**THE ROYAL VETERINARY COLLEGE**

**PROCUREMENT of the MAIN CONTRATOR for the**

**HAWKSHEAD CAMPUS REDEVELOPMENT**

|  |
| --- |
| **APPENDIX 1 to SELECTION QUESTIONNAIRE**  **CCS SQ**  **17 January 2019**  **2019 - 009584** |

# Selection Questionnaire

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

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

**Consortia and Sub-contracting**

Completed declarations of ‘Grounds for Mandatory Rejection’ and ‘Discretionary Grounds for Rejection’ provide formal statements that the organisation making the declaration has not breached any of the exclusions grounds. Consequently, we require all the organisations that you will rely on to meet the selection criteria to provide the same completed declarations. For example, these could be parent companies, affiliates, associates, or essential sub-contractors, if they are relied upon to meet the selection criteria. This means that where you are joining in a group of organisations, including joint ventures and partnerships, each organisation in that group must complete these self-declarations. Sub-contractors that you rely on to meet the selection criteria must also complete self-declarations. Sub-contractors that are not relied upon do not need to complete the self-declarations.

**General Information**

Please note that the organisation making this application must be the same legal entity with which the Authority shall contract.

The Authority will only contract with any applicant having a legal form capable of entering into contract under English law.

When completed, this form is to be sent back to the contact point given in the Selection Questionnaire (Introduction) along with the selection information requested in the Selection Questionnaire (Introduction).

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

**Financial and Insurance**

The Authority will use the information given in this section to assess the financial position of the applicant and, where appropriate, set contract limits. The Authority also wishes to ensure that the applicant is properly registered for VAT and insurance.

For all companies the Authority will conduct a financial evaluation of the applicant based on a credit report issued by an external business information service (where available). However, the Authority will also need to examine the applicant’s financial statements.

The minimum insurance levels quoted in the questionnaire are the minimum current requirements from suppliers delivering these works.

Applicants are not necessarily required to hold the required levels of insurance prior to contract award, but the Authority will need to see a commitment to attaining the required cover prior to commencing work if successful.

Please note that non-disclosure of insurance levels could mean that minimum levels of financial standing cannot be ascertained and your application may be rejected.

**Equal Opportunities**

The Authority promotes equality through its procurement activities. Since the Equality Act 2010, the Authority has to demonstrate due regard for all protected characteristics in service design and delivery etc.

This duty to promote equal opportunity and eliminate discrimination is extended throughout the Authority supply chain and must be implemented by companies wishing to tender for its contracts.

The purpose of the questions is to ensure that companies can demonstrate that they are a fair employer in keeping with these statutory duties. You are asked to answer the questions to demonstrate your current compliance, as an employer, with these equality duties.

If you are not subject to UK legislation please supply details of your experience in complying with equivalent legislation that is designed to eliminate discrimination and to promote equality of opportunity.

**Health and Safety**

There is a statutory duty to ensure that all work contracted out on the Authority’s behalf is carried out safely by competent providers. The Health and Safety at Work Act (1974) requires that all companies employing 5 or more employees has a written Health & Safety Policy.

Companies operating with fewer than 5 employees still have hazards/risks attached to their work activity, therefore, relevant information is required. To ensure that the vetting procedure is consistent and all applicants are treated fairly, a two-tier system has been adopted.

The Health & Safety Executive provides guidance material for small businesses. Telephone 0845 3450055 for details or visit [www.hse.gov.uk/business](http://www.hse.gov.uk/business)

**Supplier Selection Questions: Part 3**

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

If the relevant documentary evidence referred to in the Selection Questionnaire is not provided upon request and without delay, or where the evidence does not confirm or support a response that has previously been self-certified, we reserve the right to disqualify the Supplier, amend the contract award decision and award to the next compliant Supplier.

**Consequences of misrepresentation**

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

**THE ROYAL VETERINARY COLLEGE**

**PROCUREMENT of the MAIN CONTRATOR for the HAWKSHEAD CAMPUS REDEVELOPMENT**

**2019 - 009584**

**RESTRICTED PROCEDURE**

**OJEU REFERENCE: 2019 - 009584 PUBLISHED 17 January 2019.**

**Notes for completion**

1. The “Authority” means the contracting authority (the Royal Veterinary College, also referred to as “the College”), or anyone acting on behalf of the contracting authority, that is seeking to invite suitable candidates to participate in this procurement process.
2. “You”/“Your” refers to the potential supplier completing this standard Selection Questionnaire i.e. the legal entity responsible for the information provided. The term “potential supplier” is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 (referred to as the “regulations”) and could be a registered company; the lead contact for a group of economic operators; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.
3. Please ensure that all questions are completed in full, and in the format requested. If the question does not apply to you, please state ‘N/A’. Should you need to provide additional information in response to the questions, please submit a clearly identified annex.
4. The authority recognises that arrangements set out in section 1.2 of the standard Selection Questionnaire, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and, therefore, not be finalised until a later date. The lead contact should notify the authority immediately of any change in the proposed arrangements and ensure a completed Part 1 and Part 2 is submitted for any new organisation relied on to meet the selection criteria. The authority will make a revised assessment of the submission based on the updated information.
5. Every organisation that is being relied on to meet the selection must complete and submit the self-declarations.
6. See paragraph 14 (Bidding Models) of the SQ introductory document for full details of how to complete a response as a Consortium lead or as a prime contractor.
7. For answers to Part 3 -If you are bidding on behalf of a group, for example, a consortium, or you intend to use sub-contractors, the lead contact for the group should complete all of the questions on behalf of the consortium and/ or any sub-contractors, providing one composite response and declaration on behalf of the group. When completing, please also refer to the additional instructions at the beginning of Part 3 of the SQ response form.

The Authority confirms that it will keep all information confidential and will not disclose to any third parties any information obtained from a named customer contact in your response to Part 3, section

6.1, other than contracting authorities defined by the regulations, or pursuant to an order of the court or demand made by any competent authority or body where the authority is under a legal or regulatory obligation to make such a disclosure.

