|  |
| --- |
| INVITATION TO TENDER  Stockton Events Car Park – Ground Investigation  Tender Ref: HCAP16052 |
|  |

|  |  |
| --- | --- |
| **Full name of the Supplier completing the Tender** |  |

*[This page has intentionally been left blank for two sided printing]*

Contents

PART A – INFORMATION

[1 Introduction 4](#_Toc435008503)

[2 Procurement Process and Timetable 0](#_Toc435008504)

[2.1 Procurement Queries 0](#_Toc435008505)

[2.2 Submission of Tender 1](#_Toc435008506)

[3 Instructions and Information 2](#_Toc435008507)

[3.1 General Information 2](#_Toc435008508)

[3.2 Suitability Assessment 2](#_Toc435008509)

[3.2.1 Verification of Information Provided 3](#_Toc435008510)

[3.2.2 Sub-contracting arrangements 3](#_Toc435008511)

[3.2.3 Consortia arrangements 3](#_Toc435008512)

[3.2.4 Confidentiality 4](#_Toc435008513)

[3.2.5 Grounds for Mandatory Exclusion 4](#_Toc435008514)

[3.2.6 Grounds for Discretionary Exclusion – Part 1 4](#_Toc435008515)

[3.2.7 Self-cleaning 5](#_Toc435008516)

[3.2.8 Technical and Professional Ability 6](#_Toc435008517)

[4 Scope of Works 6](#_Toc435008518)

[5 The Contract & Administration 7](#_Toc435008519)

[6 Quality 7](#_Toc435008520)

[7 Pricing 7](#_Toc435008521)

[8 Transparency 7](#_Toc435008522)

[9 Freedom of Information 7](#_Toc435008523)

[10 Bribery and Corruption 8](#_Toc435008524)

[11 Health and Safety 8](#_Toc435008525)

[12 Environmental Policy Statement 9](#_Toc435008526)

[13 Evaluation Criteria 11](#_Toc435008527)

PART B – DOCUMENTS TO BE RETURNED

[Form B1 Certificate of Non-Collusion and Non-Canvassing 23](#_Toc435008529)

[Form B2 Suitability Assessment 25](#_Toc435008530)

[1 Supplier Information 26](#_Toc435008531)

[2 Grounds for mandatory exclusion 30](#_Toc435008532)

[3 Grounds for discretionary exclusion – Part 1 33](#_Toc435008533)

[4 Economic and Financial Standing 35](#_Toc435008534)

[5 Technical and Professional Ability 37](#_Toc435008535)

[6 Additional Suitability Assessment modules 38](#_Toc435008536)

[7 Completion Checklist 44](#_Toc435008537)

[Template for Appendices 46](#_Toc435008538)

[Template for Sub-Contracting Arrangements 47](#_Toc435008539)

[Form B3 Quality Submission 49](#_Toc435008540)

[Form B4 Bill of Quantities 51](#_Toc435008541)

[Form B5 Form of Tender 53](#_Toc435008542)

[Form B6 Document Receipt Confirmation 55](#_Toc435008543)

[Form B7 Tender Return Checklist 57](#_Toc435008544)

# PART A – INFORMATION

• This section provides information on the required Works Contract.

• Suppliers are required to **READ THIS SECTION** carefully to understand the HCA’s requirements.

• This Section **DOES NOT** need to be printed and returned with your completed Tender.

# 1 Introduction

This Tender document has been issued by the Authority in connection with a competitive procurement procedure. “Authority” means the Homes and Communities Agency (HCA), or anyone acting on behalf of the HCA that is seeking to invite suitable Suppliers to participate in this procurement process.

“You”/ “Your” or “Supplier” means the body completing this Tender **i.e. the legal entity seeking to provide the required ground investigation works and soils testing and responsible for the information provided.** The ‘Supplier’ is intended to cover any economic operator as defined by the Public Contract Regulations 2015 and could be a registered company; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

**The Homes and Communities Agency**

The Homes and Communities Agency (HCA) is the single, national housing and regeneration delivery body for England.

Our vision is to create opportunity for people to live in homes they can afford in places they want to live, by enabling local authorities and communities to deliver the ambition they have for their own areas.

We achieve this by:

* Understanding the needs and aspirations of people and communities through close working with local authorities on local investment planning;
* Enabling local delivery through the channelling of our expertise and investment; and
* Working effectively with the market, housebuilders, investors and other stakeholders.

For more information visit [www.gov.uk/hca](http://www.gov.uk/hca)

# 

# 2 Procurement Process and Timetable

This Tender is provided on the same basis to all Suppliers.

This Tender takes the form of a Single Stage Tender. All interested Suppliers who responded to the Contract Notice are Invited to Tender.

No information contained in this Tender or in any communication made between the HCA and any Supplier in connection with this Tender exercise, shall be relied upon as constituting a contract, agreement or representation that any contract shall be offered in accordance with this Tender. The HCA reserves the right to cancel the process at any time.

Under no circumstances shall the HCA incur any liability in respect of this Tender or any supporting documentation. The HCA will not reimburse the costs incurred by Suppliers in connection with the preparation and submission of their response to this Tender.

Direct or indirect canvassing of any Ministers, public sector employee or agent by any potential bidder concerning this requirement, or any attempt to procure information from any of the above concerning this Tender may result in disqualification of the Supplier from consideration for this requirement.

The Tenders are to be evaluated against the following pre-determined award criteria. A Suitability Assessment will be required to be completed and passed before Suppliers can proceed to further evaluation of Quality and Price.

Part A, [Section 12](#_12__Evaluation) ‘Evaluation Criteria’, sets out the evaluation criteria & scoring methodology on which this tender exercise will be evaluated. Suppliers should refer to this information throughout the completion of ‘Part B: Documents to be Returned’. The Contract will be awarded on the basis of the most economically advantageous tender.

|  |  |
| --- | --- |
| Evaluation Factor | Weighting |
| Price | 70% |
| Quality | 30% |

Set out below is the proposed procurement timetable. This timetable is intended as a guide and, whilst the HCA does not intend to depart from the timetable, it reserves the right to do so at any time.

**SUPPLIERS SHOULD NOTE THAT THE DEADLINE FOR TENDER SUBMISSION IS THE DEADLINE FOR SUBMISSION OF COMPLETED PRICED TENDER DOCUMENTATION.**

|  |  |
| --- | --- |
| Procurement Stage | Indicative Date |
| Contract Notice published | 11 November 2015 |
| Deadline for Tender Questions | 25 November 2015 |
| **Deadline for Tender Submissions**  (at HCA Gateshead) | **7 December 2015** |
| Notification of intention to award contract | 9 December 2015 |
| Tender clarifications | 9 December 2015 |
| Contracts awarded and signed | 11 December 2015 |
| Commencement |  |

## 2.1 Procurement Queries

The HCA’s named point of contact for the procurement of this contract is Tim Hickes. All requests for further information in respect of the contract should be sent using the contact details below. No approach of any kind should be made to any other person within, or associated with, the HCA.

Any questions in respect of this Tender **should be submitted in writing:**

By e-mail to: claire.barnfather@arup.com

Please refer to [**Section 2**](#_2__Procurement_1) ‘Procurement Process and Timetable’ for **Deadline for Tender Questions.**

Suppliers should specify in their clarification questions if they wish the clarification to be considered as confidential between themselves and the HCA. The HCA will consider any such request and will either respond on a confidential basis or give the Supplier the right to withdraw the clarification question. If the Supplier does not elect to withdraw the question and the HCA considers any clarification question to be of material significance, both the question and the response will be communicated, in a suitably anonymous form, to all prospective Suppliers who have responded.

All responses received and any communication from Suppliers will be treated in confidence but will be subject to the above.

So as to receive notifications of clarification questions asked by Suppliers and the Agency’s response, **Suppliers must click the ‘Watch this Notice’** button on the notice within Contracts Finder to receive email notification when changes/updates are made to the notice. Please note in order to use this feature Suppliers must be registered with Contracts Finder. It is the Suppliers responsibility to check Contracts Finder for any updates to the procurement process throughout the tender process. No claim on the grounds of lack of knowledge of the above mentioned item will be entertained.

## 2.2 Submission of Tender

Please refer to [**Section 2**](#_2__Procurement_1) ‘Procurement Process and Timetable’ for **Deadline for Tender Submission.**

Suppliers must submit their Tender by:

* Paper submission (one hard copy), please do not bind or submit in ring binders; and
* Full supporting digital copy (including all supporting material) on a suitable storage device (CD only).

The completed Tender **MUST** be returned **using the digital tender label provided** by post. Suppliers should ensure that suitable provision is made to ensure that the document is received by the deadline.

Completed Tender documents may be submitted at any time before the closing date. Please note that completed Tenders received after the closing date may be rejected.

Tenders submitted bearing any marks identifying the Supplier will not be opened. Particular care should be taken that the Suppliers identity is not apparent from any image or resulting from a postal franking device, appearing on the envelope or package.

# 3 Instructions and Information

## 3.1 General Information

Suppliers are invited to complete all parts of the enclosed Part B: Documents to be Returned and submit, together with any requested supporting information, by the due date for return.

Tenders must not be accompanied by statements that could be construed as rendering the Tender equivocal and/or placing it on a different footing from other Tenders. Only Tenders submitted without qualification strictly in accordance with the Tender documents issued (or subsequently amended by the HCA) will be accepted for consideration. The HCA’s decision on whether or not a Tender is acceptable will be final.

