibilities have been assigned within the organisation
 |  |  |  |  |
| **2.2** | **Are you able to describe your arrangements for ensuring your health and safety measures are effective in reducing/ preventing accidents and occupational ill health?** | * Please provide an overview of the arrangements in place for health and safety management.
* Please provide examples of health and safety arrangements that are relevant to the anticipated nature and scale of the activities undertaken. These should demonstrate regular review.
* Please provide evidence to demonstrate how these arrangements are effectively communicated to the workforce.
 |  |  |  |  |
| **2.3** | **Do you have access to competent health and safety advice?** | * Please provide evidence of how your organisation obtains advice and assistance – CV, certification/ training records, professional membership
 |  |  |  |  |
| **2.4** | **Do you provide employees with appropriate training and information regarding the hazards, risks and controls associated with your work activities?** | * Please provide evidence to demonstrate that your organisation has in place and implements training to ensure sufficient skills and understanding for employees to undertake their role safely. This should include
* Records of induction
* Specific and refresher health and safety training
* Professional qualifications/ competence cards where applicable
* Training matrix for all staff including managers and supervisors
 |  |  |  |  |
| **2.5** | **Do you operate a process of risk assessment capable of supporting safe methods of work and reliable project delivery where necessary?** | * Please describe your arrangements for risk management and provide the following;
* Risk assessments for activities undertaken by employees
* Safe systems of work/ method statements
* Any other information relevant to the work i.e. COSHH Risk assessment, manual handling risk assessment, noise assessments etc.
* **Please ensure relevant HEALTH risks are identified as well as SAFETY risks.**
 |  |  |  |  |
| **2.6** | **Do you have arrangements for co-operating and co-ordination at all levels?** | * Please provide explanation of how co-operation and co-ordination of the work is achieved in practice, and how other organisations are involved where relevant
* Please provide evidence of team meetings, 1:1 supervisions with staff, meetings with contractors
* Any other relevant evidence
 |  |  |  |  |
| **2.7** | **Do you have arrangements in place to deal with emergency situations i.e. fire?** | * Please provide evidence to demonstrate your organisation has suitable arrangements for responding to and dealing with and managing emergency situations i.e. fire risk assessment, fire awareness training, etc.
 |  |  |  |  |
| **2.8** | **Do you have arrangements in place to ensure work equipment is maintained and staff are competent in the use of equipment? (Work equipment is any machinery, appliance, apparatus, tool or installation for use at work, whether exclusively used at work or not.)** | * Please describe your arrangements and provide evidence of staff training and service records
 |  |  |  |  |
| **2.9** | **Do you have arrangements in place for ensuring there is adequate first aid provision at all times?** | * Please provide evidence of first aid assessment of needs to determine whether provision is adequate and evidence of training, including 3hr update training.
 |  |  |  |  |
| **2.10** | **Do you check, review and where necessary Improve your health and safety performance?** | * Please provide evidence that your organisation has in place and implements, an ongoing system for monitoring H&S procedures on an ongoing basis and for periodically reviewing and updating that system as necessary.
 |  |  |  |  |
| **2.11** | **Do you routinely record and review accidents, incidents and near misses and undertake follow-up action?** | * Please provide a copy of your accident reporting procedures and instructions/ training provided to staff.
* Please provide records of accident rates/ statistics for at least the last three years – staff, service users, member of public etc.
* Demonstrate that your organisation has in place a system for reviewing significant accidents, incidents and near misses by providing evidence of at least 1 investigation together with remedial action taken to prevent a recurrence.
 |  |  |  |  |
| **2.12** | **Do you have arrangements for ensuring that your suppliers apply health and safety measures to a standard appropriate to the activity for which they are being engaged?** | * Please provide evidence to demonstrate that you have arrangements in place for assessing health and safety competency and performance of suppliers that you may engage as part of the contract.
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| **Section 3 – Principal Designers and Designers** |