**SQ Response Form**

**Part 1: Potential Supplier Information**

Please answer the following questions in full. Note that every organisation that is being relied upon to meet the selection must complete and submit the self-declarations for ‘Grounds for Mandatory Rejection’ and ‘Discretionary Grounds for Rejection’. This includes all Consortium Members and Key Supply Chain Members.

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

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

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Section 1** | **Bidding model** | | | |
| Question Number | Question | | Response | |
| 1.2.1 | Please indicate by ticking the appropriate box whether you are: | | Please tick one box | |
| Type A potential provider:   * An organisation able to deliver all of the requirements itself, or * A prime contractor with the complete supply chain (sub-contractors) in place to deliver all of the requirements | |  | |
| **Type B potential provider**:   * A prime contractor able to deliver all requirements but unable to confirm all sub-contractors at this stage * You will need to demonstrate a satisfactory methodology and track record of delivering a supply chain. | |  | |
|  | | | | |
| 1.2.1.1 | **Type A potential providers only:** | | | |
| Please indicate the composition of your supply chain below  (this may include the potential provider itself or solely be the potential provider) | | | |
| Requirement | Company/Organisation | | How much of the requirement will they deliver? (%) |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  | | | | |
| 1.2.1.2 | **Type B potential providers only:** | | | |
| Please indicate the composition of your supply chain below  (this may include the potential provider itself or solely be the potential provider) | | | |
| Requirement | Company/Organisation | | How much of the requirement will they deliver? (%) |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |
| Please explain your methodology for procuring a supply chain leading to a successful solution. Support this with details of relevant experience of selection of supply chain members for this type of procurement. (300 words or fewer) | | | |
|  |  | | | |
| 1.2.1.3 | Please confirm your commitment to ensure that the standards which you describe and commitments which you make throughout this document will also be met by your supply chain members. | | | |
|  | Tick to confirm | |  | |
| 1.2(a) - (i) | Are you bidding as the lead contact for a group of economic operators? | | Yes/No  If yes, please provide details listed in questions 1.2(a) (ii), (a) (iii) and to 1.2(b) (i), (b) (ii), 1.3, Section 2 and 3.  If no, and you are a supporting supplier please provide the name of your group at 1.2(a) (ii) for reference purposes, and complete 1.3, Section 2 and 3. | |
| 1.2(a) - (ii) | Name of group of economic operators (if applicable) | |  | |
| 1.2(a) - (iii) | Proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded. If you do not propose to form a single legal entity, please explain the legal structure. | |  | |
| 1.2(b) - (i) | Are you or, if applicable, the group of economic operators proposing to use sub-contractors? | | Yes/No | |
| 1.2(b) - (ii) | If you responded yes to 1.2(b)-(i) please provide additional details for each sub-contractor in the following table: we may ask them to complete this form as well.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | Name |  |  |  |  |  | | Registered address |  |  |  |  |  | | Trading status |  |  |  |  |  | | Company registration number |  |  |  |  |  | | Head Office DUNS number (if applicable) |  |  |  |  |  | | Registered VAT number |  |  |  |  |  | | Type of organisation |  |  |  |  |  | | SME (Yes/No) |  |  |  |  |  | | The role each sub-contractor will take in providing the works and /or supplies e.g. key deliverables |  |  |  |  |  | | The approximate % of contractual obligations assigned to each sub-contractor |  |  |  |  |  | | | | |

**Contact Details and Declaration**

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

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

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

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

I am aware of the consequences of serious misrepresentation.

|  |  |  |
| --- | --- | --- |
| **Section 1** | **Contact Details and Declaration** | |
| Question Number | Question | Response |
| 1.3(a) | Contact name |  |
| 1.3(b) | Name of organisation |  |
| 1.3(c) | Role in organisation |  |
| 1.3(d) | Telephone number |  |
| 1.3(e) | E-mail address |  |
| 1.3(f) | Postal address |  |
| 1.3(g) | Signature |  |
| 1.3(h) | Date |  |

**Part 2: Exclusion Grounds**

Please answer the following questions in full. Note that every organisation that is being relied upon to meet the selection must complete and submit the self-declarations for ‘Grounds for Mandatory Rejection’ and ‘Discretionary Grounds for Rejection’. This includes all Consortium Members and Key Supply Chain Members.

|  |  |  |
| --- | --- | --- |
| **Section 2** | **Grounds for Mandatory Exclusion** | |
| Question Number | Question | Response |
| 2.1(a) | **Regulations 57(1) and (2)**  The detailed grounds for mandatory exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf) and at Annex A below and should be referred to before completing these questions.  Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed on the [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf) and at Annex A below. | |
|  | Participation in a criminal organisation. | Yes/No  If Yes, please provide details at 2.1(b) |
|  | Corruption. | Yes/No  If Yes, please provide details at 2.1(b) |
|  | Fraud. | Yes/No  If Yes, please provide details at 2.1(b) |
|  | Terrorist offences or offences linked to terrorist activities. | Yes/No  If Yes, please provide details at 2.1(b) |
|  | Money laundering or terrorist financing. | Yes/No  If Yes, please provide details at 2.1(b) |
|  | Child labour and other forms of trafficking in human beings (including offences under Section 2 or 4 of the Modern Slavery Act) 2015 | Yes/No  If Yes, please provide details at 2.1(b) |
| 2.1(b) | If you have answered yes to question 2.1(a), please provide further details.  Date of conviction, specify which of the grounds listed the conviction was for, and the reasons for conviction.  Identity of who has been convicted.  If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents. |  |
| 2.2 | If you have answered Yes to any of the points above have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion ? (Self Cleaning) | Yes/No |
| 2.3(a) | **Regulation 57(3)**  Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions? | Yes/No |
| 2.3(b) | If you have answered yes to question 2.3(a), please provide further details. Please also confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines. |  |

