

Pre-Qualification Questionnaire

Notes for Guidance

Version 1 February 2013



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REVISION SCHEDULE

PREQUALIFICATION QUESTIONNAIRE

Rev	Date	Details	Prepared by	Reviewed by	Approved by
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This report is supported by the following organisations:



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FOREWORD

ABOUT THE HIGHWAYS MAINTENANCE EFFICIENCY PROGRAMME

The Highways Maintenance Efficiency Programme (HMEP) is a sector-led transformation initiative that will maximise returns from investment and deliver efficiencies in highway maintenance services. The Programme started in April 2011 with sponsorship from the Department for Transport and is intended to run until 2018.

The Programme is offering local highway practitioners benefits from different ways of working. The vision is that over time, those involved in highways maintenance delivery, the local authorities as clients and their service providers, be they from the private or public sector will adopt an ambitious and longer-term approach to enable them to:

- Continuously find new and improved ways of delivering services to highway users and managing highways assets,
- Make use of collaborative partnerships to improve processes and outcomes, and
- Deliver a sustainable balance between meeting the needs of highways users, improving quality and minimising costs.

The overall Programme has been developed by the Programme Board through key personnel who support HMEP's development. This will ensure that:

- The Programme is truly being driven by what the whole sector needs and wants ('by the sector for the sector'),
- The solutions identified by the sector are relevant, realistic, repeatable, scalable and sustainable, and
- HMEP is benefits-led, driving true transformation of the sector with tangible efficiency gains and a lasting legacy.

As a transformation initiative HMEP is targeting the ways local highway authorities conduct their business. It invites the sector to adopt new ways of working to deliver efficiency savings through:

- **Collaboration & Change** – looking at how alliances between authorities, and clients and their providers, can be formed to deliver efficiencies in the delivery of highway maintenance services. Other projects are looking at changing business processes; for instance by applying LEAN thinking to the processes behind *service* delivery and how services or processes can be streamlined to realise efficiencies.
- **Procurement, Contracting and Standardisation** – advising on the routes to procurement enabling authorities to determine how their current service is aligned to current thinking and which is the best procurement option to realise their future service ambitions. It also provides the tools so that efficiencies can arise through the use of, for instance, a standardised form of contract and

highway maintenance specification which are better aligned to the activities that local highway authorities undertake.

- **Asset Management** – by providing advice to the sector in the form of updated asset management guidance; for both a simplistic and, where appropriate, more complex lifecycle planning tool to determine whole life asset costs, thus moving away from a reactive to a longer-term approach for maintaining highways assets. To provide training specifically targeted at practitioners to help them move towards an asset management approach and to adopt the new HMEP guidance and tools.
- **Benchmarking & Performance** – collecting, sharing and comparing performance data on Customer/Quality/Cost to help both understanding to show how effective local highway authorities are in delivering Value for Money services and drive targeted efficiencies.

Products and tools are being developed for each of these themes and are being designed to be interdependent, but complementary, so that authorities can maximise their returns from their investments.

ABOUT THIS SUITE OF CONTRACT DOCUMENTS

This suite of contract documents is part of the HMEP Procurement, Standardisation & Contracting theme. Entering into a contract is a time consuming process and there have been many developments in how they should be undertaken in recent years. This HMEP suite of documents compiles the current thinking around procurement and offers tools by which term maintenance services can be procured. It aims to remove the burden of maintaining the many bespoke forms of contract that authorities use and replace them with standard examples based on current good practice within the sector and is expected to be used in conjunction with the HMEP Standard Specification and Standard Details for Local Highway Maintenance to procure term service maintenance contracts or highway maintenance services. The suite comprises:

- Official Journal of the European Union (OJEU) Procedures and Notes for Guidance,
- Pre-qualification Questionnaire,
- Instructions for Tenderers and Notes for Guidance,
- The Form of Contract for Highway Maintenance Services.

These documents are located at <http://www.dft.gov.uk/hmep/efficiency/standard-form-of-contract.php>

The suite of contract documents takes practitioners through the procurement stages from advertising the intention to procure to the contract documentation needed to formalise the contractual relationships. It guides strategic thinking around the different considerations when completing these stages. In sequence, the first document, the OJEU, would be used to advertise an impending contract. The second document comprises the Pre-qualification Questionnaire which is used to determine the merits of those service providers that should be invited to tender from those that should not. The third, the Instructions for Tenderers

gives the data necessary for the *Contractor* to return the tender in the required format. Finally, the form of contract which provides the *conditions of contract* and details the Parties' contractual obligations and requirements for performance. These documents will give Local Highway Authority officers the guidance they need to make the right choices while maintaining as much flexibility as possible to increase the scope of works.

Standardisation is one of the key facets of the Programme that will contribute to delivering efficiencies. Local highway authorities need to be aware that any variation to these standard forms, particularly the form of contract, has to be considered carefully and will introduce the need to consult, check and seek appropriate contract and or legal advice. The benefits to an Authority of not making changes is that there is greater understanding through the use of these common forms that *Contractors*, in time, will become familiar and confident in using, thereby giving more competitive prices. Any change will detract from the benefit of using the common forms and will have to be measured against the perceived benefit of using other Highway Authority bespoke forms. Every change introduced increases uncertainty which the *Contractor* has to consider and which potentially leads to an increase in cost. Anything that generates inefficiencies and higher than average costs for construction activities would be considered contrary to the HMEP guiding principles.

PRE-QUALIFICATION QUESTIONNAIRE

This publication comprises the Pre-Qualification Questionnaire and associated notes for guidance. It is based on the Publicly Available Specification PAS 91 published by the British Standards Institute. The primary considerations prior to its use are how to identify and assess the competencies of the contractors you may wish to engage. Other factors such as partnering and the ability of the potential partners to work together should also be considered. It is recommended that this is an area of careful consideration as once you have entered into a contract you will have to live with the decision for a number of years.

HOW WILL THIS HELP YOU DELIVER MORE EFFICIENT SERVICES?

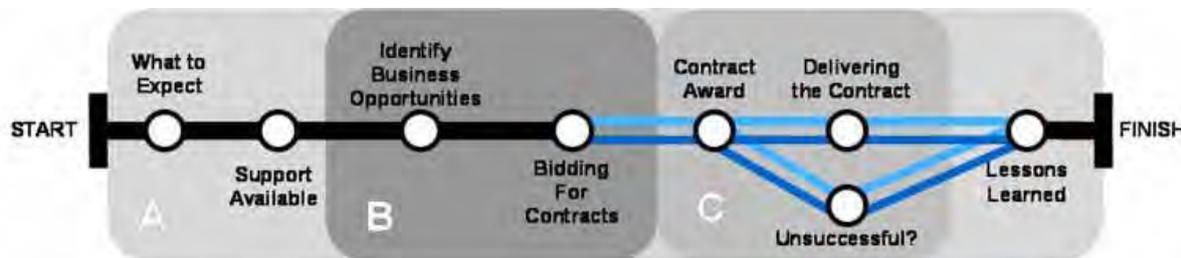
This suite of documents is aimed at local highway authorities to help guide them when procuring highway maintenance services. It is targeted at the head of procurement and head of highway level to guide their strategic thinking around the different considerations when completing their contract documents. It is based on the findings from a survey of the sector in October 2011 and examples of current contracts obtained from those authorities that have most recently procured highways maintenance services.

COMMENTS AND FEEDBACK

The HMEP Programme Board would welcome any comments and feedback on this suite of documents so that it may be reviewed, improved and refined to give the sector the best advice possible. If you wish to make a comment, please send an email to highwayefficiency@dft.gsi.gov.uk with the header 'Feedback on the HMEP Suite of Contract Documents'.

1 INTRODUCTION

- 1.1 The diagram below shows the overall process for preparing, executing and completing a contract. The Prequalification Questionnaire procedure fits in the Bidding for Contracts phase of the overall process.



PUBLICALLY AVAILABLE SPECIFICATION PAS91

- 1.2 This Prequalification Questionnaire document is based on the BSI Publicly Available Specification PAS 91 that sets out the nature, content and format of a set of questions on core criteria essential to prequalification for construction tendering.
- 1.3 PAS 91 introduces the process as set out in the extracts below:

In addition to setting out questions, the responses to which will be used to assess supplier suitability, the specification includes requirements for the selection, presentation, and application of core criteria in a transparent and equitable manner. To be eligible for prequalification it is necessary that suppliers demonstrate that they possess or have access to the governance, qualifications and references, expertise, competence, health and safety/environmental/financial and other essential capabilities necessary for them to undertake work and deliver services for potential buyers. These 'areas of capability' are represented in the core question modules.

Core question modules

PAS 91 contains prequalification questionnaire (PQQ) modules that are universally applicable to assessing the capability of all suppliers (Annex A), and additional question modules that may also be required by buyers (Annex B). It is assumed that the PQQ modules will be utilized by those competent in construction related procurement and that they will be aware that mandatory/discretionary exclusion requirements may apply.

'Project-specific' and additional questions

It is important to recognize that the information obtained from applying PAS 91 does not make further enquiries about the supplier's capabilities to satisfy specific requirements for projects, services or other activities.

It is the intention that through the application of PAS 91 to prequalification services and processes suppliers may prequalify at a time of their own choosing, commensurate with meeting the requirements of the tender process, and that successfully meeting the prequalification criteria will be recognized by all potential buyers that recognize PAS 91.

The use of this set of common criteria by those who provide prequalification services will help to streamline tendering processes by:

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

It is not suggested that inclusion on a prequalification database will necessarily guarantee an invitation to tender or an engagement of services. It is recognized that those seeking to have work done may choose to select prequalified tenderers or may decide to advertise for tenders or expressions of interest for particular projects. However, with the growth of a prequalification activity, it is suggested that by applying for prequalification through a prequalification scheme that conforms to PAS 91, those seeking to tender for construction contracts can access the tendering processes in a resource efficient manner. For those seeking to have contracts fulfilled, the use of PAS 91, either directly (through its application in self-generated prequalification processes) or through the use of an external prequalification assessment provider that adheres to the requirements of PAS 91, will enhance the effectiveness and efficiency of construction tendering processes. Its use is therefore recommended wherever construction-related prequalification is undertaken.

Scope

This publicly available specification (PAS) provides a set of questions to be asked by buyers of potential suppliers to enable prequalification for construction related procurement. This PAS also specifies requirements for the consistent use of those questions, irrespective of the size or nature of the contract. It is intended that the questions are also used by assessment providers in their intermediary role between buyers and suppliers.

It is widely recognized that excessive prequalification activity adds unacceptable cost, bureaucracy and confusion to the construction supply chain. Unnecessary bureaucracy associated with prequalification diverts both buyers' and suppliers' resources and attention away from proportionate and effective risk management.

Buyers and assessment providers should only require suppliers to provide the minimum paperwork necessary to demonstrate that the suppliers can provide a satisfactory response to the questions in the PAS 91 modules.

This PAS provides construction sector stakeholders with prequalification questionnaires (PQs) that:

- are the common questions that are relevant to construction-related procurement and;*
- increase the scope for recognition between various types of PQQ activity, helping to significantly reduce duplication, unnecessary paperwork and cost for both buyers and suppliers.*

The questions are presented in modules that cover 'areas of supplier capability' as follows:

Annex A – setting out questions that buyers are required to ask in all instances and that suppliers are therefore required to answer.

