**Wellspring Academy Trust**

**Prequalification Questionnaire for Capital Projects**

**Contractors Name:.................................................................**

**Date PQQ Completed:............................................................**

**Section 1: Supplier Identity, key roles and contact information**

| **Q Ref** | **Nature of Information** | **Description of response expected, which will be taken into account in assessment** | **Response** |
| --- | --- | --- | --- |
| C1-Q1 | Name of Legal Entity of sole-trader | Unique name of legal entity or  name of individual |  |
| C1-Q2 | Registered office  Address | C1-Q2-1 Address line 1  (Property name/number) |  |
| C1-Q2-2 Address line 2 |  |
| C1-Q2-3 Address line 3 |  |
| C1-Q2-4 Town |  |
| C1-Q2-5 County |  |
| C1-Q2-6 Postcode |  |
|  | Website Address | C1-Q2-7 website (if applicable) |  |
| C1-Q3 | Contact Details for  Enquiries | C1-Q3-1 Title (Mr, Mrs, Ms, etc.) |  |
| C1-Q3-2 Forename |  |
| C1-Q3-3 Family name |  |
| C1-Q3-4 Job title |  |
| C1-Q3-5 e-mail |  |
| C1-Q3-6 Telephone number |  |
| C1-Q3-7 Fax number |  |
| C1-Q3-8 Address line 1  (Property name/number) |  |
| C1-Q3-9 Address line 2 |  |
| C1-Q3-10 Address line 3 |  |
| C1-Q3-11 Town |  |
| C1-Q3-12 County |  |
| C1-Q3-13 Postcode |  |
| C1-Q4 | Registration  number, if  registered with  Companies House or  equivalent | C1-Q4-1 Registration number with  Companies House |  |
| C1-Q4-2 Registration number with  equivalent body |  |
| C1-Q5 | Charity registration  number |  |  |
| C1-Q6 | Name of immediate  parent company |  |  |
| C1-Q8 | Name of ultimate  parent company |  |  |
| C1-Q9 | Type of organisation | e.g. PLC; limited company; LLP;  other partnership; sole trader;  other (please specify) |  |

**Section 2: Financial Information**

| **Q Ref** | **Information required** | **Description of information expected,**  **which will be taken into account in**  **assessment** | **Tick as**  **applicable** | **Supplier’s**  **unique reference**  **to relevant**  **supporting**  **information** |
| --- | --- | --- | --- | --- |
| C2-Q1 | Please select the one organization description that most closely  matches your organization and provide information accordingly | |  |  |
|  | C2-Q1-1 Financial  information for a startup  business that has not  reported accounts to  the Inland Revenue or  Companies House | Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status (See Note 2 to this Table) |  |  |
|  | C2-Q1-2 Accounts for an  unincorporated business  (sole traders and  partnerships) | Copy of the most recent accounts that contain turnover, profit before tax, and balance sheet (if prepared) covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available.  If accounts are not prepared, provide the relevant pages from the latest tax returns (self-employment pages for  sole traders, partnership pages for partnerships), together with the tax assessment. |  |  |
|  | C2-Q1-3 Accounts for a  small company or limited  liability partnership  with a turnover below  the audit threshold at  which the preparation of  audited accounts is not  required | Copy of the most recent accounts as submitted to the Inland Revenue covering either the most recent two year period of trading or, if trading for less than two years, the period that is available. Abbreviated accounts are not acceptable |  |  |
|  | C2-Q1-4 Accounts for  a medium to large  incorporated entity and  all other organizations  that are required to  prepare audited accounts | Copy of the most recent audited accounts covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available |  |  |
|  | C2-Q1-5 Accounts for  other organization  types (e.g. not for profit  entities, local authorities,  housing associations,  charities) | In most cases it is likely that audited accounts will have been prepared and the accounts required at C2-Q1-4 above will suffice. Where this is not the case, an unaudited copy of the most recent accounts as described in C2-Q1-2 above should be provided. |  |  |

| **C2-Q2** | **Insurance statement and**  **certificates** | **Please enter the requested information**  **in the response column** | | **Response** |
| --- | --- | --- | --- | --- |
|  |  | C2-Q2-1 Employers’ liability insurance | C2-Q2-1-1 Policy No. |  |
| C2-Q2-1-2 Limit of  indemnity |  |
| C2-Q2-1-3 Excess |  |
| C2-Q2-1-4 Limit for a  single event |  |
| C2-Q2-1-5 Expiry date |  |
| C2-Q2-2 Public liability insurance | C2-Q2-2-1 Policy No. |  |
| C2-Q2-2-2 Limit of  indemnity |  |
| C2-Q2-2-3 Excess |  |
| C2-Q2-2-4 Limit for a  single event |  |
| C2-Q2-2-5 Expiry date |  |
| C2-Q2-3 Professional indemnity insurance (Where consultancy input involved) | C2-Q2-3-1 Policy No. |  |
| C2-Q2-3-2 Limit of  indemnity |  |
| C2-Q2-3-3 Excess |  |
| C2-Q2-3-4 Expiry date |  |
| C2-Q2-4 Product liability Insurance (Where product is to be supplied) | C2-Q2-4-1 Policy No. |  |
| C2-Q2-4-2 Limit of  indemnity |  |
| C2-Q2-4-3 Excess |  |
| C2-Q2-4-4 Expiry date |  |