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

|  |  |  |
| --- | --- | --- |
| **Section 3** | **Grounds for Discretionary Exclusion** | |
| Question Number | Question | Response |
| 3.1 | **Regulation 57 (8)**  The detailed grounds for discretionary exclusion of an organisation are set out on this [webpage](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf) and at Annex A below and should be referred to before completing these questions.  Please indicate if, within the past three years, anywhere in the world any of the following situations have applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. | |
| 3.1(a) | Breach of environmental obligations? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(b) | Breach of social obligations? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(c) | Breach of labour law obligations? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(d) | Bankruptcy or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(e) | Guilty of grave professional misconduct? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(f) | Entered into agreements with other economic operators aimed at distorting competition? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(g) | Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(h) | Been involved in the preparation of the procurement procedure? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(i) | Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions? | Yes/No  If Yes, please provide details at 3.2 |
| 3.1(j)  3.1(j) - (i)  3.1(j) - (ii)  3.1(j) –(iii)  3.1(j)-(iv) | Please answer the following statements  The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria.  The organisation has withheld such information.  The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015.  The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. | Yes/No  If Yes, please provide details at 3.2  Yes/No  If Yes, please provide details at 3.2  Yes/No  If Yes, please provide details at 3.2  Yes/No  If Yes, please provide details at 3.2 |

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

**Part 3: Selection Questions**

If you are the lead contact bidding on behalf of a group, for example, a Consortium, or you intend to bid as a prime contractor and use sub-contractors, you should complete all of the questions in this Part on behalf of the group / Consortium and / or any sub-contractors, providing one composite response and declaration on behalf of the entire group.

If you are a supporting supplier within a group (e.g. a Consortium Member or sub-contractor or Key Supply Chain Member) and are not the lead contact for the group, then unless indicated otherwise in relation to any section, you are not required to complete this Part 3 but you may be required to provide information to the lead contact to enable them to complete this Part on your behalf (i.e. on behalf of the group).

[Drafting note to the College: For bids made on behalf of a group e.g. a Consortium or when using sub-contractors, in some cases you may require individual group members to satisfy some of the requirements in Part 3 in their own right. For example, you may require confirmation that a Consortium member or sub-contractor which is to play a key role in service delivery has the requisite level of insurance cover or sufficient financial economic / financial standing to carry out their role. Where this is the case you should clearly indicate this at the start of each section / question within Part 3 as the default position is that only the lead contact completes Part 3 on behalf of the group.]

|  |  |  |
| --- | --- | --- |
| **Section 4** | **Economic and Financial Standing** | |
| Question Number | Question | Response |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 4.1 | [*Please indicate which of the following you will provide to demonstrate your economic / financial standing*].  [At this stage you are only required to self-certify that your chosen method (a), (b), (c) below, when examined by the authority, will demonstrate that you meet the minimum requirements set out in the Appendix 3 Evaluation Methodology. The authority will request the relevant documents from you (a), (b), (c) if you are shortlisted and prior to commencing the tender phase of the procurement.] | | | | N/A – respond below | | |
| (a) A statement of the turnover, Profit and Loss Account/Income Statement, Balance Sheet/Statement of Financial Position and Statement of Cash Flow for the most recent year of trading for this organisation. | | | | Yes/No | | |
| (b) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position. | | | | Yes/No | | |
|  | (c) Alternative means of demonstrating financial status if any of the above are not available (e.g. forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status). | | | | Yes/No | | |
| 4.2  4.2.1  4.2.2  4.2.3 | Where we have specified a minimum level of economic and financial standing and/or a minimum financial threshold within the evaluation criteria for this procurement, please self-certify by answering ‘Yes’ or ‘No’ that you meet the requirements set out.  The applicant should have shown an annual turnover in excess of £50 million in each of the last three completed financial trading years, The applicant should have shown a net profit in at least one of those three financial years.  The applicant should have shown a net profit in at least one of those three financial years.  The applicant should have shown an average cash reserve of a minimum of 5 Million UK pounds, or equivalent in the last completed financial trading year. | | | | Yes/No  Yes/No  Yes/No | | |
| 4.3 | Who is the person in the organisation responsible for financial matters?  (This is the person who will be contacted for further financial information if required.) | | | |  | | |
| Name |  | | | | | |
| Position |  | | | | | |
| Contact details |  | | | | | |
|  | | | | | | | |
| 4.4 | Are there any outstanding claims or litigation against the applicant, which affect or could affect your ability to perform the contract for the contract period? | | | Yes/No | | | |
| If yes, please enclose details. | | | | | | |
| Tick if enclosed. | | |  | | | |
|  | | | | | | | |
| 4.5 | Please give details of your insurance policies: | | | | | | |
|  | Employer’s Liability | Public Liability (3rd Party) | | | Professional Indemnity |  |
| Minimum required  (for each and every claim, costs included) | £10M | £10M | | | £10M |  |
| Insurer’s name |  |  | | |  |  |
| Insurer’s contact details |  |  | | |  |  |
| Policy number |  |  | | |  |  |
| Expiry date |  |  | | |  |  |
| Extent of cover |  |  | | |  |  |
| Excess |  |  | | |  |  |
| If you do not currently hold the minimum cover required, please provide a statement of your commitment to attaining this cover prior to commencing work if successful. | | | | | | |
| Tick if enclosed | | |  | | | |
|  | | | | | | | |
| 4.6 | Has your organisation been refused insurance cover within the last five years? | | | Yes/No | | | |
|  | If yes, please provide details of refusal. | | | | | | |
|  | Tick if enclosed. | | |  | | | |

|  |  |
| --- | --- |
| **Section 5** | **Member of a Larger Organisation** |

|  |  |  |
| --- | --- | --- |
|  | If you have indicated in the Selection Questionnaire question 1.2 that you are part of a wider, larger organisation please provide further details. | |
| Name of organisation | |  |
| Relationship to the Supplier completing these questions | |  |