Table A1 Core question module A1 Supplier identity, key roles and contact information

Table A2 Core question module A2 Financial information

Table A3 Core question module A3 Business and professional standing

Table A4 Core question module A4 Health and safety policy and capability

Annex B – setting out questions on 'areas of supplier capability' that buyers frequently require answers to, for use when these are relevant.

Table B1 Supplementary question module B1 Health and safety policy and capability – designers and CDM co-ordinators

Table B2 Supplementary question module B2 Equal opportunity and diversity policy and capability

Table B3 Supplementary question module B3 Environmental management policy and capability.

Table B4 Supplementary question module B4 Quality management policy and capability.

The questions provided are already widely asked across a range of commonly applied construction related PQs. This PAS provides for their use in a uniform manner.

Annex C provides an example of how the recognition of sector schemes and UKAS accredited certification can be used to further reduce the burden of prequalification.

- 1.4 It is important to note, that for this PQQ to be effective in reducing cost for both the Authority and Applicant, Questions in Annex A and B shall remain without addition to, or modification of, the individual questions
- 1.5 Annex D provides additional questions that the buyer may choose to use, delete or add to, in satisfying specific requirements for projects, services or other activities.
- 1.6 PAS 91 also states:

PAS 91 has been developed to maintain and consolidate current standards and good practice in PQQ activity in a manner that will reduce unnecessary proliferation of questions and question formats so as to significantly improve the cost-effectiveness of prequalification for both buyer and supplier. This PAS specifies what is to be asked in PQQs for construction-related procurement but not how the enquiry process is to be undertaken. It is not intended to add to or 'gold plate' PQQ activity or to raise requirements or standards beyond those which are already widely accepted as good practice in the construction sector.

INSTRUCTIONS FOR COMPLETION OF THE PREQUALIFICATION QUESTIONNAIRE

- 1.7 The Annexes in the Pre-Qualification Questionnaire are available in Microsoft WORD format for Applicants to download for completion at www.dft.gov.uk/hmep/efficiency/standard-form-of-contract.php.
- 1.8 These Annexes must be completed in full and returned in their original format by all Applicants wishing to receive an Invitation to Tender for the contract. The information provided by Applicants shall be used in determination of which Applicants shall receive an Invitation to Tender, but any Invitation to Tender based on this Questionnaire does not imply any acceptance by the Authority of an Applicant's financial viability, technical competence or ability to perform the Contract. The Authority reserves the right to return to these matters as part of the evaluation process for award of the Contract.
- 1.9 If the Authority requires further information concerning your application form, your Organisation will be contacted. If documents are not provided where requested, the Authority reserves the right to exclude the applicant.
- 1.10 Please limit all responses to a maximum of 500 words, unless specified otherwise for particular question(s). The relevant section may be marked at a score of zero if this word limit is exceeded.
- 1.11 The Questionnaire is multi-functional and Applicants should complete only those sections applicable to its Organisation. If the Questionnaire is being completed by an Applicant which is part of a group the questions should be answered specifically for the Applicant and not for the group.
- 1.12 Applicants shall note that the Authority will carry out financial appraisals of Applicants that apply to tender for the Authority's contracts to ensure that such Applicants satisfy the Authority of their financial viability and are capable of supporting the service to be provided. Based on the assessment any Applicant deemed unsuitable will be excluded.
- 1.13 By submitting this Questionnaire the Applicant authorises the Authority to undertake any financial checks that it deems relevant to ascertain the financial status of the Applicant and its principals.

- 1.14 The Authority reserves the right to visit and or make further enquiries regarding the reference projects included in this questionnaire.
- 1.15 Following assessment of the PQQ up to **XXX (Authority to enter number)** companies, selected as the highest scoring respondents who indicate that they intend to submit a tender will be included in the next stage of the procurement process.
- 1.16 Shortlisted Applicants from this stage will be invited to tender for the projects, services or other activities. Tenders will be evaluated on a most economically advantageous tender basis with high level evaluation criteria of: Quality: 70%, Price: 30% (*The Authority will determine this ratio*). The detailed evaluation criteria and methodology will be set out in the Instructions for Tenderers (IfT) documents issued to shortlisted Applicants.
- 1.17 Please ensure the copies of all documents requested in Part B are received by 12.00 noon on **XX/XX/XXX (Authority to enter date)** to the address supplied at section I, item I.1 of the Contract Notice (**OR Authority to enter address details**).
- 1.18 If you should have any queries on completing this application form, please contact the Authority contact supplied at section I, item I.1 of the Contract Notice (**OR Authority to enter address details**).

SCOPE OF THE CONTRACT

- 1.19 The scope of the Term Maintenance Contract(s) is for the execution of highway, civil and municipal engineering. Typical schemes may involve, but not exclusively, reactive highway works, cyclic works (e.g. grass cutting, gulley cleansing, and surface dressing), minor highway improvements, minor drainage works, traffic improvement schemes and other highway maintenance works.
- 1.20 Works will be undertaken primarily within the administrative boundaries of the single Authority, however work may be required within the boundary as made up by any existing alliance members (on behalf of the authorities concerned, or any other publicly-funded body working in conjunction with the authorities) or other such bodies located within or adjacent to the geographical region of the single Authority.
- 1.21 The Applicant may ascertain whether or not the contract is for an alliance from Section I, item I.4 (*Contract award on behalf of other contracting authorities*) and Annex A on the Contract Notice.

EVALUATION CRITERIA

- 1.22 Please note that if any of the information supplied in the Questionnaire changes in the ensuing evaluation period, the Applicant is required to notify the Council accordingly.
- 1.23 Please complete the application in English.
- 1.24 All sections should be produced as stand alone documents to allow for ease of assessment. Applicants are asked to confine their responses to the information requested.
- 1.25 Annexes A.4: Health and Safety Policy and Capability, Annex B.1 - Health and Safety Policy and Capability - CDM Co-ordinators and Designers and B4: Quality Management Policy & Capability are assessed according to Pass/Fail criteria.

- 1.26 The remainder of the submissions will be scored in accordance with Table 1. The Contracting Authority should determine the scoring they wish to utilise, including the use of further pass/fail criteria, and ensure that assessors are suitably trained to provide a consistent result. It is recommended that an odd number of assessors greater than one be used and that each assessor marks the same sections in the PQQ.
- 1.27 The score will be produced by dividing the question score by 5 (the maximum available in any case); multiplying it by the question weighting; multiplying by the annex weighting; multiplying by 100% and summing these values to produce a total.

i.e.

$$\frac{\text{Question score}}{5} \times \text{Question weighting} \times \text{Annex weighting} \times 100\% = \text{Total}$$

Table 1 - Scoring criteria

Score Band	Rationale	General Description
0	Response contains insufficient information to make a judgement	Wholly unsatisfactory
1	Response contains significant omissions, weaknesses or concerns	Unsatisfactory
2	Response contains some omissions, weaknesses or concerns	Cause for concern
3	Response indicates acceptable confirmation, experience or credibility	Acceptable
4	Response indicates significant and appropriate experience or credibility	Very Good
5	Response indicates significant and appropriate experience or credibility and excellent past performance	Outstanding

- 1.28 A score on two answers of 0 shall result in the Applicant being disqualified from the Tender Selection Process. *(The Authority will determine the number of scores at 0 for disqualification of the Applicant).*
- 1.29 It is important that the assessors mark only what is provided and do not allow previous personal experiences to affect the mark. A clear audit trail should be retained in case the scoring is the subject of a challenge.

Table 2 - Scoring Matrix

Annex A - Core Questions	Annex weighting	Question no(s).	Question weighting	Min	Max
Annex A.1 - Supplier Identity, Key Roles and Contact Information	n/a	A.1-1 to A.1-6	n/a	n/a	n/a
Annex A.2 - Financial Information	20%	A.2-1a)	12.5%	0	5
		A.2-1b)	12.5%	0	5
		A.2-1c)	12.5%	0	5
		A.2-1d)	12.5%	0	5
		A.2-2a)	12.5%	0	5
		A.2-2b)	12.5%	0	5
		A.2-2c)	12.5%	0	5
		A.2-2d)	12.5%	0	5
Annex A.3 - Business and Professional Standing	10%	A.3-1	33.3%	0	5
		A.3-2	33.3%	0	5
		A.3-3	33.4%	0	5
Annex A.4 - Health and Safety Policy and Capability	Pass/Fail	A.4-1	Pass/Fail		
		A.4-2	Pass/Fail		
		A.4-3	Pass/Fail		
		A.4-4	Pass/Fail		
		A.4-5	Pass/Fail		
		A.4-6	Pass/Fail		
		A.4-7	Pass/Fail		
		A.4-8	Pass/Fail		
		A.4-9	Pass/Fail		
		A.4-10	Pass/Fail		
		A.4-11	Pass/Fail		
		A.4-12	Pass/Fail		

Annex B - Supplementary Questions	Annex weighting	Question no(s).	Question weighting	Min	Max
Annex B.1 - Health and Safety Policy and Capability - CDM Co-ordinators and Designers	Pass/Fail	B.1-1	Pass/Fail		
		B.1-2	Pass/Fail		
		B.1-3	Pass/Fail		
		B.1-4	Pass/Fail		
Annex B.2 - Equal Opportunity and Diversity Policy and Capability	15%	B.2-1	15%	0	5
		B.2-2	15%	0	5
		B.2-3	10%	0	5
		B.2-4	15%	0	5
		B.2-5	15%	0	5
		B.2-6a)	10%	0	5
		B.2-6b)	10%	0	5
B.2-6c)	10%	0	5		
Annex B.3 - Environmental Management Policy and Capability	15%	B.3-1	20%	0	5
		B.3-2	20%	0	5
		B.3-3	20%	0	5
		B.3-4	20%	0	5
		B.3-5	20%	0	5
Annex B.4 - Quality Management Policy and Capability	Pass/Fail	B.4-1	Pass/Fail		
		B.4-2	Pass/Fail		
		B.4-3	Pass/Fail		
		B.4-4	Pass/Fail		
		B.4-5	Pass/Fail		

Annex D – Additional Questions	Annex weighting	Question no(s).	Question weighting	Min	Max
Annex D1 - Company Information	4%	D.1-1	n/a	n/a	n/a
		D.1-2	20%	0	5
		D.1-3	30%	0	5
		D.1-4	n/a	n/a	n/a
		D.1-5	n/a	n/a	n/a
		D.1-6	n/a	n/a	n/a
		D.1-7	n/a	n/a	n/a
		D.1-8	n/a	n/a	n/a
		D.1-9	n/a	n/a	n/a
		D.1-10	25%	0	5
		D.1-11	25%	0	5
		D.1-12	n/a	n/a	n/a
		D.1-13	n/a	n/a	n/a
		D.1-14	n/a	n/a	n/a
Annex D.2 - Financial Information	10%	D.2-1	n/a	n/a	n/a
		D.2-2	n/a	n/a	n/a
		D.2-3	12.5%	0	5
		D.2-4	n/a	n/a	n/a
		D.2-5	n/a	n/a	n/a
		D.2-6	17.5%	0	5
		D.2-7	7.5%	0	5
		D.2-8	12.5%	0	5
		D.2-9	12.5%	0	5
		D.2-10	12.5%	0	5
		D.2-11	7.5%	0	5
		D.2-12	17.5%	0	5
Annex D.3 - Business and Professional Standing	2%	D.3-1	33.3%	0	5
		D.3-2	33.3%	0	5
		D.3-3	33.3%	0	5
Annex D.4 - Health and Safety	6%	D.4-1	n/a	n/a	n/a
		D.4-2	20%	0	5
		D.4-3	35%	0	5
		D.4-4	45%	0	5