**Section 3: Business and professional standing**

| **Q Ref** | **Core Question** | **Information Required** | **Yes** | **No** | **Suppliers Unique Reference to relevant supporting information** |
| --- | --- | --- | --- | --- | --- |
| C3-Q1 | Has your company or any of its Directors and/ or 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? | Details of any such action. Responses will be taken into account in assessing the outcome of this prequalification application where the circumstances of the judgement are pertinent to anticipated future projects or services. They will not  necessarily constitute a reason for rejection |  |  |  |
| C3-Q2 | If your company or any of its Directors and/ or Executive Officers are 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, have all claims been properly notified in accordance with relevant Insurance policy requirements and been accepted by the insurers? | Details of any such action, insurance notification requirements where relevant, and confirmation, with references, of relevant insurance notification and insurer acceptance. Responses will be taken into account as part of the assessment process. |  |  |  |
| C3-Q3 | Has your company or any of its Directors and/ or Executive Officers been in receipt of enforcement/remedial orders that are still unresolved (such as those in relation to Environment Agency or Office of Rail Regulation enforcement), in the last three years? | Details, including the status of the required action. Responses will be taken into account as part of the assessment process |  |  |  |

**Section 4: Exemptions and pertinent question selection**

| **Q Ref** | **Exemptions and pertinent question selection** | **Exemption(s) Claimed** | |
| --- | --- | --- | --- |
| **Please tick i and /or ii for C4-Q1-1a, b and /or c, as appropriate, and for i, also state the CDM duty holders role(s) for which exemption is claimed** | **Supplier’s Unique reference to certificates or other supporting information** |
| C4--Q1 | In the circumstances set out in C4-Q1-1a) to C4- Q1-1c), if your organization meets the relevant criteria in respect of exemption categories i) and/or ii) below:  *i. one or more of the following CDM duty holder roles: contractor, principal contractor, designer, principal designer;*  *ii. general health and safety: policy and*  *Capability;*  and you can provide the supporting information to evidence this, the following exemptions apply:  • for an exemption under i) or ii) above:  questions C4-Q2 to C4-Q11 need not be  completed  • for an exemption under i) above questions C4- Q12 to C4-Q22 also need not be completed in respect of the role(s) identified.  If you are not claiming an exemption, please  move to question C4-Q2.  However, if you are claiming exemption(s),  but such exemption(s) does not cover all the  categories/roles relevant to your application,  please:  • complete questions C4-Q12 to C4-Q22 in  respect of each relevant category/role not  covered by an exemption; and  • provide any additional information required for C4-Q2 to C4-Q11 in respect of relevant categories/ roles that are not covered by an exemption.\*  NOTE \*Additional information to that relevant  to the exemption(s) claimed could be required  to demonstrate satisfactory organization and  arrangements appropriate to the categories/  roles not covered by such exemption(s). |  |  |
|  | **Circumstances of exemption** | | |
|  | **C4-Q1-1a)** You have, within the last  twelve months, successfully completed a  prequalification application undertaken by an assessment provider able to demonstrate that its information gathering process is equivalent to that of PAS 91. | * For i)   CDM duty holder role(s) claimed.  ...................................................   * For ii) |  |
|  | **C4-Q1-1b)** You have, within the last twelve  months, successfully met the assessment  requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum (see Annex D). | * For i)   CDM duty holder role(s) claimed.  ...................................................   * For ii) |  |
|  | **C4-Q1-1c)** You hold a certificate of compliance with BS OHSAS 18001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard,1 e.g. accredited by UKAS. | * For i)   CDM duty holder role(s) claimed.  ...................................................   * For ii) |  |