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

|  |  |
| --- | --- |
| **Section 6** | **Technical and Professional Ability** |

|  |  |
| --- | --- |
| 6.1 | **Relevant experience and contract examples**  Please provide details of three projects, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to the Authority’s Requirements and which demonstrate your technical and professional ability to meet these Requirements by evidencing your capabilities and experience in the core competencies below*.* VCSEs may include samples of grant-funded work. Contract examples should be as recent as possible up to a maximum of ten years since Practical Completion. Please include the estimated project value of each example.  The named customer contact provided should be able to provide written evidence to confirm the accuracy of the information provided below.  Consortia bids should provide relevant examples of where the consortium has delivered similar Requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).  Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who will deliver the contract.  If you cannot provide examples, see question 6.3 |

|  |  |
| --- | --- |
|  | **Core competencies / Requirements**  The project examples should demonstrate your technical and professional ability to meet the Authority’s requirements by evidencing your capabilities and experience in the core competencies set out below.  **Please Note:** All of the core competencies need not be demonstrated in every project example, although these should be demonstrated across all three project examples provided. The project examples will be scored in accordance with the Evaluation Methodology set out in appendix B.  Core Competency 1 – Quality of project experience  Experience of working for employers who have developed well designed, high quality buildings that meet with specified quality requirements. Examples should ideally include student social and learning spaces, teaching spaces, laboratories, offices. Please explain how the selected examples are similar to the RVC’s proposed new development.  Core Competency 2 – Campus based project experience  Experience working in a live campus environment or similar. This may be a University Campus or may be experience working in an environment with similar characteristics and/or operational restrictions, such as a hospital or school. Please explain how logistics, traffic movement, site arrangements, communication and interfaces were dealt with in order to minimise disruption to normal daily activities and how the processes were planned and implemented.  Core Competency 3 – Project Management Systems  Describe how you effectively interacted with the projects’ clients and its other consultants to achieve successful project outcomes. In your response you should consider the management tools and methodologies you employed to minimise ambiguity, mistakes, improved information flow and project communication.  Core Competency 4 – Interventions within existing and surrounding buildings  As part of the project it will be necessary to form linkages to existing buildings, in order to improve the connectivity and functionality. In order to achieve this, work will be required to significantly adapt, interface with and repurpose certain existing spaces. Therefore, please can you demonstrate experience of undertaking such works within existing buildings and how any potential issues were overcome.  Core Competency 5 – Building Services Installation  The new building provides a significant variety of spaces that range from containment level 2 laboratories to a new lecture theatre. There will also be areas required to be handed over, in an initial phase of development completion. Please can you demonstrate experience of delivering highly serviced buildings and how these were coordinated with other building elements.    Core Competency 6 – Handover and Commissioning  The delivery of the new facilities will be followed by the repurposing of existing spaces and will need be in full use, immediately after handover. Therefore it is important that the new premises are available and fully functional from day one of the handover. Therefore please demonstrate how you effectively dealt with handover quality control, the commissioning of plant and systems and resolution of both patent and latent defects |

|  |  |
| --- | --- |
| 6.1.1 | **Project 1** |
| Name of customer organisation |  |
| Description of Project | Please provide a description of the Project delivered including evidence as to your technical skills, capability and experience in each of the core competencies identified above. Please ensure that when submitting these examples that you clearly mark which competency or competencies the project is/are addressing. (Please note that response of each example project, should not exceed 8 sides of A4 paper 10 point font , including any pictures). |
|  |
| Project start date |  |
| Project completion date |  |
| Project value |  |
| Form of contract |  |
| Reference | Please list below the details of a referee for this project. The reference contact should ideally be able to give as much factual information as possible detailing your organisation’s role in delivering this project’s requirements. |
| Contact name |  |
| Full contact details |  |

|  |  |
| --- | --- |
| 6.1.2 | **Project 2** |
| Name of customer organisation |  |
| Description of Project | Please provide a description of the Project delivered including evidence as to your technical skills, capability and experience in each of the core competencies identified above. Please ensure that when submitting these examples that you clearly mark which competency or competencies the project is/are addressing. (Please note that response of each example project, should not exceed 8 sides of A4 paper 10 point font, including any pictures). |
|  |
| Project start date |  |
| Project completion date |  |
| Project value |  |
| Form of contract |  |
| Reference | Please list below the details of a referee for this project. The reference contact should ideally be able to give as much factual information as possible detailing your organisation’s role in delivering this project’s requirements. |
| Contact name |  |
| Full contact details |  |

|  |  |
| --- | --- |
| 6.1.3 | **Project 3** |
| Name of customer organisation |  |
| Description of Project | Please provide description of the Project delivered including evidence as to your technical skills, capability and experience in each of the core competencies identified above. Please ensure that when submitting these examples that you clearly mark which competency or competencies the project is/are addressing. (Please note that response of each example project, should not exceed 8 sides of A4 paper 10 point font, including any pictures). |
|  |
| Project start date |  |
| Project completion date |  |
| Project value |  |
| Form of contract |  |
| Reference | Please list below the details of a referee for this project. The reference contact should ideally be able to give as much factual information as possible detailing your organisation’s role in delivering this project’s requirements. |
| Contact name |  |
| Full contact details |  |

[You do not need to supply certificates or references at this stage with your SQ response. The authority may request certificates or references from the short-listed Candidates only.]