Annex D – Additional Questions	Annex weighting	Question no(s).	Question weighting	Min	Max
Annex D.5 - Equal Opportunity and Diversity	1%	D.5-1	100%	0	5
Annex D.6 - Environmental Policy	4%	D.6-1	25%	0	5
		D.6-2	25%	0	5
		D.6-3	25%	0	5
		D.6-4	25%	0	5
Annex D.7 - Ability, Technical and Resources	10%	D.7-1a)	5%	0	5
		D.7-1b)	5%	0	5
		D.7-1c)	5%	0	5
		D.7-2	15%	0	5
		D.7-3	10%	0	5
		D.7-4	10%	0	5
		D.7-5	10%	0	5
		D.7-6a)	5%	0	5
		D.7-6b)	5%	0	5
		D.7-6c)	5%	0	5
		D.7-7	5%	0	5
		D.7-8	5%	0	5
		D.7-9	5%	0	5
		D.7-10	5%	0	5
D.7-11	5%	0	5		
Annex D.8 - Quality Assurance	2%	D.8-1	33%	0	5
		D.8-2	34%	0	5
		D.8-3	33%	0	5
Annex D.9 - References	1%	D.9-1a)	33.3%	0	5
		D.9-1b)	33.3%	0	5
		D.9-1c)	33.3%	0	5

1.30 The 'Annex weighting' and 'Question weighting' in Table 2 are for the Authority to review. The weightings included are given only as an example.

DECLARATIONS

1.31 Annex E contains mandatory declarations which Applicants must agree to and sign in order to be considered for the next stage of the process.

ANNEX A – CORE QUESTIONS

A1. Supplier Identity, Key Roles and Contact Information

Section A.1 provides the Authority with the Applicant's general details.

In response to this Pre-Qualification Questionnaire you must provide details of the Applicant that will contract directly with the Authority, whether in their own rights or as part of a Consortium/Joint Venture or other formal partnership. (For a Consortium/Joint Venture expressing an interest in this requirement, a letter must be submitted from each member of the group's own registered office confirming the Consortium/Joint Venture to which they belong for the purposes of this requirement.).

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Applicant's unique reference to supporting information
	Full name of organization	Organization either applying or acting as lead contact where a consortium bid is being submitted	
	Registered office address	Property name, street name, town, county, postcode	
	Company or charity registration number		
	VAT registration number		
	Name of immediate parent company		
	Name of ultimate parent company		

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Applicant's unique reference to supporting information
A1-2	Type of organization	E.g. PLC, limited company, Limited Liability Partnership other partnership, sole trader, other (please specify). If PLC, limited company or LLP please provide Companies House registration number	
A1-3	Contact details for enquiries	Contact name, title, email, telephone number	
A1-4	Company operating address (If different from that of registered office, provided in response to A1-1)	Property name, street name, town, county, postcode	
A1-5	Consortia and sub-contracting Please indicate either a), b) or c).	a) Your organization is bidding to provide services required itself; b) Your organization is bidding in the role of prime contractor and intends to use third parties to provide some services; c) The potential provider is a consortium.	
A1-6	Staffing Please provide information as to:	<ul style="list-style-type: none"> • How many staff does your organization employ (including consortia members or sub-contractors where appropriate) in total? • How many staff does your organization employ relevant to the carrying out of services and/or delivery of goods similar to those required under this contract? • If you need to take on additional resources to deliver the contract, please indicate by how many staff (approx). 	

A2. Financial information

Section A.2 provides the Authority with the Applicant's financial and insurance details for the Authority to determine the Applicant's financial stability.

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Applicant's unique reference to supporting information
A2-1	<p>Accounts and financial statements</p> <p>1. In respect of the Applicant for which prequalification is sought (the supplier organization), please provide the financial information described in a) through d) in the adjacent column.</p> <p>2. In addition, where the supplier organization is a subsidiary in a group, the responses described in a) through c) are required for the organization overall responsible for the group.</p> <p>3. Where a consortium or association is proposed, the responses described at a) through c) are required for each member of the consortium.</p>	a) Copy of your audited accounts for the most recent three years.	See Note below: Process used for reviewing accounts
		b) Statement of your organizations turnover, profit and cash flow for the most recent full year of trading or where a full year of trading has not been completed the same information for the period applicable. NOTE If this information is not available in an audited format please provide an end of period balance sheet or make the response specified at c)	
		c) A statement of your organization's cash flow forecast for the current year and a letter from your bank outlining the current cash and credit position.	
		d) Alternative means of demonstrating financial status if trading for less than a year.	

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Applicant's unique reference to supporting information
A2-2	Insurance statement and certificates	<p>Please confirm whether you have or would be willing to take out the appropriate level of insurance cover as set out in the Statement of Requirements if you are successful in winning the contract?</p> <ul style="list-style-type: none"> · employers liability insurance (does not apply to sole traders) <input type="checkbox"/> <i>Have</i> <input type="checkbox"/> <i>Willing to</i> · public liability insurance <input type="checkbox"/> <i>Have</i> <input type="checkbox"/> <i>Willing to</i> · professional liability/indemnity (where design input) <input type="checkbox"/> <i>Have</i> <input type="checkbox"/> <i>Willing to</i> · product liability (for supplied goods) <input type="checkbox"/> <i>Have</i> <input type="checkbox"/> <i>Willing to</i> 	

NOTE At the discretion of the Authority a minimum level of turnover may be specified, however authorities should avoid insisting on requirements which may not be proportionate or relevant to the procurement, or which may discriminate against or be burdensome for Small and Medium Enterprises (SMEs) or new providers. It is acknowledged that the nature and extent of the accounts provided will be commensurate with the business requirements and legal obligations of the Applicant. To be included in the Tender Selection Process, SMEs should be assessed to check:

- Is the Applicant sufficiently resourced to manage high value contracts?
- Is it applying for a contract that is beyond its current ability?

Process used for reviewing accounts

Audited accounts (covering three financial years) are reviewed in conjunction with the estimated value and duration of the contract being applied for. The following aspects are considered:

- Are these the latest set of accounts, are they unqualified (clean audit opinion)?
- Has the Applicant made consecutive profits?
- What is the Chairman/Directors report indicating about the performance and future of the Applicant? Is it likely to be a going concern?
- Is the Applicant solvent – does it have the ability to meet its current obligations and the contract if awarded?

- How is the Applicant being funded, are there any loans? (liquidity or leveraging)
- Is it under capitalised or over capitalised?
- What is the level of disclosure? If minimal, consider the reasons for this i.e. closed company or if small company entitled to produce abbreviated accounts.
- Is the Applicant up to date in filing its returns with the Companies Office (if registered) Date of incorporation? Date last accounts filed.
- At what stage is the Applicant in the life cycle of its business?

The accounts are analysed in more detail focusing on the primary statements being the profit and loss statement, balance sheet and cash flow.

- Turnover.
- Profit in relation to Turnover.
- Ratios, for example “acid test” ratio (this shows the amount of cash available to meet immediate payments).
- Cash flow analysis – this highlights the current financial state. The continuous flow of cash through an organisation is a vital part of its survival. The control of cash is therefore essential to its well being. Care must be taken that there is sufficient cash available at all times to meet unknown commitments.

With regard to higher value contracts, data from internet searches, stock market reviews and any other source that would give up-to-date information on the Applicant’s financial standing may be considered. (Company website and interim accounts may be considered).

A3. Business and Professional Standing

Authorities shall require that Applicants, in their responses to the questions in module A3 make known all pertinent information in respect of business related, criminal or civil court judgements against them and identify any ongoing or pending cases.

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
A3-1	Has your company or any of its Directors and Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgement against you or them?	Please provide details. Responses will be taken into account in assessing the outcome of this prequalification application where the circumstances of the judgement are pertinent to future projects. They will not necessarily constitute a reason for rejection. Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details.	Enter unique references for details, if applicable
A3-2	Is your company or any of its Directors and Executive Officers the subject of ongoing or pending criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in?	Please provide details now and notification of outcome, when known. Responses will be noted but will have no bearing on the outcome of this prequalification application unless or until a conviction is confirmed. In the event that no notification of outcome is received, subsequent enquiry may be made of the supplier. Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details.	Enter unique references for details, if applicable
A3-3	Has your company or any of its Directors and Executive Officers been in receipt of enforcement/remedial orders (such as those in relation to HSE, Environmental Agency or HMRI enforcement), in the last three years?	Please provide details, including the status of the required action. Responses will be taken into account as part of the assessment process. Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details.	Enter unique references for details, if applicable

A4. Health and safety policy and capability

Section A.4 provides the Authority with information to determine whether or not the Applicant can demonstrate their commitment to Health and Safety.

If an Applicant holds a current Safety Schemes in Procurement (SSIP) Health and Safety Certificate they are not required to answer the questions in this module. Please include a copy of your SSIP Health and Safety Certificate in your submission.

This module will be evaluated against the Pass/Fail requirements stated below. Applicants must achieve a "Pass" in all questions in this section to be shortlisted for Invitation to Tender.