The Supplier should check the tender documentation for obvious errors and missing information. Should any such errors or omissions be discovered he must inform the named point of contact for the tender as noted in [Section 2.1](#_2.1_Procurement_Queries) ‘Procurement Queries’ at once in writing. No alteration may be made to any of the documents attached thereto without the written authorisation of the HCA. If any alterations are made, or if these instructions are not fully complied with, the Tender may be rejected.

Suppliers have been asked to include a single point of contact in their organisation for their response to the Tender Document (As detailed in Section 1.3 of Form B2 Suitability Assessment). The HCA shall not be responsible for contacting the Supplier through any route other than the nominated contact. The Supplier must therefore undertake to notify any changes relating to the contact promptly or they will be unable to receive communications from the HCA.

Suppliers should answer all questions as accurately and concisely as possible in the same order as the questions are presented. Where a question is not relevant to the Suppliers organisation, this should be indicated with an explanation.

Questions should be answered in English.

Suppliers should ensure all requested information is provided in accordance with the Tender Checklist provided within ‘Form B7 Tender Return Checklist’. Information supplied will be checked for completeness and compliance with the instructions before responses are evaluated.

Failure to provide the required information, make a satisfactory response to the question, or supply documentation referred to in responses, within the specified timescales, may mean that the Tender is not further evaluated.

Suppliers must be explicit and comprehensive in their response to this Tender as this will be the single source of information on which responses will be evaluated.

The HCA expressly reserves the right to require Suppliers to provide additional information supplementing or clarifying any of the information provided in response to the requests set out in the Tender.

## 3.2 Suitability Assessment

The Suitability Assessment has been designed to assess the suitability of a Supplier to deliver the Authority’s contract requirement(s).

Please ensure that all questions are completed in full, and in the format requested. Failure to do so may result in your submission being disqualified. If the question does not apply to you, please state clearly ‘N/A’.

Where requirements as specified within the Suitability Assessment ([Form B2](#_Form_B2_Suitability)) are not currently held, Suppliers are required to identify how they intend to deliver the contract on award i.e. securing the qualifications on award and prior to the start of the contract, or sub-contracting to a suitably qualified third party.

Should you need to provide additional Appendices in response to the questions, these should be numbered clearly and listed as part of your declaration. A template for providing additional information is provided at the end of the Suitability Assessment document.

### 3.2.1 Verification of Information Provided

Whilst reserving the right to request information at any time throughout the procurement process, the Authority may enable the Supplier to self-certify that there are no mandatory/ discretionary grounds for excluding their organisation. When requesting evidence that the Supplier can meet the specified requirements (such as the questions in Section 5 of the Suitability Assessment relating to Technical and Professional Ability) the Authority may only obtain such evidence after the final tender evaluation decision i.e. from the Preferred Supplier only.

This information will normally be required to be provided within 7 days of informing the Preferred Supplier(s) and in any case prior to undertaking of Pre-Contract Meeting.

### 3.2.2 Sub-contracting arrangements

Where the Supplier proposes to use one or more sub-contractors to deliver some or all of the contract requirements, the sub-contracting arrangements template provided at the end of the Suitability Assessment should be completed to provide details of the proposed bidding model, that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for.

The Authority recognises that arrangements in relation to sub-contracting may be subject to future change, and may not be finalised until a later date. However, Suppliers should be aware that where information provided to the Authority indicates that sub-contractors are to play a significant role in delivering key contract requirements, any changes to those sub-contracting arrangements may affect the ability of the Supplier to proceed with the procurement process or to provide the supplies and/or services required. Suppliers should, therefore, notify the Authority immediately of any change in the proposed sub-contractor arrangements. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.

### 3.2.3 Consortia arrangements

If the Supplier completing the Suitability Assessment is doing so as part of a proposed consortium, the following information must be provided;

* Names of all consortium members;
* The lead member of the consortium who will be contractually responsible for delivery of the contract (if a separate legal entity is not being created); and
* If the consortium is not proposing to form a legal entity, full details of proposed arrangements within a separate Appendix.

Please note that the Authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that a specific legal form is deemed by the Authority as being necessary for the satisfactory performance of the contract.

**All** members of the consortium will be required to provide the information required in **all** sections of the Suitability Assessment as part of a single composite response to the Authority i.e. each member of the consortium is required to complete the form.

Where you are proposing to create a separate legal entity, such as a Special Purpose Vehicle (SPV), you should provide details of the actual or proposed percentage shareholding of the constituent members within the new legal entity in a separate Appendix.

The Authority recognises that arrangements in relation to a consortium bid may be subject to future change. Suppliers should therefore respond on the basis of the arrangements as currently envisaged. Suppliers are reminded that the Authority must be immediately notified of any changes, or proposed changes, in relation to the bidding model so that a further assessment can be carried out by applying the selection criteria to the new information provided. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.

### 3.2.4 Confidentiality

When providing details of contracts in answering Section 5 of the Suitability Assessment (Technical and Professional Ability), the Supplier agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.

The Authority reserves the right to contact the named customer contact in Section 5 regarding the contracts included. The named customer contact does not owe the Authority any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.

The Authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the Public Contract Regulations 2015.

### 3.2.5 Grounds for Mandatory Exclusion

The following guidance relates to the Suitability Assessment [Section 2 - Grounds for mandatory exclusion.](#_2_Grounds_for)

You may be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).

If you have answered “yes” to question 2.2 on the non-payment of taxes or social security contributions, and have not paid or entered into a binding arrangement to pay the full amount, you may still avoid exclusion if only minor tax or social security contributions are unpaid or if you have not yet had time to fulfil your obligations since learning of the exact amount due. If your organisation is in that position please provide details using a separate Appendix. You may contact the Authority for advice.

Any Supplier that answers ‘Yes’ to questions 2.1 Grounds for Mandatory Exclusion and 2.2 Non Payment of taxes must refer to [Section 3.2.7 Self-Cleaning](#_3.2.7_Self-cleaning).

### 3.2.6 Grounds for Discretionary Exclusion – Part 1

The following guidance relates to the Suitability Assessment [Section 3 - Grounds for discretionary exclusion – Part 1](#_3_Grounds_for).

*Conflicts of interest*

In accordance with Question 3.1(e), the Authority may exclude the Supplier if there is a conflict of interest which cannot be effectively remedied. The concept of a conflict of interest includes any situation where relevant staff members have, directly or indirectly, a financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the context of the procurement procedure.

Where there is any indication that a conflict of interest exists or may arise then it is the responsibility of the Supplier to inform the Authority, detailing the conflict in a separate Appendix. Provided that it has been carried out in a transparent manner, routine pre-market engagement carried out by the Authority should not represent a conflict of interest for the Supplier.

*Taking Account of Suppliers’ Past Performance*

In accordance with question (g), the Authority may assess the past performance of a Supplier (through a Certificate of Performance provided by a Customer or other means of evidence). The Authority may take into account any failure to discharge obligations under the previous principal relevant contracts of the Supplier completing the Suitability Assessment. The Authority may also assess whether specified minimum standards for reliability for such contracts are met.

In addition, the Authority may re-assess reliability based on past performance at key stages in the procurement process (i.e. supplier selection, tender evaluation, contract award stage etc.). Suppliers may also be asked to update the evidence they provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

Any Supplier that answers ‘Yes’ to questions 2.2 Grounds for Discretionary Exclusion must refer to [Section 3.2.7 Self-Cleaning](#_3.2.7_Self-cleaning).

### 3.2.7 Self-cleaning

Any Supplier that answers ‘Yes’ to questions 2.1 Grounds for Mandatory Exclusion, 2.2 Non-payment of taxes and 3.1 Grounds for discretionary exclusion should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. The Supplier has to demonstrate it has taken such remedial action, to the satisfaction of the Authority in each case.

If such evidence is considered by the Authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.

In order for the evidence referred to above to be sufficient, the Supplier shall, as a minimum, prove that it has:

* Paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
* Clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
* Taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the Supplier shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Authority to be insufficient, the Supplier shall be given a statement of the reasons for that decision.

### 3.2.8 Technical and Professional Ability

The following guidance relates to the Suitability Assessment [Section 5 - Technical and Professional Ability](#_5_Technical_and).

Please provide details of up to three contracts, in any combination from either the public or private sector, that are relevant to the Authority’s requirement. Contracts for supplies or services should have been performed during the past three years. Works contracts may be from the past five years, and VCSEs may include samples of grant funded work.

The named customer contact provided should be prepared to provide written evidence to the Authority 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 will 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 principal intended provider(s) or sub-contractor(s) who will deliver the Supplies and Services.

# 4 Scope of Works

Refer to Arup document ‘Ground Investigation Tender Specification (October 2015) attached as a separate document.

**4.1 Main works proposed and purpose of this contract**

The purpose of the Contract is to carry out a ground investigation to provide information on the ground conditions to inform development options for the site. In particular the investigation is intended to provide further information on:

* The depth and nature of made ground deposits, including slag deposits beneath the site
* The presence of alluvial and peat deposits at the site
* The levels of any potential contamination in the soil or groundwater
* Ground gas and groundwater levels beneath the site
* The depth and nature to glacial till and bedrock beneath the site

**4.2 Scope of investigation**

The ground investigation shall comprise a detailed geotechnical and geo-environmental investigation of the ground conditions at the site.

The investigation shall comprise the following:

* rotary sonic boreholes to investigate the deeper ground conditions at the site and to install instruments for monitoring ground gas and groundwater
* machine excavated trial pits to investigate the nature and variability of the made ground
* Geotechnical and chemical testing of selected samples.

It is envisaged the ground investigation works will be undertaken in two phases on site. The scope described in the bill of quantities comprises both phases.

# 5 The Contract & Administration

The Contract will be for a period of 9 weeks (start on site to completion of factual report).