|  |  |
| --- | --- |
| 6.2 | Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).  Evidence should include, but is not limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries). |
|  |  |

|  |  |
| --- | --- |
| 6.3 | If you cannot provide at least one example for questions 6.1, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up. |
|  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| 6.4 | Has your organisation had a contract terminated or your employment determined under the terms of the contract in the last three years? | Yes/No | |
| If Yes, please enclose details | | |
| **Tick if enclosed** | |  |

|  |  |
| --- | --- |
| **Section 7** | **Modern Slavery Act 2015:** **Requirements under Modern Slavery Act 2015** |

|  |  |  |
| --- | --- | --- |
| 7.1 | Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")? | Yes/Not Applicable |
| 7.2 | If you have answered yes to question 7.1 are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015? | Yes ☐  Please provide the relevant url …  No ☐  Please provide an explanation |

|  |  |
| --- | --- |
| **Section 8** | **Equal Opportunities** |

|  |  |  |
| --- | --- | --- |
| 8.1 | Do you have a written equal opportunities policy? | Yes/No |
| If yes, please enclose details. | |
| Tick if enclosed |  |
| If you do not have a written equal opportunities policy, please explain how you intend to meet your equal opportunities obligations: | |
|  | |
|  | | |
| 8.2 | If you do have a written equal opportunities policy, does your policy cover: | |
| Recruitment, selection, training, promotion, discipline and dismissal? | Yes/No |
| Discrimination, harassment and victimisation, making it clear that these are disciplinary offences within the firm? | Yes/No |
| Does your policy identify a senior position with responsibility for the policy and its implementation? | Yes/No |
| If you have answered yes to any of the above questions, how often is your policy reviewed? |  |
| Please state when it is next due for review: |  |
| If you have answered yes to any of the above questions, how do you communicate your policy to your staff? |  |
| Please evidence where the above information can be found in your policy. | |
|  | | |
| 8.3 | If you are an organisation with **50 or more employees**, do you provide equality training for managers and staff responsible for recruitment and selection? | Yes/No |
|  | | |
| 8.4 | In the last three years, has any finding of unlawful discrimination or other breach of equality law been made against your organisation by any court or industrial tribunal? | Yes/No |
|  | | |
| 8.5 | In the last three years, has your organisation been the subject of a formal investigation by the Equality and Human Rights Commission or any previous equality commission on grounds of alleged unlawful discrimination?  If ‘Yes’ please provide details. | Yes/No |
|  |  |  |
| 8.6 | If you have answered yes to D4 or D5, what was the result of the investigation and what actions did you take in response? | |
|  |  |  |

**9. Additional Questions**

Suppliers who self-certify that they meet the requirements of this SQ and these additional questions may be required to provide evidence of this at any stage in the procurement and in any event will be required to provide evidence of this if they are successful at contract award stage.The Authority may disqualify a Supplier where the evidence requested is not provided and/or is not provided within any timescale specified by the Authority and/or where the evidence provided by the Supplier does not support the Supplier’s self-certification.

|  |  |
| --- | --- |
| **Section 9** | **Skills and Apprentices[[2]](#footnote-2)** |

|  |  |  |
| --- | --- | --- |
| 9.1 | Public procurement of contracts with a full life value of £10 million and above and duration of 12 months and above should be used to support skills development and delivery of the apprenticeship commitment. This policy is set out in detail in Procurement Policy Note 14/15.  Please confirm if you will be supporting apprenticeships and skills development through this contract. | Yes/No |
| 9.2 | If yes, can you provide at a later stage documentary evidence to support your commitment to developing and investing in skills, development and apprenticeships to build a more skilled and productive workforce and reducing the risks of supply constraints and increasing labour cost inflation? | Yes/No |
| 9.3 | Do you have a process in place to ensure that your supply chain supports skills, development and apprenticeships in line with PPN 14/15 (see guidance) and can provide evidence if requested? | Yes/No |

|  |  |
| --- | --- |
| **Section 10** | **Health and Safety** |

|  |  |  |  |
| --- | --- | --- | --- |
| 10.1 | Have there been any Improvement or Prohibition Notices or Prosecutions served on your organisation by the Health & Safety Executive in the last 10 years? | | Yes/No |
| If yes, please enclose details. | | |
| Tick if enclosed | |  |
|  | | | |
| 10.2 | Please state the total number of employees within your organisation. Include Directors, trainees etc. | | |
|  | | |
|  | | | |
| If your organisation has **more than 5 employees** please answer questions 10.3 and 10.4. | | | |
| 10.3 | Please provide a copy of your organisation’s Health & Safety Policy | | |
| Tick if enclosed | |  |
|  | | | |
| 10.4 | How is the Health & Safety Policy brought to the attention of your employees and sub-contractors? | | |
| Employees. |  | |
| Sub-contractors. | Please provide a copy of your H&S vetting procedures for Tier 1 suppliers | |
|  | | | |
| If your organisation has **fewer than 5 employees** please answer question 10. | | | |
| 10.5 | Please provide a letter or statement of your commitment to comply with the Health & Safety at Work Act (1974). | | Yes/No |
| Tick if enclosed | |  |

|  |  |
| --- | --- |
| **Section 11** | **Environmental Management and Social Considerations** |

|  |  |  |
| --- | --- | --- |
| 11.1 | The Authority expects its contractors to comply with, or exceed, all statutory environmental requirements. | |
| Please provide a copy of your organisation’s Environmental Management policy. | |
| Tick if enclosed. | Yes/No |
|  |  |  |
| 11.2 | Please provide a copy details of your Tier 1 subcontractor environmental vetting procedure. |  |
|  | Tick if enclosed | Yes/No |
|  |  |  |
| 11.3 | Has your organisation had any notices or prosecutions served on you with respect to environmental legislation? You need not disclose details of spent convictions. | Yes/No |
| If yes, please enclose details. | |
| Tick if enclosed |  |
|  | | |
| 11.4 | What steps have you subsequently taken to ensure that you comply with environmental legislation? Please enclose examples of procedures and/or staff training records. | |
| Tick if enclosed. |  |

|  |  |
| --- | --- |
| **Section 12** | **Undertaking by the Applicant** |

|  |  |
| --- | --- |
| I/We certify that the information supplied is accurate to be 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 disqualification from this shortlisting process.  I/We also 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 RVC employee and that any such action will empower Royal Veterinary College to cancel any contract currently in force and will result in my/our disqualification from the short-listing process. | |
| Applicant name \* |  |
| Signed | Duly authorised on behalf of the Applicant |
| Position |  |
| Date |  |
| \* Please note the term “Applicant” refers to sole proprietor, partnership, incorporated company, and cooperative as appropriate. The undertaking should be signed by a partner or authorised representative in her/his own name and on behalf of the Applicant. | |