Please note the word limit for a response on each individual numbered pass requirement in column 4 in the following tables is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-1	Are you able to demonstrate that you have a policy and organization for health and safety (H&S) management?	<p>Please provide evidence of an H&S policy endorsed by the chief executive officer that is regularly reviewed. The policy should be relevant to the nature and scale of the work and set out responsibilities for H&S management at all levels in the organization.</p> <p>Note Organizations with less than five employees are not required by law to have a documented policy statement and the need to reduce documentary requirements on microbusinesses in particular should be taken into account by buyers and assessment providers.</p>	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Evidence and demonstrable experience of understanding what is required under HSAWA 1974, MHSWA Regulations 1999, HSG 65, OHSAS 18001. 2. Evidence and demonstrable experience of understanding what is required under CDM 2007, discharge of duties and responsibilities, appointment details for design team and associated parties. 3. Evidence of understanding of not just client duties but also CDMC, Designer, PC, and Contractor, and how these are communicated to the workforce. 4. Evidence of open door / feedback facility. Welfare provisions included in H&S policy <div style="border: 1px solid black; padding: 5px; margin-top: 10px; color: red; text-align: center;"> <p>Enter unique references for evidence</p> </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-2	Are you able to demonstrate arrangements for ensuring that your H&S measures are effective in reducing/preventing incidents, occupational ill-health and accidents?	Please provide details of the arrangements for H&S management that are relevant to the nature and scale of the work undertaken. These should set out how the company will discharge its duties under CDM 2007, with a clear indication of how these arrangements are communicated to the workforce.	Provide good or excellent: <ol style="list-style-type: none"> 1. Understanding of the process for reducing and eliminating accidents/incidents and near misses. 2. Policies, procedures and safe systems of work to prevent accidents/incidents and near misses. 3. Understanding of culture required to promote a positive attitude towards employee occupational health, safety and welfare. 4. Provision of health care for all employees. 5. Policies and procedures for near miss reporting, recording and reviewing of near misses, and details of how information is communicated to the workforce and how this is monitored. 6. Inclusion of supply chain in accident policies, procedures, and occupational health & welfare. 7. Evidence of KPIs and targets for the reduction and elimination of accidents, incidents and near misses. <div style="border: 1px solid black; padding: 5px; margin-top: 10px; color: red; text-align: center;"> Enter unique references for evidence </div>
A4-3	Do you have access to competent H&S advice/assistance – both general and construction/sector related?	Please provide evidence of how your organization obtains access to competent H&S advice, including for the workforce. (Access to competent in-house advice, in whole or part, is preferred). It is essential that the advisor(s) be able to provide general H&S advice and that (from the same source or elsewhere) advice relating to construction H&S issues is accessible as required.	Provide good or excellent: <ol style="list-style-type: none"> 1. Evidence of a proactive approach to provision of H&S advice. 2. Evidence of how the organisation keeps up to date with health and safety legislation and the capture and sharing of H & S lessons learnt. 3. CV of those providing advice showing suitable qualifications and substantial experience.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-3 contd			<p>4. Evidence of continued professional development of persons responsible for Health & Safety.</p> <p>5. Evidence of advice being taken, and H & S policies being amended accordingly within the last 12 months.</p> <div data-bbox="1077 607 1465 725" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>
A4-4	<p>Do you have a policy and process for providing your workforce with training and information appropriate to the type of work for which your organization is likely to bid?</p>	<p>Provide evidence that your organization has in place and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to discharge their various duties. This should include a programme of refresher training (e.g. a CPD programme) that will keep the workforce updated on legislation and good H&S practice applicable throughout the company.</p>	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Evidence of a proactive approach to training including an active CPD programme. 2. Evidence of a company wide training programme specific to work proposed. 3. Evidenced levels of training i.e. IOSH Directing Safely for Board Members through to Managing Safely, NEBOSH Construction Certificate and Working Safely. Records of attendance and adequate induction training for site based workforce. Details of "toolbox talks" provided. 4. Evidence of live training for fire Wardens and First Aid provision. Evidence of a Site employees training programme. 5. Evidence of the commitment to ongoing training of staff and safety culture within the Organisation. 6. Evidence that training needs are identified and re-assessed at regular intervals. <div data-bbox="1077 1711 1465 1830" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-5	Does your workforce have H&S or other relevant qualifications and experience sufficient to implement your H&S policy to a standard appropriate to the work for which your organization is likely to bid?	Be able to demonstrate that your workforce possesses suitable qualifications and experience for the tasks assigned to them, unless there are specific situations where they need to work under controlled and competent supervision e.g. trainees.	<ol style="list-style-type: none"> 1. Provide good or excellent: Evidence of a proactive approach to provision of H&S advice. 2. Evidence of how the organization keeps up to date with health and safety legislation and the capture and sharing of H & S lessons learnt. 3. CV of those providing advice, if provided, showing suitable qualifications and substantial experience. (CSCS, NVQ 3-4, IOSH, IIRSM, BSC, ROSPA etc) 4. Evidence of advice being taken, and H & S policies being amended accordingly within the last 12 months. 5. Evidence of the commitment to ongoing training of staff and safety culture within the Organisation. 6. Evidence that training needs are identified and re-assessed at regular intervals. 7. Evidence of a proactive approach to provision of H&S advice. 8. Evidence of how the organization keeps up to date with health and safety legislation and the capture and sharing of H & S lessons learnt. 9. CV of those providing advice, if provided, showing suitable qualifications and substantial experience. (CSCS, NVQ 3-4, IOSH, IIRSM, BSC, ROSPA etc) 10. Evidence of advice being taken, and H & S policies being amended accordingly within the last 12 months. 11. Evidence of the commitment to ongoing training of staff and safety culture within the Organisation.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-5 contd			<p>12. Evidence that training needs are identified and re-assessed at regular intervals.</p> <div data-bbox="1086 450 1473 566" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>
A4-6	Do you check, review and where necessary improve your H&S performance?	Please provide evidence that your organization has in place and implements, a system for monitoring H&S procedures on an ongoing basis and for periodically reviewing and updating that system as necessary.	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Evidence of good communication at all levels throughout the organization. 2. Evidence of recent monitoring, audit and management response provided. 3. Evidence of discussion and reporting within senior management team and action taken. 4. Evidence of compliance with ISO & OHSAS International Standards and development of action plans and business development plans. 5. Evidence for review of targets, KPI's and goals set and achieved. 6. Evidence of facility for feedback / worker involvement in the review and changes of policy documents. <div data-bbox="1086 1406 1473 1523" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-7	Do you have procedures in place to involve your workforce in the planning and implementation of H&S measures?	Please provide evidence that your organization has in place and implements a means of consulting with its workforce on H&S matters and show how workforce comments, including complaints are taken into account.	Provide good or excellent: <ol style="list-style-type: none"> 1. Evidence of specific records of Health and Safety committees and consultation. 2. Evidence of how the changes in policy and procedures are communicated to staff i.e. in the form of e-mails, talks, training workshops, news letters etc. 3. Evidence of the communication process. With examples of topics discussed recently. 4. Evidence provided how the applicant facilitates feedback on H&S matters to/from the workforce. 5. Demonstration of a positive attitude in visible felt leadership and workforce engagement. <div style="border: 1px solid black; padding: 5px; margin-top: 10px; color: red; text-align: center;"> Enter unique references for evidence </div>
A4-8	Do you conduct accident/incident reporting and undertake follow-up investigation?	Please provide access to all records of RIDDOR-reportable events which should include accident rates and frequency, for at least the last three years. Demonstrate that your organization has in place a system for reviewing significant incidents, and recording action taken as a result including action taken in response to enforcement. Explanatory Note for Assessors: Architects, designers, CDM co-ordinators or consultants typically have very low accident rates, and even large practices may typically go for a period of 3 years without experiencing a RIDDOR reportable accident. Although some consultants regularly visit construction sites, most of their work is carried out in a low hazard office environment.	Provide good or excellent: <ol style="list-style-type: none"> 1. Evidence of understanding of RIDDOR and the duties it places in reporting of accidents. 2. Named person to liaise with HSE 3. Provision of accident statistics and evidence provided of how accidents/incidents are recorded and investigated and actions taken to reduce or eliminate risk. 4. Policies and procedures for near miss reporting, recording and reviewing of near misses, and details of how information is communicated to the workforce and how this is monitored. 5. Evidence of inclusion of supply chain in accident policies and procedures, and

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-8 contd			<p>recording of statistics as part of internal reports.</p> <p>6. Evidence of KPI's and targets for the reduction and elimination of accident frequency rate.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>
A4-9	Do you have arrangements for ensuring that your suppliers apply H&S measures to a standard appropriate to the work for which they are being engaged?	Be able to demonstrate that your organization has and implements, arrangements for monitoring supplier's H&S procedures and for ensuring that H&S performance appropriate for the work to be undertaken is delivered throughout the whole of your organizations supply chain.	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Specific details which include the assessment of the hazards posed by conflicting contractors and procedures for minimising their interaction on site. 2. Evidence of discussions with workforce on changes to working practices throughout the construction period / programme period. Suggestion / feedback forms provided. 3. Evidence of assessment procedures including assessment of subcontractor resources, examples and evidence provided showing how subcontractor/consultant performance is monitored. 4. Evidence showing safety inspection regime, and sub-contractor liaison groups. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>
A4-10	Do you operate a process of risk assessment capable of supporting safe methods of work and reliable project delivery where necessary?	Be able to demonstrate that your organization has in place and implements procedures for carrying out risk assessments and for developing and implementing safe systems of work ('method statements'). Be able to provide relevant indicative examples. The identification and control of any significant occupational health issues should be prominent. NOTE Organizations with five or	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Procedural evidence on the identification of hazards and risk mitigation. 2. Evidence of the development of task specific risk assessments relevant to the work being undertaken. 3. Procedural evidence of task specific method statements and safe systems of work.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-10 Contd		less employees are not required by law to record risk assessments. In addition to ensuring risk management, the need to reduce documentary requirements on micro-businesses in particular should be taken into account by buyers and assessment providers.	<p>4. Evidence of worker engagement in the risk management process.</p> <p>5. Evidence of good communication and continued liaison with those carrying out the work.</p> <div data-bbox="1075 589 1461 707" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>
A4-11	Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?	<p>Please provide explanation of how co-operation and co-ordination of the work is achieved in practice, and how other organizations are involved in drawing up method statements/safe systems of work etc. including arrangements for response to emergency situations. This should include details of how comments and input from your suppliers will be taken into account and how external comments including any complaints, will be responded to.</p> <p>Explanatory Note for Assessors: Architects, designers or consultants do often engage sub consultants to provide specialist input or to cope with high workloads. However normally sub consultants carry out their work in the office environment, or may be rare visitors to site. Sub consultants will not typically be exposed to site risks in the way that sub contractors are. The focus of attention for the assessor should be on ensuring that sub – consultants will discharge their design and general duties to the same extent as the hiring consultant.</p>	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Specific details provided which include the assessment of the hazards posed by conflicting contractors and procedures for minimising their interaction on site. 2. Evidence of discussions with workforce on changes to working practices throughout the construction period/programme period. Suggestion/feedback forms provided. 3. Evidence of assessment procedures including assessment of subcontractor resources, examples and evidence provided showing how subcontractor/consultant performance is monitored. 4. Evidence showing safety inspection regime, and sub-contractor liaison groups. <div data-bbox="1075 1507 1461 1626" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
A4-12	Do you have arrangements for ensuring that on-site welfare provision meets legal requirements and the needs/expectations of your employees?	<p>Be able to demonstrate how the supplier ensures suitable welfare facilities will be in place before starting work on site, whether provided by site-specific arrangement or own organizational measures.</p> <p>Explanatory Note for Assessors: Architects, designers, CDM co-ordinators or consultants will only provide welfare facilities on site in very exceptional circumstances, Normally they will use facilities provided for them by a Principal Contractor. The focus for the assessor should be on ensuring that arrangements are in place by the consultant to ensure access for their staff to welfare facilities provided by the Principal Contractor.</p>	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Procedural evidence provided with examples of policies and procedures that demonstrate that a systematic analysis has been carried out to identify all potential risks associated with occupational health. 2. Evidence on the organisations occupational health strategy, policies and procedures which covers these areas. 3. Evidence of ongoing health surveillance undertaken (both project specific and corporate). 4. Evidence of occupational health advice sought following a serious injury/illness regarding fitness to resume work. 5. Evidence of the organisations policy and procedures for dealing with stress and stress counselling. 6. Evidence of the organisations policies and procedures for dealing with drugs and alcohol. 7. Evidence of initiatives covering health promotion in the workplace and away from work. <div style="border: 1px solid black; padding: 5px; margin-top: 10px; color: red; text-align: center;"> Enter unique references for evidence </div>

ANNEX B – SUPPLEMENTARY QUESTIONS

B1. Health and Safety policy and capability – CDM co-ordinators and designers

This section only needs to be included if:

- the Applicant will be a Designer under the definition in the CDM Regulations 2007, when question B1-1 only will need an answer or
- the Applicant is to be appointed as the CDM Coordinator, when questions B1-2, 3 & 4 will need an answer.