The Contract shall be accordance with the ICC: Infrastructure Conditions of Contracts (August 2011); with the amendments described within the Contract Documents attached.

Under the conditions of Contract the ‘Engineer’ shall be Arup, Central Square, Forth Street, Newcastle, NE1 3PL.

# 6 Quality

A Quality Submission schedule has been provided with this Tender [(Form B3](#_Form_B3_Quality)), which must be **completed and returned** as part of the tender response.

# 7 Pricing

A Bill of Quantities has been provided as a separate attachment with this Tender which must be completed and returned as part of the tender response. **Please only price items with quantities shown.**

Suppliers are required to bring forward the total Fixed price to the Form of Tender contained within [Form B5](#_Form_B5_Form). No alteration may be made to the pricing schedule provided.

**Please ensure Form B5 is at the front of your response.**

# 8 Transparency

This procurement and award of this Contract is subject to the transparency arrangements being adopted by the UK Government. These arrangements include the publication of Tender documentation issued by the HCA and the Contract between the HCA and Supplier. Tenderers should highlight any areas they consider commercially sensitive in order for the HCA to be able to honour our transparency obligations without undermining the Suppliers commercial interests.

The contract value associated with the successful Tender and the name of the Supplier may be published. As part of the Governments Transparency Agenda, the HCA regularly makes available details of expenditure in excess of £500.00 by Supplier.

# 9 Freedom of Information

Suppliers are advised that the HCA is subject to the Freedom of Information Act 2000 ("The Act"). If a Supplier considers that any of the information provided as part of this procurement procedure should not be disclosed because of its commercial sensitivity, confidential or otherwise, they must, when providing this information, clearly identify the specific information they do not wish to be disclosed and clearly specify the reasons for its sensitivity. The HCA shall take such statements into consideration in the event that it receives a request pursuant to the Act which relates to the information provided by the interested party. Please note, it is insufficient to include a statement of confidentiality encompassing all the information provided in the response.

# 10 Bribery and Corruption

The HCA takes a zero-tolerance approach to bribery and corruption and sets high standards of impartiality, integrity and objectivity in relation to the stewardship of public funds and the management of its activities. The principles contained within this policy apply to both internal and external audiences, including anyone wishing to undertake business or engage with the HCA. Please refer to our [Anti-bribery and Corruption Policy](https://www.gov.uk/government/publications/anti-bribery-and-corruption-policy) for further information.

# 11 Health and Safety

As part of the procurement process, the HCA needs to be satisfied that you have systems in place for managing health and safety within your business. Suppliers are required to answer four health and safety questions and in certain circumstances provide a copy of the health and safety policy documentation.

Although not a formal requirement where a Supplier is registered and assessed by a prequalification assessment scheme which is a member of SSIP (Safety Schemes in Procurement), the HCA will use this registration to reduce the amount of information Suppliers have to provide. Alternative prequalification schemes will be accepted (subject to confirmation of the scope and standards of the scheme). Where applications are pending or part complete details can be provided.

Where a Supplier is a sole trader, self-employed or employs less than 5 people alternative means of demonstrating health and safety arrangements are considered.

Suppliers wishing to tender for HCA contracts which involve physical Works or Services such as construction, demolition or building maintenance, must either be registered and assessed by a prequalification assessment scheme which is a member of SSIP (Safety Schemes in Procurement), be able to demonstrate membership of an equivalent scheme or complete a Health and Safety Questionnaire.

SSIP membership must either already be in place, or be likely to be in place when Tenders are to be returned to the HCA. Therefore, it is recommended that applications should already be submitted when Suppliers submit their Suitability Assessment. Further information on SSIP and details of assessment scheme members can be found on <http://www.ssip.org.uk/>.

If a Supplier is already registered and compliant with a SSIP approved scheme, then the requirements for your Suitability Assessment response will be reduced. The validity of SSIP membership will be checked and verified.

If your organisation is a designer (construction related) or providing Principal Designer Services (as defined in Construction (Design and Management) Regulations 2015 (CDM 2015)), you will need to be registered and assessed as a Designer or Principal Designer. Details of SSIP schemes which undertake such assessments can be found at <http://www.ssip.org.uk/>.

Although the HCA recognises any SSIP approved scheme, its preferred prequalification scheme is CHAS (Contractor Health and Safety Assessment Scheme). In order to register with CHAS and undergo an assessment you will need to visit the CHAS website <http://www.chas.gov.uk/downloadq.asp> and download the relevant application forms.

There is one form for employers with 5 employees or over (Appendix 2) and one for employers with less than 5 employees and sole traders (Appendix 2a).

Please follow the online instructions and guidance for completing your application form and arranging for your application to be assessed. Please note that CHAS will charge a small fee to cover the cost of your assessment. Details of fees can be obtained from the web site.

Your application should normally be assessed within 10 to 15 working days of CHAS receiving your completed questionnaire; however, it is recommended that you apply as soon as possible to ensure that your registration is in place and satisfactory prior to submitting your Suitability Assessment.

Suppliers who are not a SSIP member and do not plan to be by the time tender returns are due can either submit details of equivalent membership or complete the Health and Safety Questionnaire. Details of equivalent membership schemes will be investigated and the HCA reserves the right to contact Suppliers to investigate this further in order to assess these fairly. For the avoidance of doubt details of equivalent membership schemes will need to be provided in English.

# 12 Environmental Policy Statement

The HCA’s [Environmental Policy Statement](https://www.gov.uk/government/publications/homes-and-communities-agency-environmental-policy-statement) confirms that we are committed to effectively managing our key environmental impacts and achieving ongoing improvements in our environmental performance. We have already made progress over the past five years, for example in achieving a significant cut in our operational greenhouse gas emissions and reduction in waste in line with the Greening Government Commitments. We encourage our suppliers and contractors to achieve high standards of environmental performance and to work with us in achieving our environmental objectives.

*[This page has intentionally been left blank for two sided printing]*

# 13 Evaluation Criteria

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **RELATING TO PART B, FORM B2 – SUITABILITY ASSESSMENT** | | | | |
| * All Suppliers are required to complete the Suitability Assessment. * Criteria for Evaluation are Pass or Fail. * The Suitability Assessment will be evaluated first. If a Supplier ‘fails’ any element of the Suitability Assessment, then further Quality and Price submissions **will not** be evaluated. * Scoring from the Suitability Assessment will not be taken forward to the ‘Overall Score’, this will be based on ‘Quality and Price’. | | | | **Scoring methodology:**  Pass – all information/documentation provided  Fail – major information requirements missing  If any part is left incomplete the section will be marked as Fail |
| Section | Title | Assessment | Evaluation Guidance | |
| **1 Supplier Information** | | | | |
| 1.1 | Supplier Details | Pass/Fail | Pass – all information/documentation provided  Fail – major information requirements missing  If any part is left incomplete the section may be marked as Fail. If the question is not applicable, please mark your response as “N/A” and provide a brief explanation. | |
| 1.2 | Bidding Model | Pass/Fail | Pass – all information/documentation provided  Fail – major information requirements missing  If the Supplier completing this Suitability Assessment is doing so as part of a proposed consortium, the following information must be provided;   * names of all consortium members; * the lead member of the consortium who will be contractually responsible for delivery of the contract (if a separate legal entity is not being created); and * if the consortium is not proposing to form a legal entity, full details of proposed arrangements within a separate Appendix.   **All** members of the consortium will be required to provide the information required in **all** sections of the Suitability Assessment i.e. each member of the consortium is required to complete the form.  Where you are proposing to create a separate legal entity, such as a Special Purpose Vehicle (SPV), you should provide details of the actual or proposed percentage shareholding of the constituent members within the new legal entity in a separate Appendix.  If any part is left incomplete the section may be marked as Fail. If the question is not applicable, please mark your response as “N/A” and provide a brief explanation. | |
| 1.3 | Contact Details | Pass/Fail | Pass – all information/documentation provided  Fail – major information requirements missing  Suppliers have been asked to include a **single point of contact** in their organisation for their response to Section 1.3 of the Suitability Assessment. The HCA shall not be responsible for contacting the Supplier through any route other than the nominated contact. The Supplier must therefore undertake to notify any changes relating to the contact promptly or they will be unable to receive communications from the HCA.  If any part is left incomplete the section may be marked as Fail. If the question is not applicable, please mark your response as “N/A” and provide a brief explanation. | |
| 1.4 | Licensing and Registration | Pass/Fail | Pass – all information/documentation provided  Fail – major information requirements missing  If any part is left incomplete the section may be marked as Fail. If the question is not applicable, please mark your response as “N/A” and provide a brief explanation. | |
| **2** | **Grounds for Mandatory Exclusion** | Pass/Fail | The HCA may treat as ineligible and may not select an economic operator in accordance with the Regulations, if the economic operator or its directors or any other person who has powers of representation, decision or control of the economic operator has been convicted of any of the defined offences.  Pass – all questions answered ‘no’ or any ‘yes’ responses accompanied with further details in a separate Appendix. Reasoning provided is to the satisfaction of the HCA.  Fail – failure to answer any questions or any question answered ‘yes’ without further details provided in a separate Appendix, or reasoning is not to the HCA’s satisfaction. | |
| **3** | **Grounds for discretionary exclusion – Part 1** | Pass/Fail | The HCA may treat as ineligible and may not select an economic operator in accordance with the Regulations, if the economic operator or its directors or any other person who has powers of representation, decision or control of the economic operator has been convicted of any of the defined offences.  Pass – all questions answered ‘no’ or any ‘yes’ responses accompanied with further details in a separate Appendix. Reasoning provided is to the satisfaction of the HCA.  Fail – failure to answer any questions or any question answered ‘yes’ without further details provided in a separate Appendix, or reasoning is not to the HCA’s satisfaction. | |