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|  | **Question** | **Required standard – examples of types of information in support of responses, which will be taken into account in assessment.** | **Yes** | **No** | **Supporting Notes** | **Suppliers unique reference to relevant supporting information** |
| **3.1** | **Are you able to demonstrate that you have a policy and organisation for health and safety?** | * Copy of your health and safety policy reviewed periodically and signed by the chief executive
* Documentation to demonstrate how health and safety responsibilities have been assigned within the organisation
 |  |  |  |  |
| **3.2** | **Can you demonstrate that you have appropriate qualifications and experience working on similar projects?** | * Provide evidence of capabilities of carrying out similar projects/ activities, a project record, demonstrating skills and experience, including description of the project and cost.
* Please provide evidence of qualifications
 |  |  |  |  |
| **3.3** | **Do you ensure that you and your workforce have the appropriate capabilities to meet your legal duties under health and safety legislation?** | * Provide evidence of your CPD programme and / or examples of training and development plans (which may include in-house training) demonstrating how you will keep up to date with professional changes etc.
* Please provide evidence of how your organisation obtains health and safety Information, including how you maintain your technical knowledge and understanding of developments in construction.
* Provide commentary on how you match individual capabilities with the work undertaken
* Please provide an up to date training matrix
 |  |  |  |  |
| **3.4** | **Do you have and implement, arrangements for meeting the designer duties under the****Construction Design and Management Regulations?** | * Please describe how you ensure the client is aware of their duties;
* Describe how you ensure co-operation and co-ordination of design work within the design team and with other designers/contractors;
* Describe how you carryout design risk management, to ensure hazards are eliminated and show how remaining risks are managed, (with reference to build ability, maintainability and use);
* Describe how you manage design changes and include significant findings in PCI and health and safety file.
* Describe how you ensure that any structure that will be used as a workplace will meet relevant requirements of the Workplace (Health, Safety and Welfare) regulations 1992;
 |  |  |  |  |
| **3.5** | **Do you have sufficient resource (time/ capacity) available to successfully meet project milestones and complete on programme?** | * Please describe how this will be achieved
 |  |  |  |  |
| **3.6** | **Do you have access to competent health and safety advice?** | * Please provide evidence of how your organisation obtains advice and assistance – CV, certification/ training records, professional membership
 |  |  |  |  |
| **3.7** | **If you contract designers do you have arrangements for ensuring that your suppliers apply health and safety measures to a standard appropriate to the activity for which they are being engaged?** | * Please provide evidence to demonstrate that you have arrangements in place for assessing health and safety competency and performance of suppliers that you may engage as part of the contract.
 |  |  |  |  |
| **3.8** | **Do you check, review and where necessary improve your health and safety performance?** | * Please provide evidence that your organisation has in place and implements, an ongoing system for monitoring health and safety procedures and for periodically reviewing and updating that system as necessary for example through project design review (during and post-completion).
 |  |  |  |  |
| **3.9** | **Principal Designers Only** **How do you plan, manage and monitor the pre-construction phase, including any preparatory work carried out for projects.** | * Assist the client in obtaining, preparing and collating pre-construction information
* Ensure designers carry out their duties
* Ensure other designers co-ordinate and co-operate
* Supplying pre-construction information to others
* Liaise with the principal contractor
* Prepare the health and safety file for the client
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| **Section 4 – Principal Contractors**  |

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|  | **Question** | **Required standard – examples of types of information in support of responses, which will be taken into account in assessment.** | **Yes** | **No** | **Supporting Notes** | **Suppliers unique reference to relevant supporting information** |
| **4.1** | **Are you able to plan, manage and co-ordinate the construction phase of a project?** | * Describe how you liaise with the client and principal designers
* Please describe your arrangements for developing the construction phase plan and include an example of a previously developed plan
* Describe how you organise and co-operate with contractors
* Consult and engage with workers
* Provide relevant information for the health and safety file.
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| **4.2** | **Do you have sufficient resource (time/ capacity) available to successfully meet project milestones and complete on programme?** | * Please describe how this will be achieved
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| **Section 5- Care services providers including residential care** |

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|  | **Question** | **Required standard – examples of types of information in support of responses, which will be taken into account in assessment.** | **Yes** | **No** | **Supporting Notes** | **Suppliers unique reference to relevant supporting information** |
| **5.1**  | **Do you have arrangements in place to ensure risks related specifically to service users are identified and incorporated into care plans?** | * Please describe how relevant risks are identified, recorded and communicated to employees
* Please include an example (including moving and handling where applicable) of this ensuring all personal information relating to the service users identification is removed
 |  |  |  |  |
| **5.2** | **Do you have suitable arrangements in place to manage the risks associated with Legionella?** | * Please describe your arrangements and provide the following;
* Evidence of training
* Legionella risk assessment and remedial actions identified
* Evidence of monitoring
 |  |  |  |  |

1. For the list of exclusion please see https://www.gov.uk/government/uploads/system/uploads/attachment\_data/file/551130/List\_of\_Mandatory\_and\_Discretionary\_Exclusions.pdf [↑](#footnote-ref-1)
2. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-2)
3. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register, and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-3)
4. Central Government contracting authorities should use this information to have the PSC information for the preferred supplier checked before award. [↑](#footnote-ref-4)
5. [See Action Note 8/16 Updated Standard Selection Questionnaire](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-5)
6. [Procurement Policy Note 9/16 Modern Slavery Act 2015](https://www.gov.uk/government/collections/procurement-policy-notes) [↑](#footnote-ref-6)