Section B.1 provides the Authority with information to determine whether or not the Applicant can demonstrate their understanding of the CDM regulations as a Designer and/or CDM Coordinator.

If an Applicant holds a current Safety Schemes in Procurement (SSIP) Health and Safety Certificate they are not required to answer the questions in this module. Please include a copy of your SSIP Health and Safety Certificate in your submission.

This module will be evaluated against the Pass/Fail requirements stated below. Applicants must achieve a “Pass” in all questions in this section to be shortlisted for invitation to tender.

Please note the word limit for a response on each individual numbered pass requirement in column 4 in the following tables is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant’s unique reference to supporting information
B1-1	<p>If you are a designer, do you have and implement arrangements for meeting your duties under regulation 11 of CDM2007?</p> <p>(If not a designer, please enter ‘not applicable’ in the evidence reference column and proceed to question B1-2.</p> <p>If entering a response to this question as a designer, it will not be necessary to respond to questions B1-2, B1-3 or B1-4)</p>	<p>Please provide evidence showing how you:</p> <ul style="list-style-type: none"> • ensure co-operation and co-ordination of design work within the design team and with other designers/contractors; • ensure that hazards are eliminated and any remaining risks controlled; • ensure that any structure that will be used as a workplace will meet relevant requirements of the Workplace (Health, Safety and Welfare) Regulations 1992; • manage design changes. 	<ol style="list-style-type: none"> 1. Provide good or excellent: Understanding of the role of a designer and how this can remove or significantly reduce the risk during the initial design, construction and operational phase of the project. 2. Advise the Client on his duties under the CDM Regulations 2007, and new technology in order to remove or mitigate the risks associated with maintaining and operating the building.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
B,1-1 contd		<p>Please provide examples showing how risk was reduced through design.</p> <p>NOTE Emphasis should be on practical measures that reduce particular risks arising from the design, not on lengthy procedural documentation highlighting generic risks.</p>	<ol style="list-style-type: none"> 3. Understanding of environmental changes and sustainability when designing and selecting materials for construction. 4. Communication with all duty holders and other designers at the earliest stages of the project. 5. Evidence of hazards and high risk activities identified at the initial design concept and suitable and sufficient design risk assessments prepared and how these hazards and risks have been designed out or mitigated during the initial design stages. 6. Design philosophy statement prepared and hazards and risks designed out or mitigated during the initial design stages. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique references for evidence</p> </div>
B1-2	<p>If you are a CDM coordinator, are you able to demonstrate how you encourage co-operation, co-ordination and communication between designers (and anyone else)?</p>	<p>Please provide evidence in the form of real examples rather than by generic documents.</p>	<p>Provide good or excellent:</p> <ol style="list-style-type: none"> 1. Evidence provided demonstrating an understanding of what is required under CDM 2007. 2. Evidence provided demonstrating an understanding of the role of the Client, Designer's, Principal Contractor and Contractors. 3. Evidence of understanding of CDM-C duties and scope of service, responsibilities and appointment details. 4. Evidence of the discharge of The CDM-C Duties, for notifiable works.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
B1-2 Contd			5. Evidence of co-ordination and co-operation throughout a project. <div style="border: 1px solid black; padding: 5px; text-align: center; color: red;">Enter unique references for evidence</div>
B1-3	If you are a CDM Coordinator, are you able to provide evidence of your field of knowledge and experience in the design and construction process?	Please provide examples of actual attainments which should indicate competence as in the case of <ul style="list-style-type: none"> • Professionally Qualified to Chartered level (Note 2); • Membership of a relevant construction institution, e.g. CIAT, CIBSE, CIOB, ICE, IET, IMechE, IStructE, RIBA, RICS. 	Provide good or excellent: <ol style="list-style-type: none"> 1. CV and portfolio providing evidence of experience gained through various projects. 2. Evidence of suitable qualifications with regards to Health & Safety (CMIOSH, MIIRSM etc). 3. Evidence of design qualification and professional development. 4. Evidence of recent training and continued professional development. 5. Detailed evidence of project portfolio from small refurbishment works to large scale complex projects. 6. Evidence of CDM involvement in design risk and design project meetings. 7. Evidence of ongoing support through design review and project progress meetings <div style="border: 1px solid black; padding: 5px; text-align: center; color: red;">Enter unique references for evidence</div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
B1-4	If you are a CDM Coordinator, are you able to provide evidence of your knowledge and experience of H&S in construction?	Please provide examples of actual attainments which should indicate competence as in the case of validated CPD in this field, and typical additional qualifications e.g. NEBOSH Construction Certificate, Member of health and safety register administered by the ICE (Note 3), Membership of Association for Project, Safety, Membership of Institution of Construction Safety.	Provide good or excellent: <ol style="list-style-type: none"> 1. Evidence of health & safety qualifications (General Certificate, Construction Certificate, NVQ, Diploma, Degree, etc). 2. Evidence of chartered membership of RICS, CIOB, CMIOSH, FIOSH etc. 3. Evidence of registered membership of APS, IPS, ICE etc. 4. Evidence of experience in the construction industry, CV and portfolio of projects undertaken. 5. Evidence of continued professional development in the field of health & safety (seminars, relevant training courses, safety committees and safety organisations etc). <div style="border: 1px solid black; padding: 5px; margin-top: 10px; color: red; text-align: center;"> Enter unique references for evidence </div>

NOTE 1 The terms 'Designer' and 'CDM co-ordinator' relate to the professional function, not to the type of organisation. These questions align with the requirements for evidence in the Approved Code of Practice (ACoP) to the Construction Design Management (CDM) Regulations 2007.

NOTE 2 Chartered membership of a recognized construction-related institution.

NOTE 3 Open to any member of a construction-related institution.

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

- is capable of doing the work;
- recognizes its limitations and how these should be overcome; and
- it appreciates the risks involved and how these should be reduced.

B2. Equal Opportunity and Diversity Policy and Capability

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
B2-1	Is it your policy as an employer to comply with anti-discrimination legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, no supporting evidence required.	Yes – It is our policy as an employer to comply with anti-discrimination legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others or We are in the process of developing a policy to comply with anti-discrimination legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others
B2-2	In the last three years has any finding of unlawful discrimination been made against your organisation by any court or industrial or employment tribunal or equivalent body?	Please provide details of any findings. Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details. If no, no supporting evidence required.	No – No findings have been made against the organisation <div style="border: 1px solid black; padding: 5px; color: red; text-align: center;">Enter unique reference for details of any findings</div>
B2-3	In the last three years has your organisation been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination?	Please provide details of any investigations. Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details. If no, no supporting evidence required.	No – Not been subject to a compliance action <div style="border: 1px solid black; padding: 5px; color: red; text-align: center;">Enter unique reference for details of any investigations</div>
B2-4	If the answer to question 2 and / or 3 is “Yes”, what steps did your organisation take as a result of that finding or investigation?	Please provide details/evidence of remedial action. Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, no supporting evidence required. If no, provide details.	Yes - Sufficient evidence provided to give confidence that suitable remedial actions have been implemented to address the incidents identified in B.2.2 and B.2.3. <div style="border: 1px solid black; padding: 5px; color: red; text-align: center;">Enter unique reference for details/evidence of remedial action</div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
B2-5	What does your organisation do to ensure that equality and diversity is embedded within your organisation?	Please provide copies of any relevant policies or written statement/evidence of relevant actions.	Satisfactory - The supplier's policy/evidence gives confidence that the supplier is Compliant with their statutory obligations under the Equality Act 2010 and supports the Contracting Authority in fulfilling its Public Sector Equality Duty obligations (see below). <div style="border: 1px solid black; padding: 5px; color: red; text-align: center;">Enter unique reference for copies of relevant policies/ actions</div>
B2-6	Do you actively promote good practice in terms of eliminating discrimination in all forms through: a) guidance to your employees/suppliers concerned with recruitment, training and promotion? b) making guidance or policy documents concerning how the organisation embeds equality and diversity available to employees/sub-contractors, recognized trade unions or other representative groups of employees? c) appropriate recruitment advertisements or other literature?	Please provide copies of any relevant policies/literature or written statement/evidence of relevant actions. Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/>	Must provide a YES response to a, b and c <div style="border: 1px solid black; padding: 5px; color: red; text-align: center;">Enter unique reference for copies of relevant policies/ actions</div>

Guidance Note: Assessing B.2.2-B.2.3

The Authority should not automatically deselect an Applicant from tendering if it has been found to have unlawfully discriminated or been subject of a compliance action in the last three years, but the Applicant must provide compelling, comprehensive evidence that it has taken robust and appropriate measures to prevent recurrence, and give details of the outcomes resulting from these measures.

Guidance Note: Assessing B.2.5-B.2.6

Background: The Equality Act and the Public Sector Equality Duty

The Equality Act came into effect in October 2010, simplifying and streamlining equality legislation into a single Act. The Act gives people the right not to be treated less favourably in employment or in accessing goods, facilities or services because of a 'protected characteristic', defined as their age, disability, gender, gender reassignment, marriage or civil partnership, pregnancy and maternity, race, religion/belief or sexual orientation.

The Equality Act also introduced a Public Sector Equality Duty in April 2011. This gives public bodies a more proactive role in creating a fairer more inclusive society. In brief, it requires public bodies to give due regard to the need to:

- Advance equality of opportunity between people who share a protected characteristic and those who do not (including removing/minimising disadvantages, taking steps to meet differing needs, and encouraging increased participation where disproportionately low)
- Eliminate unlawful discrimination, harassment and victimisation
- Foster good relations between people who share a protected characteristic and those who do not.

Assessing Applicant Responses

Equality law does not say that an organisation has to have an equality policy, thus public bodies cannot demand this of Applicants. However they must provide sufficient evidence that the Applicant is compliant with their statutory obligations under the Equality Act 2010, and public bodies can be confident of fulfilling their Equality Duty obligations above. This applies to both their service delivery and employment practices.

As a minimum, the evidence should cover at least:

- Recruitment, selection, training, promotion, discipline and dismissal of employees.
- Their approach to discrimination, harassment, and victimisation, with reference to the protected characteristics, making clear that these are disciplinary offences and highlighting what is deemed to be unacceptable behaviour.
- How they communicate their approach to their employees and customers/suppliers.
- How breaches of the policy, concerns and complaints are dealt with.
- Identification of responsible owners for effective implementation, monitoring and review.

For Authorities working outside of the UK, the evidence should relate to equivalent legislation in the country that the supplier is located. In such cases the Applicant must provide details of experiences in complying with equivalent legislation designed to eliminate discrimination and to promote equality of opportunity. Although note that public bodies are still bound by their Public Sector Equality Duty and must be able to demonstrate that the evidence offered is consistent with this.