|  |  |  |  |
| --- | --- | --- | --- |
| **4 Economic and Financial Standing**  **Please note: Information relating to Economic and Financial Standing will only be evaluated for the Preferred Supplier(s) following evaluation of Quality and Price.** | | | |
| 4.1/4.2 | Demonstration of Economic and Financial Standing | Pass/Fail | Pass – all information/documentation provided  Fail – major information requirements missing  If any part is left incomplete the section will be marked as Fail. If the question is not applicable, please mark your response as “N/A” and provide a brief explanation.  In reaching our conclusion on an Suppliers economic financial standing (pass or fail), the financial information presented will be assessed by the HCA’s in-house, professionally qualified financial due diligence team. Consideration of the financial information provided will include the following:   * Completeness of financial information provided – failure to provide one of the five permitted form of financial information and associated explanation considered a ‘fail’ * Age of financial information provided – where the latest financial statements have yet to be filed within their due date, the HCA will request draft financial statements and/or management accounts from the Supplier to enable a more up to date review. Failure to provide additional information in a suitable formats identified will constitute a ‘fail’; * Opinion of the auditors within the financial statements – concerns over going concern considered a ‘fail’. No going concern issues considered a ‘pass’ * Suppliers currently the subject to any kind of administration or liquidation arrangements will be considered a ‘fail’. Absence of administration or liquidation arrangements considered a ‘pass’ * The level and nature of outstanding CCJs (either disclosed or obtainable from public registers) – ability to fund CCJs from existing case reserves considered a ‘pass’, inability to fund CCJs from existing cash reserves considered a ‘fail’   Pass – all above 5 measures considered a ‘pass’  Fail – one or more of the above 5 measures considered a ‘fail’ |
| 4.3 | Level of Economic and Financial Standing | Pass/Fail | Both average turnover for the last two years (or equivalent value) is equal to or more than x2 the highest value (£) of the estimated Contract Value Range as stated in the Contract Notice\* and the current ratio (current assets/current liabilities) is greater than 1.  Fail – Either average turnover for the last two years (or equivalent value) is less than x2 the highest value (£) of the estimated Contract Value Range as stated in the Contract Notice\* or current ratio (current assets/current liabilities) is equal to or less than 1.  \*The HCA reserves the right to use information relating to other contracts they have awarded and/or bidding with a particular Supplier to ensure that turnover is x2 the contract being considered here but the total combined recent award and amounts due on existing HCA contracts should the Supplier be successful. In the first instance Suppliers should self-certify on the basis of this contract only and indicate whether they have other contracts with the HCA which may be relevant at the verification stage. In assessing this the HCA will seek to confirm the Suppliers own assessment of this to ensure accurate assessment of this test. |
| 4.4 | Financial Guarantee | Pass/Fail | Pass – all information/documentation provided. Parent Company confirmed as willing to provide guarantee if necessary; details of where a guarantee may be obtained from elsewhere provided and reasoning is to the satisfaction of the HCA.  Fail – major information requirements missing. Parent Company confirmed as not willing to provide a guarantee. No details provided as to where a guarantee may be obtained from elsewhere or reasoning provided is not to the satisfaction of the HCA. |
| **5** | **Technical and Professional Ability** | Pass/Fail | Pass – Sections 5.1 to 5.4 OR 5.5 complete in full with information which relates to the subject matter of the contract  Fail – 5.1 to 5.4 OR 5.5 incomplete. |
| **6A** | **Insurance** | Pass/Fail | Pass – minimum requirements for insurance are in place, or an assurance is provided to confirm that the insurance will be in place by the contract commencement date  Fail – minimum requirements for insurance are not in place, and no assurance is provided to confirm that the insurance will be in place by the contract commencement date  Employers Liability - £5 million  Public Liability - £5 million  Professional Indemnity - £5 million |
| **6B** | **Compliance with equality legislation** | Pass/Fail | Pass –Sections B.1 & B.2 answered ‘no’ or any ‘yes’ responses accompanied with further details in a separate Appendix. Reasoning provided is to the satisfaction of the HCA and Section B.3 answered ‘yes’  Fail – failure to answer Questions B.1 – B.3 or Sections B.1 & B.2 answered ‘yes’ without further details provided in a separate Appendix, or reasoning is not to the HCA’s satisfaction and/or Section B.3 answered ‘no’ |
| **6C** | **Environmental Management** | Pass/Fail | Pass –Sections C.1 answered ‘no’ or any ‘yes’ responses accompanied with further details in a separate Appendix. Reasoning provided is to the satisfaction of the HCA and Section C.2 answered ‘yes’  Fail – failure to answer Questions C.1 – C.2 or Sections C.1 answered ‘yes’ without further details provided in a separate Appendix, or reasoning is not to the HCA’s satisfaction and/or Section C.2 answered ‘no’ |
| **6D Health and Safety** | | | |
| **Part 1** | | | |
| 1.1 | Health and Safety Policy | Pass/Fail | Pass – Question 1.1 answered ‘yes’ and Health and Safety Policy provided is to the satisfaction of the HCA; or for Suppliers that are self-employed or employ less than 5 people information has been provided on arrangements for management of health and safety to the satisfaction of the HCA.  Fail – Failure to answer Questions 1.1, Question 1.1 answered ‘No’, or information provided on Health and Safety Policy or management arrangements for health and safety is not to the satisfaction of the HCA. |
| 1.2 | SSIP Registration | Pass/Fail | Pass – Question 1.2 answered ‘yes’ or information has been provided on a similar scheme which is to the satisfaction of the HCA; or you are in the process of registration to a SSIP scheme and date of registration is proposed to be achieved prior to contract commencement as indicated in Section 2’ Procurement Process and Timetable.  Fail – Failure to answer Question 1.2. Question 1.2 answered ‘no’ or information on similar scheme is not to HCA’s satisfaction, or proposed date of registration does not meet with project timescales for contract commencement as indicated in Section 2’ Procurement Process and Timetable.  Please note: Suppliers that are not registered with SSIP or equivalent scheme are required to provide their health and safety policy documentation and complete Part 2, Health and Safety Questionnaire. Please refer to Evaluation Criteria, Health and Safety, Part 2 for the assessment criteria. |
| 1.3 | Enforcement | Pass/Fail | Pass –Question 1.3 answered ‘no’ or any ‘yes’ responses accompanied with further details in a separate Appendix. Reasoning provided is to the satisfaction of the HCA.  Fail – Failure to answer Questions 1.3, or Question 1.3 answered ‘yes’ without further details provided in a separate Appendix, or reasoning is not to the HCA’s satisfaction. |
| 1.4 | Use of Sub-contractors | Pass/Fail | Pass – Question 1.4 answered ‘yes’.  Fail – Failure to answer Question 1.4, or Question 1.4 answered ‘no’ |
| 1.5 | RIDDOR | Pass/Fail | Pass – No injury, disease or dangerous occurrence reported to the enforcing authorities under RIDDOR, or any details provided on injury, disease or dangerous occurrence show effective remedial action and changes in procedures as a result of incidents to the satisfaction of the HCA.  Fail – Failure to answer Question 1.5 or details provided on injury, disease or dangerous occurrence and the remedial action and changes in procedures as a result of incidents are not to the satisfaction of the HCA. |

|  |  |  |  |
| --- | --- | --- | --- |
| **Part 2** | | | |
| 3.1 – 3.12 | Health and Safety Questionnaire | Pass/Fail | Pass – Answered ‘yes’ to all questions and appropriate evidence provided to the satisfaction of the HCA.  Fail – Answered ‘no’ to one or more question or answered ‘yes’ to all question but one or more questions were not supported by appropriate evidence and or the evidence provided is not to the satisfaction of the HCA. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **RELATING TO PART B, FORM B3 – QUALITY** | | | | | |
| * Quality will account for 30% of the Overall Score. * Guidance notes have been provided which indicate to Suppliers information that the HCA will use to evaluate a response. * Evaluation criteria will be based on a scoring of 0 – 10, the details of which are shown to the right. | | |  | **Scoring methodology:**  **0** No response to the requirement was provided  **1 – 3** Poor response to requirement and no examples provided  **4 – 6** Average response to requirement and some examples provided  **7 – 8** Good response to requirement and good range of examples provided  **9 – 10** Excellent response to the requirement good range of examples, highly relevant to the contract requirements  Evaluator’s will initially work independently. Once they have competed their independent marking they will meet to discuss, understand and moderate any difference in the marks they have awarded via a consensus meeting, where a single consensus score for each question will be agreed.  The scoring will be on the basis of whole numbers and the consensus score will also be a whole number. A good response will, for example, gain a score of 8 or 7. The difference in the score will be on the basis that limitations have been identified, but these are not so serious as to reduce the score to 6 (i.e. average). These minor limitations are however sufficient that a score of 7 may be more appropriate than 8. Where scores are subsequently weighted, there is potential for fractions of full marks to be awarded. These will be expressed as decimals to two decimal places | |
| **Number** | **Criteria** | **Demonstrated by** | | | **Weighting** |
| 1 | Technical Question 1  How will you carry out the works to meet the requirements of the specification and to achieve the level of quality required?  *Maximum page limit = 5 pages A4* | Provide detailed project specific method statements and risk assessments for how you will undertake the proposed works, supported by examples from previous similar projects | | | 15% |
| 2 | Technical Question 2  How will the project be managed to ensure quality, health and safety and environmental standards are achieved?  *Maximum page limit = 2 pages A4 not including CVs* | Organisation charts and management plan  Subcontractor details  CVs for relevant staff including site engineer | | | 10% |
| 3 | Technical Question 3  What is your programme for completion of the works to meet project deadlines in Section 2 of this document?  *Maximum page limit = 2 pages A3* | Provide detailed programme showing all key activities including site and laboratory works | | | 5% |

|  |  |  |
| --- | --- | --- |
| **RELATING TO PART B, FORM B4 – PRICING SCHEDULE** | | |
| Price will account for 70% of the Overall Score  The contract will be awarded on the basis of the overall most economically advantageous tender submitted to the HCA. | | |
| **Criteria** | **Demonstrated by** | **Weighting** |
| Price | * Completed Bill of Quantities | 70% |