**STATEMENT RELATING TO 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 2015 (PCR 2015)**

**CONTRACT NAME: RVC HAWKSHEAD CAMPUS REDEVELOPMENT**

I/We confirm that, to the best of my/our knowledge, the applicant is not in breach of the provisions of Regulation 23 of the Public Contracts Regulations 2015 and in particular that:

**Grounds for Mandatory Rejection (ineligibility) (Annexe A)**

The applicant (or its directors or any other person who has powers of representation, decision or control of the named organisation) has not been convicted of any of the following offences:

1. 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 Councils Joint Action 98/733/JHA (as amended);
2. 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 (as amended);
3. the offence of bribery;
4. 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:
   1. the offence of cheating the Revenue;
   2. the offence of conspiracy to defraud;
   3. fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;
   4. fraudulent trading within the meaning of section 458 of the Companies Act 1985;
   5. defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994;
   6. an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; or
   7. 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;
5. money laundering within the meaning of the Money Laundering Regulations 2003; or

any other offence within the meaning of Article 45(1) of the Public Sector Directive.

|  |  |
| --- | --- |
| Applicant name \* |  |
| Signed | Duly authorised on behalf of the Applicant |
| Position |  |
| Date |  |
| \* Please note the term “Applicant” refers to sole proprietor, partnership, incorporated company, and cooperative as appropriate. The undertaking should be signed by a partner or authorised representative in her/his own name and on behalf of the Applicant. | |

**Discretionary Grounds for Rejection**

The Applicant (or its directors or any other person who has powers of representation, decision or control of the named organisation) confirms that it:

1. 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 able 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;
2. 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;
3. 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, nor 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 similar procedures under the law of any other state;
4. has not been convicted of a criminal offence relating to the conduct of his business or profession;
5. has not committed an act of grave misconduct in the course of his business or profession;
6. 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;
7. 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;
8. is not guilty of serious misrepresentation in providing any information required of him under this regulation;

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.

|  |  |
| --- | --- |
| Applicant name \* |  |
| Signed | Duly authorised on behalf of the Applicant |
| Position |  |
| Date |  |
| \* Please note the term “Applicant” refers to sole proprietor, partnership, incorporated company, and cooperative as appropriate. The undertaking should be signed by a partner or authorised representative in her/his own name and on behalf of the Applicant. | |

**Annex A**

**Mandatory Exclusion Grounds**

**Public Contract Regulations 2015 R57(1), (2) and (3)**

**Public Contract Directives 2014/24/EU Article 57(1)**

**Participation in a criminal organisation**

Participation offence as defined by section 45 of the Serious Crime Act 2015

Conspiracy within the meaning of

* section 1 or 1A of the Criminal Law Act 1977 or
* article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983

where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime;

**Corruption**

Corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;

The common law offence of bribery;

Bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983;

**Fraud**

Any of the following offences, where the offence relates to fraud affecting the European Communities’ financial interests as defined by Article 1 of the convention on the protection of the financial interests of the European Communities:

* the common law offence of cheating the Revenue;
* the common law offence of conspiracy to defraud;
* fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;
* fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;
* fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;
* an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;
* destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;
* fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;
* the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;

**Terrorist offences or offences linked to terrorist activities**

Any offence:

* listed in section 41 of the Counter Terrorism Act 2008;
* listed in schedule 2 to that Act where the court has determined that there is a terrorist connection;
* under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by the previous two points;

**Money laundering or terrorist financing**

Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002.

An offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996.

**Child labour and other forms of trafficking human beings**

An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004.

An offence under section 59A of the Sexual Offences Act 2003.

An offence under section 71 of the Coroners and Justice Act 2009.

An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994.

An offence under section 2 or section 4 of the Modern Slavery Act 2015.

**Non-payment of tax and social security contributions**

Breach of obligations relating to the payment of taxes or social security contributions that has been established by a judicial or administrative decision.

Where any tax returns submitted on or after 1 October 2012 have been found to be incorrect as a result of:

* HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the “Halifax” abuse principle; or
* a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or “Halifax” abuse principle;
* a failure to notify, or failure of an avoidance scheme which the supplier is or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS) or any equivalent or similar regime in a jurisdiction in which the supplier is established.

**Other offences**

Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales and Northern Ireland.

Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland.

**Discretionary Exclusions**

**Obligations in the field of environment, social and labour law.**

Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive (see copy below) as amended from time to time; including the following:-

* Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years.
* In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination.
* In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK).
* Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006;
* Where the organisation has been in breach of the National Minimum Wage Act 1998.

**Bankruptcy, insolvency**

Bankrupt, or is the subject of insolvency or winding-up proceedings, where the organisation’s assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State;

**Grave professional misconduct**

Guilty of grave professional misconduct.

**Distortion of competition**

Entered into agreements with other economic operators aimed at distorting competition.

**Conflict of interest**

Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure.

**Been involved in the preparation of the procurement procedure.**

**Prior performance issues**

Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions.

**Misrepresentation and undue influence**

The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award.

Additional Exclusion Grounds

**Breach of obligations relating to the payment of taxes or social security contributions.**

**ANNEX X Extract from Public Procurement Directive 2014/24/EU**

**LIST OF INTERNATIONAL SOCIAL AND ENVIRONMENTAL CONVENTIONS REFERRED TO IN ARTICLE 18(2) —**

* ILO Convention 87 on Freedom of Association and the Protection of the Right to Organise;
* ILO Convention 98 on the Right to Organise and Collective Bargaining;
* ILO Convention 29 on Forced Labour;
* ILO Convention 105 on the Abolition of Forced Labour;
* ILO Convention 138 on Minimum Age;
* ILO Convention 111 on Discrimination (Employment and Occupation);
* ILO Convention 100 on Equal Remuneration;
* ILO Convention 182 on Worst Forms of Child Labour;
* Vienna Convention for the protection of the Ozone Layer and its Montreal Protocol on substances that deplete the Ozone Layer;
* Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal (Basel Convention);
* Stockholm Convention on Persistent Organic Pollutants (Stockholm POPs Convention)
* Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) (The PIC Convention) Rotterdam, 10 September 1998, and its 3 regional Protocols.