| **Q Ref** | **Question** | **Example of the type of information to support responses, which will be taken into account in assessment** | **Yes** | **No** | **Suppliers unique reference to relevant supporting evidence** |
| --- | --- | --- | --- | --- | --- |
| C4-Q2 | Are you able to show that you have a general policy and an organization which is responsible for ensuring effective health and safety (H&S) management? | Evidence of periodically reviewed general H&S policy, signed and dated by a senior person within the organization. The H&S policy should also contain the organization and arrangements. These should be relevant to the anticipated nature and scale of activity to be undertaken, and set out responsibilities for H&S management at all levels in the organization. (Organizations with fewer than 5 employees, see Note 4 to this Table) |  |  |  |
| C4-Q3 | Are you able to show your  arrangements for ensuring that your H&S measures are effective in reducing/ preventing work-related incidents, occupational ill-health and accidents? | Details of the arrangements  for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken, and how these arrangements are communicated to workers. (Organizations with fewer than 5 employees, see Note 4 to this Table) |  |  |  |
| C4-Q4 | Do you have ready access to competent H&S advice/assistance? | Evidence of how your organization has ready access to competent H&S advice, for both general health and safety and, for CDM duty holders, construction-related health and safety. (Access to competent inhouse advice, in whole or part, is usually preferred. It is essential that H&S advisor(s) are able to provide general H&S advice and that, for CDM duty holders (from the same source or elsewhere) advice on relevant construction H&S issues is accessible as required.) |  |  |  |
| C4-Q5 | Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organization is likely to undertake? | Evidence that your organization implements relevant training arrangements to ensure that employees/other workforce have sufficient skills and understanding to discharge their various duties. This should include refresher training on relevant good H&S practice and, for CDM contractors and principal contractors, Construction Phase Plans (CPP) may be used to show how information is disseminated or communicated on-site (see note 5 to this Table). |  |  |  |
| C4-Q6 | Do your employees/other workforce have H&S and other relevant knowledge, experience and skills to carry out activities that your organization is likely to undertake? | Evidence that your employees/other workforce have suitable knowledge, experience and skills for the activities assigned to them, unless there are specific situations where they need to work under competent control and/or supervision (e.g. apprentices and other trainees). |  |  |  |
| C4-Q7 | Do you check, review and, where necessary, improve your H&S performance? | Evidence that your organization has an effective, ongoing system for monitoring H&S procedures, and for periodically reviewing and updating that system as necessary. |  |  |  |
| C4-Q8 | Do you have procedures for involving your employees/other workforce in the planning and implementation of H&S measures? | Evidence that your organization implements a means of consulting with its employees/other workforce on H&S matters and how comments, concerns or complaints submitted by employees/other workforce are taken into account. |  |  |  |
| C4-Q9 | Do you routinely record and review accidents/incidents and undertake follow-up action? | Evidence that your organization maintains records of all RIDDORreportable (see note 6 to this Table) and other incidents for at least the last three years.  Evidence that your organization has an effective system for reviewing significant incidents, and recording any resulting action taken (including your response to any H&S enforcement activity). |  |  |  |
| C4-Q10 | Do you have arrangements for ensuring that your suppliers also apply H&S measures that are appropriate to the activities that your organization is likely to undertake? | Evidence that your organization implements arrangements for ensuring and monitoring H&S skills, knowledge and experience, and performance, throughout your entire supply chain, appropriate to the work likely to be undertaken. |  |  |  |
| C4-Q11 | Do you operate a process of risk assessment, capable of supporting safe systems of work? | Evidence that your organization implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work (“method statements”). Please provide indicative examples, which must include: the identification and control of any significant occupational health (not just safety) issues, appropriate to the work likely to be undertaken. (Organizations with fewer than 5 employees, see Note 4 to this Table)  NOTE Risk assessments should focus on, and be proportionate to, the risks arising from the type of work to be undertaken. The need to reduce documentation requirements on microbusinesses in particular should be taken into account by buyers and assessment providers. Excessive bureaucracy associated with prequalification assessment can obscure the real H&S issues to be considered, and even divert effort away from them. |  |  |  |

| C4-12 | CDM duty holder related question selection: The questions asked in C4-Q13 to C4-Q22 (in conjunction with questions C4-Q2 to C4-Q11) are appropriate for particular construction duties and have been colour coded accordingly to assist identification. Please indicate below which duty (or duties) best describes your organization’s activity and then only provide responses to the questions colour coded to the duty (or duties) you have selected.  NOTE The questions refer to duty holders under the Construction (Design and Management) Regulations 2015, which defines the scope of “construction” activity. If your organization potentially fills more than one role (e.g. “Design and Build”), please provide responses to the questions applying to all relevant duty holder roles (e.g. Designer and Principal Contractor) |  |  |  |
| --- | --- | --- | --- | --- |
| CDM DUTY HOLDER ROLE(S) IDENTIFIED  Please respond “yes” or “no” to each role identified below |  |  |  |
| NOTE 1 If none of the duty holder roles identified below are relevant, you do not need to respond to any of questions C4-Q13 to C4-Q22  NOTE 2 Principal contractors will also need to respond to questions applicable to contractors, and principal designers will also need to respond to questions applicable to designers |  |  |  |
| **Yes** | **No** |  |
| C4-Q12-a) Contractor/principal contractor(respond to blue shaded questions C4-Q13 to C4-Q16) |  |  | None Required |
| C4-Q12-b) Principal contractor (in addition to C4-Q13 to C4-Q16 also respond to yellow shaded question C4-Q17) |  |  |  |
| C4-Q12-c) Designer/principal designer (respond to red shaded questions C4-Q18 to C4-Q19) |  |  |  |
| C4-Q12-d) Principal designer (in addition to C4-Q18 to C4-Q19 also respond to green shaded questions C4-Q20 to C4-Q22) |  |  |  |