**Worked example of how your Quality score will be used to give a weighted score**

Technical Question 1

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Supplier** | **Score out of 10** | **Weighting** | **Weighting Multiplier** | **Weighted Score** |
| A | 6 | 15% | 1.5 | 9 |
| B | 8 | 15% | 1.5 | 12 |

Technical Question 2

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Supplier** | **Q1 - Score out of 10** | **Weighting** | **Weighting Multiplier** | **Weighted Score** |
| A | 5 | 10% | 1.0 | 5 |
| B | 7 | 10% | 1.0 | 7 |

Technical Question 3

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Supplier** | **Q1 - Score out of 10** | **Weighting** | **Weighting Multiplier** | **Weighted Score** |
| A | 8 | 5% | 0.5 | 4 |
| B | 6 | 5% | 0.5 | 3 |

**Worked example of how your price will be used to calculate a score**

|  |  |  |  |
| --- | --- | --- | --- |
| **Supplier A** | **Supplier A Form of Tender price** | **Lowest price as % of Supplier A price** | **Supplier A marks out of 70** |
| 350 | 350/350 = 100% | 100%\*70 = 70 |
| **Supplier B** | **Supplier B Form of Tender price** | **Lowest price as % of Supplier B price** | **Supplier B marks out of 70** |
| 700 | 350/700 = 50% | 50%\*70 = 35 |

**Worked example of Overall Result**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Supplier** | **Quality Score** | **Price Score** | **Total Score** | **Ranked Position** |
| A | 18 | 70 | 88 | 1 |
| B | 22 | 35 | 57 | 2 |

# PART B – DOCUMENTS TO BE RETURNED

* The Supplier **SHOULD RETURN ALL DOCUMENTS** within the following section as part of their Tender response.

*[This page has intentionally been left blank for two sided printing]*

# Form B1 Certificate of Non-Collusion and Non-Canvassing

In recognition of the principal that the essence of Tendering is that the Homes and Communities Agency shall receive bona fide competitive Tenders from all those Tendering:

**WE CERTIFY THAT:**

1. The Tender submitted herewith is a bona fide Tender that is intended to be competitive.
2. We have not fixed or adjusted the amount of the Tender under or in accordance with any agreement or arrangement with any other person.
3. We have not done and we undertake that we will not do at any time before the hour specified for the return of the Tender any of the following acts:
   1. communicate to a person other than the person calling for this Tender, the amount or approximate amount of the proposed Tender (except where the disclosure, in confidence, of the approximate amount of the Tender was essential to obtain insurance premium quotations required for the preparation of the Tender);
   2. enter into an agreement with any person that they shall refrain from Tendering or as to the amount of any Tender submitted; and
   3. offer to pay or give any sum of money or valuable consideration directly or indirectly to any person for doing or having done or causing or having caused to have done in relation to any other Tender, any act or thing of the sort described above.
      1. We have not canvassed or solicited any employee of the Homes and Communities Agency, in connection with the award of this Tender or any other Tender or proposed award of the Tender for the supply of Supplies and Services and that to the best of our knowledge and belief nor has any person employed by us or acting on our behalf, done any such act.
      2. We further hereby undertake that we will not in the future canvass or solicit any employee of the Homes and Communities Agency, in connection with this Tender or any other Tender or proposed Tender for the supply of Supplies or Services and that no person employed by us or acting on our behalf will do any such act.

**IN THIS CERTIFICATE**

1. ‘Person’ includes any person, any body or association corporate or incorporate.
2. ‘Any agreement or arrangement’ includes any transaction of the sort described above, formal or informal and whether legally binding or not.
3. ‘Any canvassing or soliciting’ includes any direct or indirect canvassing or any attempts to obtain information by any means.

|  |  |
| --- | --- |
| **Signed:** | **Date:** |
| **Name:** | **In the Capacity of:** |
| **Duly authorised to sign for and on behalf of:** | |

*[This page has intentionally been left blank for two sided printing]*

# Form B2 Suitability Assessment

**Introduction to Suitability Assessment**

The Suitability Assessment sets out the information which is required by the HCA in order to assess the suitability of potential Suppliers. In assessing the answers to the questions, the HCA will be seeking evidence of the Suppliers capability to perform the contract.

Suppliers must complete all sections of the Suitability Assessment. The Suitability Assessment will be evaluated prior to reviewing Quality/Price information. The Suitability Assessment is evaluated on Pass/Fail criteria. Should a Supplier ‘Fail’ any section then Quality/Price information will not be reviewed.

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

# 1 Supplier Information

**1.1 Supplier Details**

|  |  |  |
| --- | --- | --- |
| Full Legal name of the Supplier completing the Suitability Assessment |  | |
| Registered company address |  | |
| Registered company number |  | |
| Registered charity number |  | |
| Registered VAT number |  | |
| Name of immediate parent company |  | |
| Name of ultimate parent company |  | |
| Please mark ‘X’ in the relevant box to indicate your trading status | i) a public limited company | Yes |
| ii) a limited company | Yes |
| iii) a limited liability partnership | Yes |
| iv) other partnership | Yes |
| v) sole trader | Yes |
| vi) other (please specify) | Yes |
| Please mark ‘X’ in the relevant boxes to indicate whether any of the following classifications apply to you | i) Voluntary, Community and Social Enterprise (VCSE) | Yes |
| ii) Small or Medium Enterprise (SME) [[1]](#footnote-1) | Yes |
| iii) Sheltered workshop | Yes |
| iv) Public service mutual | Yes |

**1.2 Bidding Model**

|  |  |  |
| --- | --- | --- |
| **Please mark ‘X’ in the relevant box to indicate whether you are;** | |  |
| 1. Bidding as a Prime Contractor and will deliver 100% of the key contract deliverables yourself. | Yes |  |
| Bidding as a Prime Contractor and will use third parties to deliver **some** of the contract | Yes  If **yes,** please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for using **the sub-contracting arrangements template** included at the end of this Suitability Assessment. |  |
| 1. Bidding as Prime Contractor but will operate as a Managing Agent and will use third parties to deliver **all** of the ground investigation and soil testing services | Yes  If **yes,** please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for using **the sub-contracting arrangements template** included at the end of this Suitability Assessment. |  |
| The Authority recognises that arrangements in relation to a consortium bid may be subject to future change. Suppliers should therefore respond on the basis of the arrangements as currently envisaged. Suppliers are reminded that the Authority must be immediately notified of any changes, or proposed changes, in relation to the bidding model so that a further assessment can be carried out by applying the selection criteria to the new information provided. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.  **All** members of the consortium will be required to provide the information required in **all** sections of the Suitability Assessment as part of a single composite response to the Authority i.e. each member of the consortium is required to complete the form. | |  |
| 1. Bidding as a consortium but not proposing to create a new legal entity.   If yes, please include details of your consortium in the next column and use a separate Appendix (**using the ‘Template for Appendices’**) to explain the alternative arrangements i.e. why a new legal entity is not being created.  Please note that the Authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that it is necessary for the satisfactory performance of the contract. | Yes  **Consortium members**  **Lead member** |  |
| 1. Bidding as a consortium and intend to create a Special Purpose Vehicle (SPV).   If yes, please include details of your consortium, current lead member and intended SPV in the next column and provide full details of the biding model, including details of the **actual** or **proposed** shareholding of the constituent members within the new legal entity using a separate Appendix **(using the ‘Template for Appendices’).** | Yes  **Consortium members**  **Current lead member**  **Name of Special Purpose Vehicle** |  |

**1.3 Contact Details**

|  |  |
| --- | --- |
| **SUPPLIER CONTACT DETAILS FOR ENQUIRIES ABOUT THIS SUITABILITY ASSESSMENT** | |
| Name |  |
| Postal address |  |
| Country |  |
| Phone |  |
| Mobile |  |
| E-mail |  |

**1.4 Licensing and Registration**

|  |  |  |
| --- | --- | --- |
| **LICENSING AND REGISTRATION (please mark ‘X’ in the relevant box)** | | |
| 1.4.1 | Registration with a professional body  If applicable, is your business registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in Annex XI of directive 2014/24/EU) under the conditions laid down by that member state). | Yes  No  If Yes, please provide the registration number in this box. |
| 1.4.2 | Is it a legal requirement in the state where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement? | Yes  No  If Yes, please provide additional details within this box of what is required and confirmation that you have complied with this. |

# 2 Grounds for mandatory exclusion

The Authority may exclude any Supplier who answers ‘Yes’ in any of the following situations set out in paragraphs 2.1 (a) to (n), or paragraph 2.2;

Any Supplier that answers **‘Yes’** should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. Please refer to Part A Information, [Section 3.2.7](#_3.2.7_Self-cleaning) for further information.