B3. Environmental Management Policy and Capability

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
B3-1	Do you have a documented policy and organisation for the management of construction-related environmental issues?	<p>Be able to provide evidence that you or your organisation has an environmental management policy authorized by the Chief Executive or equivalent and regularly reviewed. The policy should be relevant to the nature and scale of the work and set out the responsibilities for environmental management throughout the organisation. Be able to demonstrate that your organisation has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<p>Yes – We have an Environmental Policy or Does not have an Environmental Policy but are in the process of developing one.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence and environmental management policy</p> </div>
B3-2	Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment?	<p>Be able to provide evidence that your organisation's environmental policy implementation plan provides information as to how the company aims to discharge relevant legal responsibilities and provides clear indication of how these arrangements are communicated to the workforce, in relation to environmental matters including:</p> <ul style="list-style-type: none"> • sustainable materials procurement; • waste management; • energy management. <p>This should include the arrangements for responding to, monitoring and recording environmental incidents and emergencies and complaints.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<p>Yes - Do have documented arrangements for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment or Do not have documented arrangements but are developing a process for documenting arrangements for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence</p> </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
B3-3	Do you have arrangements for providing employees who will engage in construction, with training and information on construction-related environmental issues?	<p>Be able to demonstrate that your organisation has in place and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to carry out their various duties. This should include a programme of refresher training that will keep the workforce updated on relevant legal requirements and good environmental management practice</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<p>Yes – Do have arrangements or In the process of developing arrangements for employees to obtain training and/or information on construction-related environmental issues.</p> <div data-bbox="1082 528 1471 636" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence</p> </div>
B3-4	Do you check, review and where necessary improve your Environmental management performance?	<p>Be able to demonstrate that your organisation has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<p>Yes – checks, reviews and improvements (where necessary) undertaken or</p> <p>We are developing a process for checking, reviewing and carrying out improvements (where necessary) to our Environmental management performance.</p> <div data-bbox="1074 1077 1463 1207" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence</p> </div>
B3-5	Do you have arrangements for ensuring that any suppliers you engage apply environmental protection measures that are appropriate to the work for which they are being engaged?	<p>Be able to demonstrate that your organisation has procedures for monitoring supplier's environmental management arrangements and ensuring that environmental performance appropriate for the work to be undertaken is delivered throughout the whole of your organisations supply chain.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<p>Yes – Do have arrangements in place or</p> <p>We are in process of developing arrangements for ensuring suppliers apply environmental protection measures that are appropriate to the work which they are being engaged.</p> <div data-bbox="1082 1565 1471 1682" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence</p> </div>

B4: Quality Management Policy & Capability

If an Applicant holds a current UKAS Accredited Quality Management Certificate they are not required to answer the questions in this module. Please include a copy of your UKAS Accredited Quality Management Certificate in your submission.

This module will be evaluated against the Pass/Fail requirements stated below. Applicants must achieve a “Pass” in all questions in this section to be shortlisted for invitation to tender.

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
B4-1	Do you have a policy and organisation for quality management?	Be able to demonstrate that your organisation has and implements a quality management policy that is authorized by the Chief Executive or equivalent and periodically reviewed at a senior management level. The policy should be relevant to the nature and scale of the work to be undertaken and set out responsibilities for quality management throughout the organisation.	Yes – We have a Quality Management Policy or Do not have a Quality Management Policy but are in the process of developing one. Enter unique reference for evidence of Quality Management policy
B4-2	Do you have arrangements for ensuring that your quality management, including the quality of construction output and general performance, is effective in reducing/preventing incidents of sub-standard delivery?	Be able to demonstrate that your organisation keeps copies of documentation setting out quality management organisation and procedures that meet currently agreed good practice. These should include the arrangements for quality management throughout the organisation. They should set out how the company will carry out its policy, with a clear indication of how the arrangements are communicated to the workforce.	Yes – We have arrangements or Do not have arrangements but are in the process of developing them. Enter unique reference for evidence of arrangements
B4-3	Do you have arrangements for providing your workforce with quality related training and information appropriate to the type of work for which your organisation is likely to bid?	Be able to demonstrate that your organisation has in place and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to discharge their various responsibilities. These arrangements should include a programme of training that will keep the workforce up to date with required knowledge about quality related issues, including copies of job profiles, training manuals and training records.	Yes – We have arrangements or Do not have arrangements but are in the process of developing them. Enter unique reference for evidence of arrangements

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Pass Requirements and Applicant's unique reference to supporting information
B4-4	Do you have procedures for periodically reviewing, correcting and improving quality performance?	Be able to demonstrate that your organisation has a system for monitoring quality management procedures on an on-going basis. Your organisation should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance.	<p>Yes – We have procedures or Do not have procedures but are in the process of developing them.</p> <div data-bbox="1107 405 1522 517" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence of procedures</p> </div>
B4-5	Do you have arrangements for ensuring that your own suppliers (see Annex G for sub-contractors) apply quality management measures that are appropriate to the work for which they are being engaged?	Be able to demonstrate that your organisation has arrangements for monitoring supplier's quality management arrangements and ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your organisations supply chain.	<p>Yes – We have arrangements or Do not have arrangements but are in the process of developing them.</p> <div data-bbox="1107 741 1522 853" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="color: red; text-align: center;">Enter unique reference for evidence of arrangements</p> </div>

ANNEX C - EXAMPLE OF QUESTION MODULE EXEMPTION PROVISION

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

C.1 The questions in Module(s) [module(s) to be identified as appropriate] need not be completed if your organisation meets the criteria identified below [C.2 to C.4] and can provide the supporting evidence required.

C.2 You have previously successfully completed a prequalification application using an assessment provider able to demonstrate that its information gathering process conforms to PAS 91.

Buyer to identify accepted assessment providers			Supplier to provide responses as follows		
Assessment provider	Evidence required		Membership/ achievement identifier	Valid until	Evidence provided and Applicant's unique reference to supporting information
	Yes	No			

C.3 You have successfully met the requirements of one or more construction-related schemes.

Buyer to identify accepted schemes			Supplier to provide responses as follows		
Scheme Identity	Evidence required		Membership/ achievement identifier	Valid until	Evidence provided and Applicant's unique reference to supporting information
	Yes	No			

An example scheme under C.3 would be Safety Schemes in Procurement (SSIP).

C.4 You hold a third party certificate of compliance with one of the standards identified below:

Buyer to identify accepted standards			Supplier to provide responses as follows		
Standard	Evidence required		Certification body	Valid until	Evidence provided and Applicant's unique reference to supporting information
	Yes	No			

Example standards under C.4 would be UKAS accredited third party certification to ISO 9001, ISO 14001 and BS OHAS 18001.

ANNEX D – ADDITIONAL QUESTIONS

D1. Company Information

These additional questions are derived from Pre-Qualification Questionnaires provided by various highway authorities during the information gathering process of the HMEP. They can be used in their entirety, added to or removed at the contracting Authority's discretion.

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D1-1	<p>Business Activities</p> <p>What are the main business activities of your organisation and when did the business commence trading?</p>	List business activities and date of commencement of trading	
D1-2	<p>Enclose a copy of the Certificate of Incorporation and any Certificate of Change of Name. Certificate of Incorporation (if relevant)</p> <p>Certificate of Change of Name (if relevant)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Reg no: <input type="text"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Reg no: <input type="text"/></p>	

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment		Model Answer and Applicant's unique reference to supporting information
D1-3	<p>Company Registrations</p> <p>Is your company a member of 'Construction Line' or similar organisation?</p> <p>Is your company registered under the Data Protection Act 1984?</p> <p>Is your company registered under the Industrial and Provident Societies Act 1965 to 1978?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Reg no: <input type="text"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Date: of Reg. <input type="text"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Reg no: <input type="text"/></p> <p>Date: of Reg. <input type="text"/></p>		
D1-4	<p>Subsidiary Companies</p> <p>List all subsidiary companies (add more rows as required).</p>	<p>Name of company</p>	<p>Registration No. of company</p>	
D1-5	<p>Affiliated or Associated companies</p> <p>Is your company affiliated or associated with any other company which would be capable of tendering for these works?</p>	<p>Name of company</p>	<p>Registration No. of company</p>	
D1-6	<p>Organisation Structure Chart and Offices</p> <p>Enclose an Organisation Structure Chart and Location of Offices</p>	<p>Organisation Structure Chart to show all companies within the Group.</p> <p>Locations of the main premises from which your organisation provides works similar to those required by the Authority under this contract</p>		
D1-7	<p>Organisation Services</p> <p>Specify the services that each Relevant Organisation will deliver.</p>	<p>Name of company</p>	<p>Service provided</p>	

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D1-8	Non-UK Registered Organisations Enclose details of your Organisation's registration. (if relevant)	Country of Registration	
		Registration Number:	
		Date of Registration:	
D1-9	Overall management of the Organisation List the full names of the Proprietor, every Director, Partner, Associate and Company Secretary or any Officer who is responsible for the overall management of the Organisation, i.e. H&S, Environmental, Commercial, Key Account and HR Managers.	Against each name include position in your Organisation along with details of any professional qualification	
D1-10	Local Authority Standing List Has the organisation been excluded or removed from any Local Authority standing list in the last three years?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details	Enter unique reference for details
D1-11	Office of Fair Trading Judgements Has your company or parent company been the subject of a formal investigation by The Office of Fair Trading within the last three years?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details	Enter unique reference for details
D1-12	Employment with the Authority Provide details of any Proprietor, Director, Partner, Officer, Associate or relative(s) who is employed by the Authority or has been employed by the Authority(s), or any other public Authority.	Details should include names, positions and dates of employment.	Enter unique reference for details
D1-13	Are you a Supplier or a Contractor?	Supplier <input type="checkbox"/> Contractor <input type="checkbox"/>	
D1-14	Website address	http://www.....	

D2. Financial Information

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D2-1	Parent Company Information Confirm by completing the table below whether your company: a) Has a parent company? If yes, please provide Name and Company Registration No.	Yes <input type="checkbox"/> No <input type="checkbox"/> Reg no: <input type="text"/>	
	b) Has an ultimate parent company? If yes. Please provide Name and Company Registration No.	Yes <input type="checkbox"/> No <input type="checkbox"/> Reg no: <input type="text"/>	
	c) Is able to obtain a Parent Company Guarantee regarding the contractual obligations should you be invited to tender?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
	d) Has Professional Indemnity Insurance? If yes, please provide value and expiry date	Yes <input type="checkbox"/> No <input type="checkbox"/> Value (GBP) <input type="text"/> Expiry <input type="text"/>	
D2-2	Banking Details Name and address of organisations banker Telephone number Fax number Contact name Number of years with current bank Previous bankers Bank Account Number Bank Sort Code	Confirm that we may approach your banker for a reference if necessary. (Your organisation will be required to pay any charges levied by any banker for such a reference). Yes <input type="checkbox"/> No <input type="checkbox"/>	