**Consequences of misrepresentation**

A serious misrepresentation which induces a contracting authority to enter into a contract may have the following consequences for the signatory that made the misrepresentation:-

* The potential supplier may be excluded from bidding for contracts for three years, under regulation 57(8)(h)(i) of the PCR 2015;
* The contracting authority may sue the supplier for damages and may rescind the contract under the Misrepresentation Act 1967.
* If fraud, or fraudulent intent, can be proved, the potential supplier or the responsible officers of the potential supplier may be prosecuted and convicted of the offence of fraud by false representation under s.2 of the Fraud Act 2006, which can carry a sentence of up to 10 years or a fine (or both).
* If there is a conviction, then the company must be excluded from procurement for five years under reg. 57(1) of the PCR (subject to self-cleaning).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Scoring Criteria** | **Question Type** | **Points Available** | **Weighting** | **Total Score Available** |
|  |  |  |  |  |
| **Part 1 – Potential Supplier Information** |  |  |  |  |
| 1.1(a) Name of potential provider | Yes/No | None | N/A | Nil |
| 1.1(b) (i) Registered office address | Yes/No | None | N/A | Nil |
| 1.1(b) (ii) Website address | Yes/No | None | N/A | Nil |
| 1.1(c) Trading status | Yes/No | None | N/A | Nil |
| 1.1(d) Date of registration in country of origin | Yes/No | None | N/A | Nil |
| 1.1(e) Company registration number | Yes/No | None | N/A | Nil |
| 1.1(f) Charity registration number | Yes/No | None | N/A | Nil |
| 1.1(g) Head office DUNS number | Yes/No | None | N/A | Nil |
| 1.1(h) Registered VAT number | Yes/No | None | N/A | Nil |
| 1.1(i) (i) Professional/trade registrations | Yes/No | None | N/A | Nil |
| 1.1(i) (ii) Registration details | Yes/No | None | N/A | Nil |
| 1.1(j) (i) Member of organisation to provide services | Yes/No | None | N/A | Nil |
| 1.1(j) (ii) Details of organisation | Yes/No | None | N/A | Nil |
| 1.1(k) Trading names | Yes/No | None | N/A | Nil |
| 1.1(l) Relevant classifications | Yes/No | None | N/A | Nil |
| 1.1(m) SME | Yes/No | None | N/A | Nil |
| 1.1(n) Person of Significant Control | Yes/No | None | N/A | Nil |
| 1.1(o) Immediate parent company | Yes/No | None | N/A | Nil |
| 1.1(p) Ultimate parent company | Yes/No | None | N/A | Nil |
| 1.2.1 Type A/B provider | Yes/No | None | N/A | Nil |
| 1.2.1.1 Type A provider information | Yes/No | None | N/A | Nil |
| 1.2.1.2 Type B provider information | Yes/No | None | N/A | Nil |
| 1.2.1.3 Supply chain commitment | Yes/No | None | N/A | Nil |
| 1.2(a) (i) Lead contact for a group | Yes/No | None | N/A | Nil |
| 1.2(a) (ii) Name of group | Yes/No | None | N/A | Nil |
| 1.2(a) (iii) Legal structure of group | Yes/No | None | N/A | Nil |
| 1.2(b) (i) Group proposal to use subcontractors | Yes/No | None | N/A | Nil |
| 1.2(b) (ii) Subcontractor details | Yes/No | None | N/A | Nil |
| 1.3 Contact details and declaration | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Part 2 – Exclusion Grounds** |  |  |  |  |
| **Section 2 – Mandatory Exclusion** |  |  |  |  |
| Are there any reasons for exclusion on the basis of the list of mandatory exclusions?  If ‘yes, the supplier is **excluded**. | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Section 3 – Discretionary Exclusion** |  |  |  |  |
| Are there any reasons for exclusion on the basis of the list of discretionary exclusions?  If ‘yes, the supplier will be **considered for exclusion**. | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| **Part 3 – Selection Questions** |  |  |  |  |
| **Section 4 – Economic and Financial Standing** |  |  |  |  |
| 4.1(a) Financial statement | Yes/No | None | N/A | Nil |
| 4.1(b) Cashflow forecast | Yes/No | None | N/A | Nil |
| 4.2.1 Minimum turnover threshold | Pass/Fail | None | N/A | Nil |
| 4.2.2 Profit | Pass/Fail | None | N/A | Nil |
| 4.2.3 Cash reserves | Pass/Fail | None | N/A | Nil |
| 4.3 Person responsible for financial matters | Yes/No | None | N/A | Nil |
| 4.4 Outstanding claims or litigation | Pass/Fail | None | N/A | Nil |
| 4.5 Insurance policies |  |  |  |  |
| Employers liability | Pass/Fail | None | N/A | Nil |
| Public liability (third party) | Pass/Fail | None | N/A | Nil |
| Professional indemnity | Pass/Fail | None | N/A | Nil |
| 4.6 Refusal of insurance | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Section 5 – Larger Organisation** |  |  |  |  |
| Details of larger organisation | Pass/Fail | None | N/A | Nil |
| 5.1 Parent company accounts | Pass/Fail | None | N/A | Nil |
| 5.2 Parent Company Guarantee | Pass/Fail | None | N/A | Nil |
| 5.3 Alternative guarantee |  |  |  |  |
|  |  |  |  |  |
| **Section 6 – Technical and Professional Ability** |  |  |  |  |
| **Relevant experience** |  |  |  |  |
| **Project 1** | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 1 – Quality based experience | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 2 – Campus experience | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 3 – Project systems | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 4 – Existing Buildings | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 5 – Building services installations | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 6 – Handover and Commissioning | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| 6.1.1 Project details |  |  |  |  |
| Name of client | Yes/No | None | N/A | Nil |
| Description of project | Yes/No | None | N/A | Nil |
| Project start date | Yes/No | None | N/A | Nil |
| Project completion date | Yes/No | None | N/A | Nil |
| Project value | Yes/No | None | N/A | Nil |
| Form of contract | Yes/No | None | N/A | Nil |