|  |  |  |
| --- | --- | --- |
| **2.1 Within the past five years, has your organisation (or any member of your proposed consortium, if applicable), Directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences?** | **Please indicate your answer by marking ‘X’ in the relevant box.** | |
| **Yes** | **No** |
| 1. 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; |  |  |
| 1. 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; |  |  |
| 1. the common law offence of bribery; |  |  |
| 1. 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; |  |  |
| 1. 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: |  |  |
| 1. the offence of cheating the Revenue; |  |  |
| 1. the offence of conspiracy to defraud; |  |  |
| 1. 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; |  |  |
| 1. 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; |  |  |
| 1. 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; |  |  |
| 1. an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993; |  |  |
| 1. 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; |  |  |
| 1. fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or |  |  |
| (ix) 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; |  |  |
| 1. any offence listed— |  |  |
| (i) in section 41 of the Counter Terrorism Act 2008; or |  |  |
| (ii) in Schedule 2 to that Act where the court has determined that there is a terrorist connection; |  |  |
| 1. any offence under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by subparagraph (f); |  |  |
| 1. money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002; |  |  |
| 1. 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; |  |  |
| 1. an offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004; |  |  |
| 1. an offence under section 59A of the Sexual Offences Act 2003; |  |  |
| 1. an offence under section 71 of the Coroners and Justice Act 2009 |  |  |
| 1. 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; or |  |  |
| 1. any other offence within the meaning of Article 57(1) of the Public Contracts Directive— |  |  |
| (i) as defined by the law of any jurisdiction outside England and Wales and Northern Ireland; or |  |  |
| (ii) created, after the day on which these Regulations were made, in the law of England and Wales or Northern Ireland. |  |  |
| **Non-payment of taxes**  **2.2 Has it been established 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 your organisation is established (if outside the UK), that your organisation is in breach of obligations related to the payment of tax or social security contributions?**  If you have answered Yes to this question, please use a separate Appendix (using the ‘**Template for Appendices’**) to provide further details. Please also use this Appendix to confirm whether you have paid, or have entered into a binding arrangement with a view to paying, including, where applicable, any accrued interest and/or fines? |  |  |

# 3 Grounds for discretionary exclusion – Part 1

The Authority may exclude any Supplier who answers ‘Yes’ in any of the following situations set out in paragraphs (a) to (j);

Any Supplier that answers **‘Yes’** should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively “self-cleans” the situation referred to in that question. Please refer to Part A Information, [Section 3.2.7](#_3.2.7_Self-cleaning) for further information.

|  |  |  |
| --- | --- | --- |
| **3.1 Within the past three years, please indicate if any of the following situations have applied, or currently apply, to your organisation.** | **Please indicate your answer by marking ‘X’ in the relevant box.** | |
| **Yes** | **No** |
| 1. your organisation has violated applicable obligations referred to in regulation 56 (2) of the Public Contract Regulations 2015 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 Public Contracts Directive as amended from time to time; |  |  |
| 1. your organisation is bankrupt or is the subject of insolvency or winding-up proceedings, where your 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; |  |  |
| 1. your organisation is guilty of grave professional misconduct, which renders its integrity questionable; |  |  |
| 1. your organisation has entered into agreements with other economic operators aimed at distorting competition; |  |  |
| 1. your organisation has a conflict of interest within the meaning of regulation 24 of the Public Contract Regulations 2015 that cannot be effectively remedied by other, less intrusive, measures. |  |  |
| Where there is an indication that a conflict of interest exists or may arise then the Supplier shall inform the Authority use a separate Appendix (using the ‘**Template for Appendices’**) of the details of the conflict. | |
| 1. the prior involvement of your organisation in the preparation of the procurement procedure has resulted in a distortion of competition, as referred to in regulation 41, that cannot be remedied by other, less intrusive, measures; |  |  |
| 1. your organisation has 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; |  |  |
| 1. your organisation:- |  |  |
| 1. has been 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; or |  |  |
| (ii) has withheld such information or is not able to submit supporting documents required under regulation 59 of the Public Contract Regulations 2015; or |  |  |
| (i) your organisation has undertaken to |  |  |
| (aa) unduly influence the decision-making process of the contracting authority, or |  |  |
| (bb) obtain confidential information that may confer upon your organisation undue advantages in the procurement procedure; or |  |  |
| 1. your organisation has negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award. |  |  |

# 4 Economic and Financial Standing

|  |  |  |
| --- | --- | --- |
| **FINANCIAL INFORMATION** | | |
| 4.1. | Please **self-certify** whether you already have, or can commit to provide the following:   * Up to date financial information in the form of full audited (or unaudited) financial accounts. Where these are not available it is possible to provide details of most recent year trading or a current statement on financial position backed by bank letter or alternative means including management accounts. This financial information should support the measures identified in below * Relevant latest auditors report identifies that the organisation is a going concern * Statement that the organisation is not subject of administration or liquidation arrangements * Statement that any outstanding CCJs can be met by existing cash reserves. | Yes  No |
| 4.2 | Suppliers who self-certify that they meet the requirements for these additional modules will be required to provide evidence of as part of the Tender return. For financial standing it is recognised that this evidence may take a variety of forms reflecting the circumstances and organisation type or size. To demonstrate your financial standing you will be required to provide one of the following **as part of your tender submission**:  **Please Note:** Where the information provided under (a), (b) or (c) is more than one year old, an explanation of this must be provided along with additional data in line with option (d) or (e). Organisations who have provided information above in accordance with options (a), (b) or (c) can provide additional in with option (d) or (e) if appropriate to the organisation’s circumstances. |  |
| (a) A copy of the full audited accounts for the most recent two years |  |
| (b) If (a) is not a viable option, a copy of the full non-audited accounts for the most recent two years |  |
| (c) If (b) is not a viable option, an explanation of why (a) and (b) are not available or appropriate and a statement of the turnover, income and expenditure account, balance sheet, and cash flow for the most recent year of trading for this organisation |  |
| (d) If (c) is not a viable option, an explanation why (a), (b) and (c) are not available or appropriate and a statement of the income and cash flow forecast for the current year and a bank letter outlining the current cash and credit position |  |
| (e) If (d) is not a viable option an explanation of why (a), (b), (c) and (d) are not available or appropriate (e.g. a newly formed company) and alternative means of demonstrating financial status (e.g. management accounts or similar showing forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts). |  |
| 4.3 | The specified level of economic and financial standing are a minimum annual turnover x2 the contract value\* (value taken from Form B5 Form of Tender) and current ratio (current assets/current liabilities) of 1 for this Suitability Assessment.  Please **self-certify** by answering ‘Yes’ or ‘No’ that you meet these requirements.  \* The HCA reserves the right to use information relating to other contracts and awarded contracts with a particular Supplier to ensure that turnover is x2 the contract being considered here but the total combined recent award and amounts due on existing HCA contracts should the Supplier be successful. In the first instance Suppliers should self-certify on the basis of this contract only and indicate whether they have other contracts with the HCA which may be relevant at the verification stage. | Yes  No |
| 4.4 | **(a) Are you are part of a wider group (e.g. a subsidiary of a holding/parent company)?**  If yes, please provide the name below:   |  |  | | --- | --- | | Full name of ultimate parent organisation |  | | Registered address of parent |  | | Registered company number |  | | Relationship to the supplier completing the Suitability Assessment |  |   If yes, please provide Ultimate / parent company accounts if available.  If yes, would the Ultimate / parent company be willing to provide a guarantee if necessary?  If no, would you be able to obtain a guarantee elsewhere (e.g from a bank)? | Yes  No  Yes  No  Yes  No  Yes  No |

# 5 Technical and Professional Ability

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **RELEVANT EXPERIENCE AND CONTRACT EXAMPLES** | | | | |
|  |  | **Contract 1** | **Contract 2** | **Contract 3** |
| 5.1 | Name of customer organisation |  |  |  |
| 5.2 | Point of contact in customer organisation |  |  |  |
|  | Position in the organisation |  |  |  |
|  | E-mail address |  |  |  |
| 5.3 | Contract start date |  |  |  |
|  | Contract completion date |  |  |  |
|  | Estimated Contract Value |  |  |  |
| 5.4 | In no more than 500 words, please provide a brief description of the contract delivered including evidence as to your technical capability in this market. |  |  |  |
| 5.5 If you cannot provide at least one example for questions 5.1 to 5.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up. | | | | |
|  | | | | |

# 6 Additional Suitability Assessment modules

Suppliers who self-certify for these additional modules will be required to provide evidence of this if they are the Preferred Supplier(s).

Please Note: This information will normally be required to be provided within 7 days of informing the Preferred Supplier(s) and in any case prior to undertaking of Pre-Contract Meeting.

Please indicate your answer by marking ‘X’ in the relevant boxes.