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment		Model Answer and Applicant's unique reference to supporting information
D2-3	Share Holding Provide details of the likely share holding of each Relevant Organisation in the service delivery vehicle for this project	Name of company	Share holding	
D2-4	Shares announcements Has your organisation made any recent shares announcements?	Provide copies of any company announcement made to the authorities of the stock exchange, market or bourse on which the stocks or shares of the company are publicly traded, since the publication of the latest set of accounts.		<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for copies of any company announcement </div>
D2-5	Liquidation or Receivership Has the Proprietor or any of the Directors, Partners, Officers or Associates been involved in any Organisation that has been liquidated or gone into receivership?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details		<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for details </div>
D2-6	Financial Support Are there any other sources of financial support not identified in the audited accounts?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details		<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for details </div>
D2-7	Contingent Liability or Loss Has your Organisation or parent Company had contingency liability or loss?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide a statement, as at the last reporting date, of any contingent liability or loss (where not otherwise reported) that would require disclosure in accordance with International Accounting Standard 10.		<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for statement </div>
D2-8	Claims, Litigation or Employment Tribunal Hearings Has your organisation had any claims, litigation or employment tribunal hearings?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, detail any claims, litigation or employment tribunal hearings currently outstanding or successfully made against your company in the last three years.		<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for details </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D2-9	Changes in Company Policy Are there any changes in company policy?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details of any changes since the last published accounts or any planned changes, for example acquisitions, mergers, share issues, major investment, major loans etc.	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for details </div>
D2-10	Other events requiring disclosure Are there any other events requiring disclosure?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details of any event between the date on which the latest set of accounts was authorised for issue and the date of the submission of this PQQ that, had the accounts not been authorised for issue until the submission date, would have required an adjustment or disclosure in accordance with the provisions of International Accounting Standard 10.	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for details </div>
D2-11	Ownership of the Organisation Has the ownership of your organisation changed recently?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide a statement indicating whether or not ownership has changed significantly over the past twelve months.	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for statement </div>
D2-12	Regulation of the Organisation Is your Organisation subject to regulation from an accredited UK, EU or other comparable regulator?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details of the regulation and any financial investigation by such a regulator.	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for details </div>
D2-13	Declined insurance Have you been declined insurance cover or had insurance cover terminated in the last 5 years?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details.	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for details </div>

D3. Business and Professional Standing

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D3-1	<p>Working in the community</p> <p>Provide details of your previous experience in working with communities to minimise the impact of operations as part of a highway term maintenance contract</p>	<p>Include details of: where your community involvement has led to a greater positive impact; how you involved the end user (members of the public, public representatives and businesses).</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for details</p> </div>
D3-2	<p>Contract Performance</p> <p>Within the last 3 years, has your firm ever had a contract terminated or your employment determined, had a contract not renewed, an option to renew not taken up for failure to perform, contracts ended early by mutual agreement following allegations of default in your firm's part or been the subject of arbitration or adjudication in the resolution of disputes?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for details</p> </div>
D3-3	<p>Business Continuity</p> <p>Does your organisation have an example of a robust contingency plan to demonstrate that the service to the Authority would be maintained in the event of disruption to the supplier/service providers operations and those further down your supply chain?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for details</p> </div>

D4. Health and Safety

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D4-1	Health and Safety Management Does your Organisation hold a recognised Health and Safety Management Certification?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details.	<div style="border: 1px solid black; padding: 5px; color: red;"> Enter unique reference for details </div>
D4-2	Breach of Health and Safety Regulations, Improvement Notices and Unresolved or Pending Health and Safety Action Has your Organisation been prosecuted, or have any unresolved or pending actions, for a breach of Health and Safety regulations or been subject of an improvement notice in relation to health and safety regulations within the last three years?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details. <div style="background-color: #f4a460; padding: 2px; text-align: center;">Nature of prosecution</div> <div style="background-color: #f4a460; padding: 2px; text-align: center;">Date of prosecution</div> <div style="background-color: #f4a460; padding: 2px; text-align: center;">Corrective actions put in place</div>	
D4-3	Contractors Health and Safety Assessment Scheme (CHAS)	Provide a copy of your CHAS certification (if applicable)	<div style="border: 1px solid black; padding: 5px; color: red;"> Enter unique reference for certification </div>
D4-4	CDM – Principal Contractor Demonstrate you have the systems in place to undertake the role of Principal Contractor.	Principal Contractor is as defined in the CDM 2007 Regulations. Provide evidence including value and title of works.	

D5. Equal Opportunity and Diversity

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D5-1	<p>Unresolved or Pending Unlawful Discrimination Action</p> <p>Does your Organisation have any unresolved or pending actions for a breach or otherwise of anti-discrimination legislation?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p> <p>Nature of prosecution</p> <p>Date of prosecution</p> <p>Corrective actions put in place</p>	

D6. Environmental Policy

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D6-1	<p>Environmental Regulations</p> <p>Has your Organisation been subject of an improvement notice in relation to, or have any unresolved or pending actions for a breach or otherwise of, or been prosecuted under environmental regulations within the last three years?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p> <p>Nature of prosecution</p> <p>Date of prosecution</p> <p>Corrective actions put in place</p>	
D6-2	<p>Environmental Management Certificates</p> <p>Provide copies of any environmental management certificates your company holds and details of your environmental management system.</p>	<p>Provide certificate and environmental management system policy</p>	<p>Enter unique reference for copy of certificate and policy</p>
D6-3	<p>Carbon Footprint</p> <p>Provide evidence of your organisation's commitment and programmes to reduce its carbon footprint.</p>	<p>Provide copy of reducing the carbon footprint policy</p>	<p>Enter unique reference for copy of policy</p>
D6-4	<p>Waste Creation and Recycling</p> <p>The Site Waste Management Plans Regulations 2008 (the SWMP Regulations) came into force on 6 April 2008. Describe how your company has helped organisations to minimise waste creation and maximise recycling.</p>	<p>Provide an example copy of a SWMP document you have prepared previously</p>	<p>Enter unique reference for copy of SWAMP document</p>

D7. Ability, Technical and Resources

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D7-1	<p>Term Maintenance Contract Experience</p> <p>From your past experience of delivering term maintenance contracts, prioritise your 3 greatest achievements in delivering savings through efficiencies. These are not necessarily the generation of the greatest savings but in your opinion the manner in how they were achieved.</p>	<p>For each case describe the saving, how it was achieved and where applicable the challenges that had to be overcome and how this was managed.</p> <p>For each case please include relevant contact details, values and dates of contract.</p> <p>Each case has a maximum word limit of 1,000 words.</p>	<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for details </div>
	<p>Priority 1</p>	<p style="text-align: center;">Contract title:</p> <p> </p> <p style="text-align: center;">Client contact name and address</p> <p> </p> <p style="text-align: center;">Contract value</p> <p> </p> <p style="text-align: center;">Contract dates</p> <p> </p>	
	<p>Priority 2</p>	<p style="text-align: center;">Contract title:</p> <p> </p> <p style="text-align: center;">Client contact name and address</p> <p> </p> <p style="text-align: center;">Contract value</p> <p> </p> <p style="text-align: center;">Contract dates</p> <p> </p>	
	<p>Priority 3</p>	<p style="text-align: center;">Contract title:</p> <p> </p> <p style="text-align: center;">Client contact name and address</p> <p> </p> <p style="text-align: center;">Contract value</p> <p> </p> <p style="text-align: center;">Contract dates</p> <p> </p>	

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D7-2	<p>Driving cost value</p> <p>How have you driven cost value through similar open book, target based contracts?</p>	<p>Provide details and evidence of how you have driven cost value to achieve the clients cost reduction targets, without compromising on quality or time issues.</p> <p>Maximum word limit 500 words.</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for details</p> </div>
D7-3	<p>Supply chain selecting</p> <p>With the use of a case study, describe your company's approach to selecting sub-contractors and suppliers:</p>	<p>Include how you go about selecting local small and medium enterprises (SME's) with civil engineering skills as second tier sub-contractors and the payment principles adopted for their services; the selection of second tier suppliers;</p> <p>how you have developed continuous improvement with your supply chain and sub-contractors</p> <p>Maximum word limit 500 words.</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for details</p> </div>
	<p>Case Study</p>	<p>Contract title:</p>	
		<p>Client contact name and address</p>	
		<p>Contract value</p>	
		<p>Contract dates</p>	
D7-4	<p>Minimising congestion and traffic disruption</p> <p>Provide details and evidence of your experience on how you have minimised congestion and traffic disruption on previous maintenance contracts.</p>	<p>Include details on how you manage your Network and Traffic Management and what you might normally sub-contract.</p> <p>Maximum word limit 1,000 words.</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for details</p> </div>
D7-5	<p>Risk Management</p> <p>Does your organisation and those further down the supply chain, have a Risk Management Plan?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide a copy of your Risk management Plan.</p>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>Enter unique reference for copy of risk management plan</p> </div>

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information								
D7-6	<p>Collaborative project experience</p> <p>With the use of three case studies, describe your company's experience of working on a collaborative project.</p> <p>The case studies do not have to be highway related.</p>	<p>The three studies should between them include but not be limited to, the following areas, detailing how they were collaborative, the key benefits derived from a collaborative approach to each and any challenges that had to be overcome:</p> <ul style="list-style-type: none"> Client and stakeholder liaison and communication Contract strategy team building and management integrated delivery teams managing risk collaborative strategy change management delivering continuous improvement identifying skill gaps and providing training early contractor involvement managing culture and if applicable changing culture learning and shared experience <p>The case studies can be of varying complexity and value which your company has completed in the last three years. Please include relevant Client and contact details, values and dates of contract.</p> <p>Each case study has a maximum word limit of 1,000 words</p>	<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> <p>Enter unique reference for details</p> </div>								
	<p>Case Study 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract title:</td> <td style="height: 20px;"></td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Client contact name and address</td> <td style="height: 20px;"></td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract value</td> <td style="height: 20px;"></td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract dates</td> <td style="height: 20px;"></td> </tr> </table>	Contract title:		Client contact name and address		Contract value		Contract dates		
Contract title:											
Client contact name and address											
Contract value											
Contract dates											

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D7-6 contd	Case Study 2	Contract title:	
		Client contact name and address	
		Contract value	
	Case Study 3	Contract title:	
		Client contact name and address	
		Contract value	
D7-7	Supply Chain Provide a statement of your company's approach to your supply chain working on a collaborative contract		Enter unique reference for statement
D7-8	Identification of Failed Opportunity to achieve full efficiency potential in a collaborative contract Provide details of a collaborative contract that failed to achieve its full potential for efficiency savings.	Describe what caused the failure, what remedial action was taken and or attempted and what were the final outcomes?	Enter unique reference for details
D7.9	Ethical Conduct Are you aware of business codes of conduct, ethical conduct, and dignity at work codes?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details	Enter unique reference for details
D7-10	Training Do you train/develop your employees over that for Mandatory Questions A4-5 and B4-3?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details	Enter unique reference for details

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D7-11	<p>Trade Unions</p> <p>Do you operate an employee representation council or panel?</p> <p>Do you recognise trade unions?</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details.</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, provide details and if no, state how employees are represented.</p>	<div data-bbox="1107 331 1473 450" style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <p style="color: red;">Enter unique reference for details</p> </div> <div data-bbox="1107 495 1473 613" style="border: 1px solid black; padding: 5px;"> <p style="color: red;">Enter unique reference for details</p> </div>

D8. Quality Assurance

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D8-1	Quality management Provide copies of any quality management certificates your company holds and details of your quality management system.	Enclose any appropriate documentary evidence. Maximum word limit 500 words	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for evidence </div>
D8-2	Quality assurance Please describe the processes that ensure the quality of your activities and products/services and provide details of any Quality Assurance Accreditation you may have or are working towards.	Enclose any appropriate documentary evidence. Maximum word limit 500 words	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for evidence </div>
D8-3	National Highway Sector Schemes Are you registered to any relevant Highway Sector Schemes?	Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, provide details	<div style="border: 1px solid black; padding: 5px; text-align: center; color: red;"> Enter unique reference for details </div>

D9. References

Please note the word limit for each response is limited to a maximum of 500 words, unless specified otherwise.