| **Q Ref** | **Question** | **Example of the type of**  **information in support**  **of responses, which will**  **be taken into account in**  **assessment.** | **Yes** | **No** | **Supplier’s**  **unique**  **reference**  **to relevant**  **supporting**  **information** |
| --- | --- | --- | --- | --- | --- |
| C4-Q13  Contractor/  principal  contractor | Do you have arrangements for cooperating and co-ordinating your work with others (including other suppliers, notably contractors)? | Describe how co-operation and co-ordination of the work is achieved in practice, and how any other organizations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs. |  |  |  |
| C4-Q14  Contractor/  principal  contractor | Do you have arrangements for ensuring on-site welfare for your employees/other workforce? | Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided by a site-specific arrangement with others, or your own measures. This may include CPPs. |  |  |  |
| C4-Q15  Contractor/  principal  contractor | Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization? | Examples of actual knowledge, skills and experience within your organization. This may include: NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g. provided in a skills matrix for key personnel) |  |  |  |
| C4-Q16  Contractor/  principal  contractor | Do you review and develop your effectiveness in the contractor/ principal contractor role? | Evidence that your organization Implements an ongoing system for monitoring performance, including post-project review. |  |  |  |
| C4-Q17  Principal  contractor | Do you implement arrangements to meet the ‘principal contractor’ duties under the Construction (Design and Management) Regulations 2015? | Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal contractor. In particular, provide evidence of how you: C4–Q17-1 Plan, manage, monitor and coordinate H&S in the construction phase, including communication with the client, principal designer and contractors;  C4–Q17-2 Prepare, review and maintain CPPs;  C4–Q17-3 Organize cooperation between contractors and others, and coordinate the work;  C4–Q17-4 Ensure relevant and suitable site inductions;  C4–Q17-5 Provide information for the H&S file. |  |  |  |
| C4-Q18  Designer/  principal  designer | Do you implement arrangements  to meet the ‘designer’ duties under  the Construction (Design and  Management) Regulations 2015? | Evidence showing how you address C4-Q18-1 to C4-Q18- 4 below.  Provide relevant examples showing how risk was reduced through design.  NOTE Emphasis should be on practical, proportionate measures that address significant risks arising from designs for relevant construction, not on lengthy documentation about generic risks.  C4-Q18-1 Check that the client is aware of their duties  C4-Q18-2 Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015?  Provide relevant evidence of:  • your CPD programme and/ or examples of training and development plans (which may include inhouse training).  • your relevant qualifications, e.g. membership of a professional institution such as CIAT; CIBSE; ICE or RIBA.  • how you maintain your technical knowledge and understanding of construction design.  C4-Q18-3 Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use).  C4-Q18-4 Effectively manage design changes, with regard to ensuring H&S during and post-completion. |  |  |  |
| C4-Q19  Designer/  principal  designer | Do you review and monitor your  design performance, notably in  relation to H&S? | Evidence that your organization implements an ongoing system for monitoring H&S design procedures and for reviewing and updating that system as necessary, e.g. through project design review (during and post completion). |  |  |  |
| C4-Q20  Principal  Designer | Do you implement arrangements to  meet the “principal designer” duties  under the Construction (Design and  Management) Regulations 2015? | Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal designer. In particular, evidence of how you:  C4–Q20-1 Help the client to meet its duties under CDM 2015  C4–Q20-2 Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase  C4–Q20-3 Plan, manage and monitor health and safety-related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling foreseeable risks; C4–Q20-4 Ensure designers carry out their duties, including oversight and co-ordination within the design team and with other designers/contractors;  C4-Q20-5 Liaise with the principal contractor;  C4–Q20-6 Prepare and provide relevant information to other duty holders, including the H&S file. |  |  |  |
| C4-Q21  Principal  designer | Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization? | Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications. For example, a member of the registers administered by the Association for Project Safety or the Institution of Construction Safety (formerly known as the CDM co-ordinator’s register), or the ICE construction health and safety register. |  |  |  |
| C4-Q22  Principal  designer | Do you review and develop your effectiveness in the principal designer role? | Evidence that your organization implements, an ongoing system for monitoring performance, including post-project review. |  |  |  |