**A Insurance**

|  |  |  |
| --- | --- | --- |
| 1. | Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:  Employer’s (Compulsory) Liability Insurance = £5 million  Public Liability Insurance = £5 million   Professional Indemnity Insurance = £5 million | Yes  No |

**B Compliance with equality legislation**

|  |  |  |
| --- | --- | --- |
| For organisations working outside of the UK please refer to equivalent legislation in the country that you are located. | | |
| 1. | In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)? | Yes  No |
| 2. | In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds or alleged unlawful discrimination?  If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix (**using the Template for Appendices**), a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.  If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.  You may be excluded if you are unable to demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring. | Yes  No |
| 3. | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | Yes  No |

**C Environmental Management**

|  |  |  |
| --- | --- | --- |
| 1. | Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or authority (including local authority)?  If your answer to this question is “Yes”, please provide details in a separate Appendix (**using the Template for Appendices**) of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.  The Authority will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last 3 years, unless the Authority is satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches. | Yes  No |
| 2. | If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation? | Yes  No |

**D Health and Safety**

**Part 1**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PART 1** | | | | | | | | | | | |
| 1.1 | Please certify that your organisation has a Health and Safety Policy that complies with current legislative requirements, which has been signed by the Chief Executive (or equivalent) within the last two years.  If you are self-employed or employ less than 5 people and do not have a written health and safety policy document, then briefly outline your arrangements for managing health and safety within your business in a separate Appendix. | | | | | | | | | | Yes  No |
| 1.2 | Is your organisation registered with a health and safety prequalification scheme which is registered with Safety Schemes in Procurement, SSIP  If yes, please provide the name of scheme that you are registered with and date of registration below, and then go to question 1.3.  **Please Note:** You will be required to provide evidence of your SSIP accreditation if you are the Preferred Supplier(s). | | | | | | | | | | Yes  No |
| Name of Scheme | | | | Date of registration | | | Expiry date | | |
|  | | | |  | | |  | | |
|  | | | |  | | |  | | |
| If you are not registered with SSIP but are registered with a similar scheme please provide details in a **separate Appendix** including date or registration, scheme details or links to where this information is available online.  If you are in the process of registering with SSIP or equivalent schemes please provide details in a **separate Appendix** including date of application and date the registration is likely to be completed.  If you are not registered with SSIP or equivalent scheme, then please enclose a copy of your health and safety policy document with your submission and complete **Part 2, Health and Safety Questionnaire.** | | | | | | | | | |
| 1.3 | Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?  If your answer to this question was “Yes”, please provide date and details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result. | | | | | | | | | | Yes  No |
| 1.4 | If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations? | | | | | | | | | | Yes  No |
| 1.5 | Has your organisation had to report any injury, disease or dangerous occurrence to the enforcing authorities as defined under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) within the last three years?  If yes, please provide details in the table below. | | | | | | | | | | Yes  No |
| Year | | Number of | | | | | | | | | |
| Over 3 day injuries | Major injuries | Fatal injuries | | Injuries to the public | Industrial diseases | | Dangerous Occurrences | Average workers employed in the period | |
| 2015 | |  |  |  | |  |  | |  |  | |
| 2014 | |  |  |  | |  |  | |  |  | |
| 2013 | |  |  |  | |  |  | |  |  | |
| 2012 | |  |  |  | |  |  | |  |  | |
| Please Note: You may be required to provide details on injury, disease or dangerous occurrence as defined under RIDDOR should you be selected as the Preferred Supplier. | | | | | | | | | | | |

**Part 2 Health & Safety Questionnaire**

This section should only be completed if your response to **Part D, Question 1.2** requires this section to be completed. Indication of the supporting evidence required is provided. Suppliers will be required to provide this supporting evidence if they are the Preferred Supplier(s) only.

|  |  |  |
| --- | --- | --- |
| **PART 2** | | |
| 2.1 | Are you able to demonstrate that you have a policy and organisation for health and safety (H&S) management?  **Indication of supporting evidence to be provided**  If yes, Please provide evidence of a periodically reviewed Health & Safety Policy, endorsed by the Chief Executive (or equivalent). The policy 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 organisation.  *(Organisations with fewer than 5 employees, please see Note 1 below)* | Yes  No |
| 2.2 | Are you able to describe your arrangements for ensuring that your H&S measures are effective in reducing / preventing incidents, occupational ill-health and accidents?  **Indication of supporting evidence to be provided**  If yes, please provide details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken and show clearly how these arrangements are communicated to the workforce.  *(Organisations with fewer than 5 employees, please see Note 1, below)* | Yes  No |
| 2.3 | Do you have access to competent H&S advice/assistance – both general and sector related?  **Indication of supporting evidence to be provided**  If yes, please provide evidence of how your organisation obtains access to competent H&S advice.  *(Please see Note 2, below)* | Yes  No |
| 2.4 | Do you have a policy and process for providing your staff/ workforce with training and information appropriate to the types of activity that your organisation is likely to undertake?  **Indication of supporting evidence to be provided**  If yes, please provide evidence that your organisation has in place and implements, training arrangements to ensure that its staff / workforce has sufficient skills and understanding to discharge their various duties. This should include refresher training (e.g. a CPD programme) that will keep the workforce updated on good H&S practice applicable throughout the company. | Yes  No |
| 2.5 | Does your staff / workforce have H&S or other relevant qualifications and experience sufficient to implement your H&S policy to a standard appropriate to the activity that your organisation is likely to undertake?  **Indication of supporting evidence to be provided**  If yes, please demonstrate and provide evidence that your staff/ workforce possesses suitable qualifications and experience for the tasks assigned to them, unless there are specific situations where they need to work under controlled and competent supervision e.g. trainees. | Yes  No |
| 2.6 | Do you check, review and where necessary improve your H&S performance?  **Indication of supporting evidence to be provided**  If yes, please provide evidence that your organisation has in place and implements, an on-going system for monitoring H&S procedures on an on-going basis and for periodically reviewing and updating that system as necessary. | Yes  No |
| 2.7 | Do you have procedures in place to involve your staff/ workforce in the planning and implementation of H&S measures?  **Indication of supporting evidence to be provided**  If yes, please provide evidence that your organisation has in place and implements a means of consulting with its staff/ workforce on H&S matters and show how staff/ workforce comments, including complaints are taken into account. | Yes  No |
| 2.8 | Do you routinely record and review accidents/ incidents and undertake follow-up action?  **Indication of supporting evidence to be provided**  If yes, demonstrate that your organisation has in place a system for reviewing significant incidents, and recording action taken as a result including action taken in response to any enforcement. | Yes  No |
| 2.9 | Do you have arrangements for ensuring that your suppliers apply H&S measures to a standard appropriate to the activity for which they are being engaged?  **Indication of supporting evidence to be provided**  If yes, please demonstrate and provide evidence that your organisation has and implements, arrangements for ensuring that H&S performance throughout the whole of your organisation’s supply chain is appropriate to the work likely to be undertaken. | Yes  No |
| 2.10 | Do you operate a process of risk assessment capable of supporting safe methods of work and reliable project delivery where necessary?  **Indication of supporting evidence to be provided**  If yes, please demonstrate and provide evidence that your organisation has in place and implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work (‘method statements’). You should be able to provide indicative examples. The identification and control of any significant occupational health (not just safety) issues should be prominent.  *(Organisations with fewer than 5 employees, See Note 1, below).* | Yes  No |
| 2.11 | Do you have arrangements for co-operating and co- coordinating your work with others (including other suppliers, notably contractors)?  **Indication of supporting evidence to be provided**  If yes, please provide explanation of how co-operation and co-ordination of the work is achieved in practice, and how other organisations are involved in drawing up method statements / safe systems of work etc. including arrangements for response to emergency situations. This should include details of how comments and input from your suppliers will be taken into account and how external comments including any complaints, will be responded to. | Yes  No |
| 2.12 | Do you have arrangements for ensuring that on-site welfare provision meets legal requirements and the needs / expectations of your employees?  **Indication of supporting evidence to be provided**  If yes, demonstrate and provide evidence about how you ensure suitable welfare facilities will be in place before starting work on site, whether provided by a site-specific arrangement or your own organisational measures. | Yes  No |

***NOTE 1:*** *Organisations with fewer than five employees are not legally required to have a documented policy statement. If a Supplier is in this category it does not have to write down its policy, organisation or arrangements. However, it does need to be able to demonstrate that its policy and arrangements are adequate in relation to the type of activity likely to be.*

***NOTE 2:*** *Access to competent in-house advice, in whole or part, is preferred. It is essential that H&S advisor(s) are able to provide general and industry specific e.g. construction, H&S advice.*

# 7 Completion Checklist

**7.1 List of enclosures/attachments**

Please confirm that you have completed all the sections within this Suitability Assessment and where appropriate; that you have enclosed the relevant information with your completed submission.