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information																		
D9-1	<p>References</p> <p>The Authority(s) reserve the right to contact those names provided in the case studies in part 2 above.</p> <p>Notwithstanding that the following contracts may be included in the above, provide below contact details for three maintenance contracts carried out under a collaborative contract within the last three years and from whom a formal reference is expected.</p> <p>The Authority shall accept no responsibility for the failure of the nominated referees to submit a reference, but in such instance, the Procurement Officer will endeavour to obtain the reference by contacting the relevant referee direct.</p>	<p>For each contract, please state:</p> <p>Client Organisation</p> <p>Contact name and address</p> <p>Contact telephone number</p> <p>Contact e-mail</p> <p>The nature of the project (no more than 250 words)</p> <p>The value of the contract</p> <p>Contract status completed / ongoing / extended</p> <p>Respondents should forward a copy of Annex F to their nominated referees requesting that the table is completed as fully as possible and returned directly to the Authority at the address and by the specified submission date given in the Instructions for Tenderers.</p> <p>Failure to submit three appropriate references may have a detrimental effect on the scoring of this section.</p>	<div style="border: 1px solid black; padding: 5px; color: red; text-align: center;"> Enter unique reference for details </div>																		
	<p>Reference 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Client name and address:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract name:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract ref:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract value (£):</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Final outturn or cost to date (£):</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Nature of work:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract start:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Contract end:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> <tr> <td style="background-color: #f4a460; color: white; text-align: center;">Project status:</td> </tr> <tr> <td style="height: 20px;"> </td> </tr> </table>	Client name and address:		Contract name:		Contract ref:		Contract value (£):		Final outturn or cost to date (£):		Nature of work:		Contract start:		Contract end:		Project status:		
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Final outturn or cost to date (£):																					
Nature of work:																					
Contract start:																					
Contract end:																					
Project status:																					

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D9-1 contd	Reference 2	Client name and address:	
		Contract name:	
		Contract ref:	
		Contract value (£):	
		Final outturn or cost to date (£):	
		Nature of work:	
		Contract start:	
Contract end:			
Project status:			

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Model Answer and Applicant's unique reference to supporting information
D9-1 contd	Reference 3	Client name and address:	
		Contract name:	
		Contract ref:	
		Contract value (£):	
		Final outturn or cost to date (£):	
		Nature of work:	
		Contract start:	
Contract end:			
Project status:			

ANNEX E – DECLARATIONS

Section E1 – Certification

We will not consider your application if you do not supply all the information we need as per Annex F.

WHEN YOU HAVE COMPLETED THE QUESTIONNAIRE PLEASE READ AND SIGN THE SECTION BELOW

I/we understand that it is a criminal offence, punishable by imprisonment, to give or offer any gift or consideration whatsoever as an inducement or reward to any servant of a public body and that any such action will empower the Authority to terminate any contract currently in force and will result in my/our exclusion as a potential Tenderer.

I/we also understand that my/our Organisation may be automatically excluded if any of the following apply: insolvency, criminal offences, professional misconduct, and misrepresentation.

By signing this document I/we declare that none of the above apply to my/our Organisation.

I/we certify that the information supplied is accurate to the best of my/our knowledge and that I/we accept the conditions and undertakings requested in the questionnaire. I/we understand that false information could result in my/our exclusion as a potential Tenderer.

Signed:* _____ Date: _____

Name: _____

*The person signing this form must be the person whose details are given in A.1-3.

BEFORE RETURNING THIS APPLICATION FORM PLEASE ENSURE THAT YOU HAVE:

- answered all questions appropriate to your application.
- indicated where you have enclosed relevant documents.
- signed the above undertaking as per the instructions.

Section E2 – Declarations as to Collusion and Canvassing

DECLARATION

Expression of interest for: Term Maintenance Contract

I/We declare that:

We have submitted a bona fide response to the Authority's PQQ and that I/we have not fixed or adjusted any responses or information provided in accordance with any agreement with any other person.

I/We have not done and I/we undertake that I/we will not do at any time before the contract is awarded:

Communicate to a person other than the person calling for those tenders the amount or approximate amount of the proposed tender except where the disclosure, in confidence, of the approximate amount of the tender was necessary to obtain insurance premium quotations required for the preparation of the tenders;

Enter into any agreement or arrangement with any other person that he shall refrain from tendering or as to the amount of any tender to be submitted; or

Offer or pay or give or agree to pay or give any sum of money or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to be done in relation to any other tender or proposed tender for the Term Maintenance Contract.

Any act or thing of the sort described above.

I/We agree that the terms of the above declaration will form part of any contract with the Authority, their servants or agents resulting from the acceptance of my/our tender and that any breach of this declaration and undertaking will be deemed to be a breach of that contract entitling the Authority, their servants or agents to determine the contract forthwith or to take advantage of any provision in that contract entitling the Authority, their servants or agents to determine my/our employment under that contract.

Signed: _____ Date: _____
 For and on behalf
 of: _____

Section E3 – Statement of Good Standing

Statement relating to good standing – Grounds for obligatory exclusion (In eligibility) and criteria for rejection of candidates - in accordance with Regulation 23 of the Public Contracts Regulations 2006, as amended.

Term Maintenance Contract

We confirm that, to the best of our knowledge, the organisation named below is not in breach of the provisions of Regulation 23 of the Public Contracts Regulations 2006, as amended, and, in particular, that:

Grounds for mandatory rejection (ineligibility)

- 1 The Applicant named below (or its directors or any other person who has powers of representation, decision or control of such organisation) has not been convicted of any of the following offences as set out in Regulation 23 of the Public Contracts Regulations 2006 as may be amended from time to time:
 - (a) conspiracy within the meaning of section 1 of the Criminal Law Act 1977 where that conspiracy relates to participation in a criminal organisation as defined in Article 2(1) of Council Joint Action 98/733/JHA;
 - (b) corruption within the meaning of section 1 of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;
 - (c) the offence of bribery;
 - (d) fraud, where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union, within the meaning of:
 - (i) the offence of cheating the Revenue;
 - (ii) the offence of conspiracy to defraud;
 - (iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;
 - (iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985;
 - (v) defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994;
 - (vi) an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; or
 - (vii) destroying defacing or concealing of documents or procuring the extension of a valuable security within the meaning of section 20 of the Theft Act 1968;

- (e) money laundering within the meaning of the Money Laundering Regulations 2003; or
- (f) any other offence within the meaning of Article 45(1) of the Public Sector Directive (2004/18/EC).

Discretionary grounds for rejection:

- 2 The Applicant named below (or its directors or any other person who has powers of representation, decision or control of such organisation) confirms that:
- (a) being an individual is not bankrupt or has not had a receiving order or administration order or bankruptcy restrictions order made against him or has not made any composition or arrangement with or for the benefit of his creditors or has not made any conveyance or assignment for the benefit of his creditors or does not appear unable to pay or to have no reasonable prospect of being able to pay, a debt within the meaning of section 268 of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has not granted a trust deed for creditors or become otherwise apparently insolvent, or is not the subject of a petition presented for sequestration of his estate, or is not the subject of any similar procedure under the law of any other state;
 - (b) being a partnership constituted under Scots law has not granted a trust deed or become otherwise apparently insolvent, or is not the subject of a petition presented for sequestration of its estate;
 - (c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002, has not passed a resolution or is not the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or has not had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company's business or any part thereof or is not the subject of the above procedures or is not the subject of similar procedures under the law of any other state;
 - (d) has not been convicted of a criminal offence relating to the conduct of his business or profession;
 - (e) has not committed an act of grave misconduct in the course of his business or profession;
 - (f) has fulfilled obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which the organisation is established;
 - (g) has fulfilled obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which the economic operator is established;
 - (h) is not guilty of serious misrepresentation in providing any information required of him under this regulation;

- (i) in relation to procedures for the award of a public services contract, is licensed in the relevant State in which he is established or is a member of an organisation in that relevant State when the law of that relevant State prohibits the provision of the services to be provided under the contract by a person who is not so licensed or who is not such a member.

- 3 Where applicable, the Applicant is registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in Annex IX B of Directive 2004/18/EC) under the conditions laid down by that member state.

Organisation's name: _____

Signed: _____

Position: _____

Date: _____

Section E4 – Statement of Pro-active involvement in the Term Community

If we are awarded any Term Maintenance contract then we confirm that we shall actively participate in the activities of the Authority's Term Community. These currently include at no financial cost to the Clients:

Attendance at the Term Community Board (TCB) currently quarterly.

Involvement as required in the working groups as set up by the TCB.

To share innovations and efficiency methodologies with all members of the TCB.

To produce figures to allow benchmarking across the community.

Organisation's name: _____

Signed: _____

Position: _____

Date: _____

ANNEX F – REFERENCE SHEET FOR QUESTION D.9-1

To be forwarded to named referees by the Applicant with request to return to the Authority, by the date stated at section IV, item IV.3.4 (*Time limit for receipt of tenders or requests to participate*) on the Contract Notice.

To be completed by the Applicant:		
Name of PQQ Applicant:		
To be completed by the referee:		
Name of referee:		
Contact details for referee:	Name:	
	Position:	
	Address:	
	Tel.:	
	Email:	
Contract details:	Name:	
	Reference:	
	Value (£):	
	Final outturn or cost to date (£):	
	Nature of work:	
	Contract start:	
	Contract end:	
	Project status:	

Please tick the most appropriate box to indicate your satisfaction with the following aspects of the Applicant's service:

	Unsatisfactory	Poor	Average	Good	Excellent
Site organisation and supervision:					
Availability of labour resources:					
Availability of plant:					
Control of subcontractors:					
Traffic management measurements:					
Site safety measures:					
Standard of workmanship:					
Ability to complete on time:					
Responses to instructions:					
Working collaboratively with the Client's staff and other stakeholders:					
Contractual claims*:					

*As a guide:

Unsatisfactory – submission of a large number of contentious / spurious claims.

Average – most of the claims submitted were acceptable.

Excellent – all of the claims submitted were acceptable.

Please give any further comments you feel may be relevant. Please expand on any of the above aspects of the Applicant's service you have scored as either unsatisfactory or poor.

ACKNOWLEDGEMENTS

The HMEP Programme Board would like to acknowledge the help and support it has received in preparing this document from those listed below.

HMEP Project Board

Matthew Lugg OBE – Chair	Past President of Association of Directors of Environment, Economy, Planning and Transportation (ADEPT)
Anthony Radford-Foley	Technical Advisory Group (TAG)
Martin Duffy	The Chartered Institution of Highways & Transportation (CIHT)
Andy Warrington	Institution of Civil Engineers (ICE)
Kevin Melling	Association for Public Service Excellence (APSE)
Peter Hyde	Highways Term Maintenance Association (HTMA)
Jim Stevens	ADEPT
Steven Dennis	Transport for London (TfL) – Transforming London Highways Management
Trevor Collett	London Technical Advisory Group (LoTAG)
John Reed	Local Partnerships and ADEPT
Sue Housley	Highways Agency (HA)
Noel Foley	Association of Consulting Engineers (ACE)
Gary Thompson	HMEP Project Manager

Support Consultants

Martyn Glossop	Technical Director, URS Infrastructure and Environment Ltd
John Cole	Project Manager, URS Infrastructure and Environment Ltd
Jamie Brownlee	Project Leader, URS Infrastructure and Environment Ltd