| Referee name and details | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| **Project 2** | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 1 – Quality based experience | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 2 – Campus experience | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 3 – Project systems | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 4 – Existing Buildings | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 5 –Building services installations | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 6 – Handover and Commissioning | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| 6.1.2 Project details |  |  |  |  |
| Name of client | Yes/No | None | N/A | Nil |
| Description of project | Yes/No | None | N/A | Nil |
| Project start date | Yes/No | None | N/A | Nil |
| Project completion date | Yes/No | None | N/A | Nil |
| Project value | Yes/No | None | N/A | Nil |
| Form of contract | Yes/No | None | N/A | Nil |
| Referee name and details | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| **Project 3** | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 1 – Quality based experience | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 2 – Campus experience | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 3 – Project systems | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 4 – Existing Buildings | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 5 –Building services installations | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| Competency 6 – Handover and Commissioning | Graded | 0, 3, 6 or 10 | N/A | 0, 3, 6 or 10 |
| 6.1.3 Project details |  |  |  |  |
| Name of client | Yes/No | None | N/A | Nil |
| Description of project | Yes/No | None | N/A | Nil |
| Project start date | Yes/No | None | N/A | Nil |
| Project completion date | Yes/No | None | N/A | Nil |
| Project value | Yes/No | None | N/A | Nil |
| Form of contract | Yes/No | None | N/A | Nil |
| Referee name and details | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| 6.2 Supply chain management | Pass/Fail | None | N/A | Nil |
| 6.3 Explanation for lack of project experience | Pass/Fail | None | N/A | Nil |
| 6.4 Contract termination  If ‘yes, the supplier will be **considered for exclusion**. | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Section 7 – Modern Slavery Act** |  |  |  |  |
| 7.1 Relevant commercial organisation | Pass/Fail | None | N/A | Nil |
| 7.2 Annual reporting compliance | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Section 8: Equal Opportunities** |  |  |  |  |
| 8.1 Equal Opportunities policy or statement | Pass/Fail | None | N/A | Nil |
| 8.2 Policy coverage |  |  |  |  |
| Recruitment, training, promotion and the like | Yes/No | None | N/A | Nil |
| Discrimination, harassment, victimisation | Yes/No | None | N/A | Nil |
| Identification of responsibility | Yes/No | None | N/A | Nil |
| Policy review frequency | Yes/No | None | N/A | Nil |
| Date of next review | Yes/No | None | N/A | Nil |
| Communication to staff | Yes/No | None | N/A | Nil |
| Evidence of all of the above | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| 8.3 Equality training | Yes/No | None | N/A | Nil |
| 8.4 Unlawful discrimination | Yes/No | None | N/A | Nil |
| 8.5 Investigations into unlawful discrimination | Yes/No | None | N/A | Nil |
| 8.6 Results of 8.4 & 8.5  If ‘yes, the supplier will be **considered for exclusion**. | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Section 9: Apprenticeships** |  |  |  |  |
| 9.1 Support of apprenticeships | Yes/No | None | N/A | Nil |
| 9.2 Documentary evidence of apprenticeships | Yes/No | None | N/A | Nil |
| 9.3 Supply chain apprenticeships | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| **Section 10: Health & Safety** |  |  |  |  |
| 10.1 Improvement notices/prosecutions  If ‘yes, the supplier will be **considered for exclusion**. | Pass/Fail | None | N/A | Nil |
| 10.2 Number of employees | Yes/No | None | N/A | Nil |
| 10.3 Health & Safety policy (5+ employees) | Yes/No | None | N/A | Nil |
| 10.4 H&S policy communication (5+ employees) |  |  |  |  |
| (i) Company | Yes/No | None | N/A | Nil |
| (ii) Supply chain | Yes/No | None | N/A | Nil |
| 10.5 H&S commitment (5- employees) | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| **Section 11: Environmental Management** |  |  |  |  |
| 11.1 Environmental Management Policy | Yes/No | None | N/A | Nil |
| 11.2 Supply chain environmental vetting | Yes/No | None | N/A | Nil |
| 11.3 Improvement notices/prosecutions  If ‘yes, the supplier will be **considered for exclusion**. | Pass/Fail | None | N/A | Nil |
| 11.4 Environmental legislation compliance | Yes/No | None | N/A | Nil |
|  |  |  |  |  |
| **Section 12: Undertaking by the Applicant** |  |  |  |  |
| Signed and dated on behalf of the company | Pass/Fail | None | N/A | Nil |
|  |  |  |  |  |
| **Section 13. Statement Relating to Good Standing** |  |  |  |  |
| Mandatory grounds for rejection | Pass/Fail | None | N/A | Nil |
| Discretionary grounds for rejection | Pass/Fail | None | N/A | Nil |

1. UK companies, Societates European (SEs) and limited liability partnerships (LLPs) will be required to identify and record the people who own or control their company. Companies, SEs and LLPs will need to keep a PSC register and must file the PSC information with the central public register at Companies House. [See PSC guidance](https://www.gov.uk/government/publications/guidance-to-the-people-with-significant-control-requirements-for-companies-and-limited-liability-partnerships). [↑](#footnote-ref-1)
2. [Procurement Policy Note 14/15– Supporting Apprenticeships and Skills Through Public Procurementhttps://www.gov.uk/government/uploads/system/uploads/attachment\_data/file/456805/27\_08\_15\_Skills\_\_Apprenticeships\_PPN\_vfinal.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/456805/27_08_15_Skills__Apprenticeships_PPN_vfinal.pdf) [↑](#footnote-ref-2)