| **Section** | | | **Completed (Yes/No/n/a)** | **Enclosed (Yes/No/n/a)** |
| --- | --- | --- | --- | --- |
| ***1*** *Supplier Information* | | | | |
| **1.1** | | **Supplier Details** | Yes  No | Yes  No |
| **1.2** | | **Bidding Model** | Yes  No | Yes  No |
| **Option C** – Details provided of your proposed bidding model, including members of the supply chain, % work delivered by each sub-contractor and key contract deliverables each sub-contractor will be responsible for, using the ‘Sub-contracting Arrangements Template’. | | | Yes  No | Yes  No |
| **Option D** – Details of your consortium and explanation as to the alternative arrangements i.e. why a new legal entity is not being created using the ‘Template for Appendices’. | | | Yes  No | Yes  No |
| **Option E** – Full details of the biding model using the ‘Template for Appendices’. | | | Yes  No | Yes  No |
| **1.3** | | **Supplier Contact Details for Enquiries about this Suitability Assessment** | Yes  No | Yes  No |
| **1.4** | | **Licensing and Registration** | Yes  No | Yes  No |
| **1.4.2** – If Yes, please provide additional details of what is required for you to be licensed or a member of a relevant organisation to provide the requirements and confirmation that you have complied with this. | | | Yes  No | Yes  No |
| **2** | | **Grounds for Mandatory Exclusions** | Yes  No | Yes  No |
| **2.2** | | **Non Payment of Taxes** | Yes  No | Yes  No |
| If **Yes,** please provide additional details using the ‘Template for Appendices’ providing further details as requested | | | Yes  No | Yes  No |
| **3** | | **Grounds for Discretionary Exclusion – Part 1** | Yes  No | Yes  No |
| If **Yes,** please provide additional details using the ‘Template for Appendices’ providing further details as requested | | | Yes  No | Yes  No |
| ***4*** | ***Economic and Financial Standing*** | | | |
| 1. A copy of the audited accounts for the most recent two years | | | Yes  No | Yes  No |
| 1. If (a) is not a viable option, a copy of the full non-audited accounts for the most recent two years | | | Yes  No | Yes  No |
| 1. If (b) is not a viable option, an explanation of why (a) and (b) are not available or appropriate and a statement of the turnover, income and expenditure account, balance sheet, and cash flow for the most recent year of trading for this organisation | | | Yes  No | Yes  No |
| 1. If (c) is not a viable option, an explanation why (a), (b) and (c) are not available or appropriate and a statement of the income and cash flow forecast for the current year and a bank letter outlining the current cash and credit position | | | Yes  No | Yes  No |
| 1. If (d) is not a viable option an explanation of why (a), (b), (c) and (d) are not available or appropriate (e.g. a newly formed company) and alternative means of demonstrating financial status (e.g. management accounts or similar showing forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts). | | | Yes  No | Yes  No |
| The specified level of economic and financial standing are a minimum annual turnover x2 the contract value and current ratio (current assets/current liabilities) of 1 for this Suitability Assessment.  Please self-certify by answering ‘Yes’ or ‘No’ that you meet these requirements. | | | Yes  No | Yes  No |
| **(a) Are you are part of a wider group (e.g. a subsidiary of a holding/parent company)?** | | | | |
| Ultimate / parent company accounts provided, if available. | | | Yes  No | Yes  No |
| Confirmation of Ultimate / parent company willingness to provide a guarantee if necessary? | | | Yes  No | Yes  No |
| Confirmation that you can obtain a guarantee elsewhere (e.g from a bank)? | | | Yes  No | Yes  No |
| **5** | | **Technical and Professional Ability** | Yes  No | Yes  No |
| ***6*** | | ***Additional Suitability Assessment Modules*** | | |
| **6A** | | **Insurance** | Yes  No | Yes  No |
| **6B** | | **Compliance with Equality Legislation** | Yes  No | Yes  No |
| If **Yes,** to questions B.1 and/or B.2 please provide additional details using the ‘Template for Appendices’ providing further details as requested | | | Yes  No | Yes  No |
| **6C** | | **Environmental Management** | Yes  No | Yes  No |
| If **Yes,** to question C.1 please provide additional details using the ‘Template for Appendices’ providing further details as requested | | | Yes  No | Yes  No |
| **6D** | **Health and Safety** | | Yes  No | Yes  No |
| Part 1 | | | Yes  No | Yes  No |
| Part 2 Health & Safety Questionnaire | | | Yes  No | Yes  No |

# Template for Appendices

|  |
| --- |
| **Appendix Number -** |
| **Suitability Assessment Section -** |
| **Question number -** |
|  |

# Template for Sub-Contracting Arrangements

If your answer to 1.2 ‘Bidding Model’ is (b) or (c) please indicative in the table below (by inserting the relevant company/organisation name) the composition of the supply chain, the percentage of work to be delivered by each sub-contractor and the key contract deliverables that each sub-contractor will be responsible for.

|  |  |  |
| --- | --- | --- |
| Company/Organisation | How much of the requirement will be delivered by the Prime Contractor (%) and what will the sub-contractor / consortia deliver directly (%)? | Key contract deliverables that each sub-contractor will be responsible for (please list). |
|  |  |  |
|  |  |  |
|  |  |  |

Of the identified sub-contractors above, please indicate the number of sub-contractors that fall into the following business classifications

|  |  |
| --- | --- |
| Business Classification | Please Indicate Number |
| Voluntary, Community and Social Enterprise (VCSE) |  |
| Small or Medium Enterprise (SME) [[2]](#footnote-2) |  |
| Sheltered workshop |  |
| Public service mutual |  |

Where sub-contractors will play a role in the delivery of this service you will need to demonstrate a satisfactory methodology and track record of delivering a supply chain. Please give a brief outline on policy regarding the use of sub-contractors.

|  |
| --- |
| Methodology for procuring and managing supply chain (maximum of 1 side of A4) |
|  |

*This page has intentionally been left blank for two sided printing]*

# Form B3 Quality Submission

To enable the HCA to evaluate the quality element of the Award Criteria, we require Suppliers to provide a response to the delivery of the contract outlined in Section 4.

Any text beyond the stipulated page limits will be ignored and will not be evaluated.

Suppliers **should refer to** [**Section 12**](#_12__Evaluation) **‘Evaluation Criteria’, contained within Part A** of this document as to the relevant weighting of each question and the scoring framework that will be used within the evaluation.

**Weighting – 15%**

|  |
| --- |
| 1. How will you carry out the works to meet the requirements of the specification and to achieve the level of quality required?  *Maximum page limit = 5 pages A4* |

**Weighting –10%**

|  |
| --- |
| 1. How will the project be managed to ensure quality, health and safety and environmental standards are achieved?   *Maximum page limit = 2 pages A4 not including CVs* |

**Weighting – 5%**

|  |
| --- |
| 1. What is your programme for completion of the works to meet project deadlines in Section 2 of this document   *Maximum page limit = 2 pages A3* |

*[This page has intentionally been left blank for two sided printing]*

# Form B4 Bill of Quantities

The completed Bill of Quantities should be returned as part of the Tender Return. This can be found as a separate attachment.

Total price should be carried forward to the Form of Tender within Form B5, which is to be printed and signed and returned at the front of your tender response.

*[This page has intentionally been left blank for two sided printing]*

# Form B5 Form of Tender

**Homes and Communities Agency**

**FORM OF TENDER – SUPPLIERS TO CARRY FORWARD TOTAL PRICE FROM FORM B4 PRICING SCHEDULE**

**Stockton Events Car Park  – Ground Investigation**

**HCAP16052**

Chief Executive

HCA

I/We………………………………………...........................……….............................(Supplier’s name)

having read the tender documentation delivered to us and do hereby offer to provide the **Stockton Events Car Park  – Ground Investigation Contract** described for the sum carried from the Pricing Schedule of:

£..........................................................................................................................………….

………………………………………………………………………………………………………………………………………………….…………………………………………….…………………………………………

(amount in words and figures taken from Form B4 Pricing Schedule).

This Tender remains open for acceptance for six calendar months from the tender return date.

I/We confirm that we currently hold (or agree to effect) Public Liability/Third Party Insurance indemnifying us and the Employer against such liability with a limit of indemnity of not less than £5million in any one accident, unlimited in any one year.

I/We understand that it may be necessary to negotiate a level of cost acceptable to the Employer.

I/We agree and understand that no insertion or endorsement made to this Form of Tender or any other conditions made by the Supplier in connection with this tender figure will be accepted by the Employer and any such insertion, endorsement or condition shall render the tender liable to rejection by the Employer.

Dated this................…………..……. day of …………………………........……......2015………………..

|  |  |  |  |
| --- | --- | --- | --- |
| SIGNED……………………………….……………………….. | | WITNESS | ………………………….. |
| PRINT NAME………………………………………………….. | | ADDRESS | ………………………….. |
| POSITION IN COMPANY…………...……………………….. | |  | ………………………….. |
| NAME & ADDRESS COMPANY | ……………………….. | WITNESS | ………………………….. |
|  | ……………………….. | ADDRESS | ………………………….. |
|  |  |  | ………………………….. |

\*IN THE CASE OF PARTNERSHIPS OR SOLE PRACTITIONERS A PARTNER OR THE SOLE PROPRIETOR MUST SIGN HERE.

The Homes and Communities Agency does not bind themselves to accept any tender and no expense by a person submitting a tender will be paid for.

*[This page has intentionally been left blank for two sided printing]*

# Form B6 Document Receipt Confirmation

As part of this Tender exercise a number of documents have been provided to the Supplier to inform the pricing of the Works. Documents provided as part of this Tender exercise are listed below:

|  |  |  |
| --- | --- | --- |
| Document Title | Format | Location |
| Stockton Events Car Park – Ground Investigation Contract Documents | PDF | Contracts Finder |
| Stockton Events Car Park – Ground Investigation Bills of Quantities (Form B4) | MS Excel | Contracts Finder |
| Tender return label | MS Word | Contracts Finder |
| Invitation to tender - Stockton Events Car Park – Ground Investigation | MS Word | Contracts Finder |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

I, the undersigned, state that I received the documents listed above and inspected the documents specified stated in the Contract Documentation for Stockton Events Car Park – Ground Investigation

|  |  |
| --- | --- |
|  |  |
| Date of Receipt: |  |
|  |  |
| Company: |  |
|  |  |
| Name: |  |
|  |  |
| Signed: |  |
|  |  |
| Position: |  |

[*This page has intentionally been left blank for double-sided printing*]

# Form B7 Tender Return Checklist

In order to allow the HCA to evaluate your submission and assist your organisation in ensuring it has submitted a compliant Tender, please confirm that you have completed the following Sections and enclosed the relevant documents as detailed in the Tender Documentation by completing the following *(delete as appropriate)*:

|  |  |
| --- | --- |
| **Completed section** | |
| Form B1 Certification of Non-Collusion and Non-Canvassing | Yes  No |
| Form B2 Suitability Assessment | Yes  No |
| Form B3 Quality Submission | Yes  No |
| Form B4 Pricing Schedule | Yes  No |
| Form B5 Form of Tender | Yes  No |
| Form B6 Document Receipt Confirmation | Yes  No |
| Form B7 Tender Return Checklist | Yes  No |

**Declaration:**

|  |  |  |  |
| --- | --- | --- | --- |
| I declare that to the best of my knowledge the information provided in this Invitation to Tender are correct. I understand that the information will be used in the evaluation process to assess my organisation’s suitability to provide the Stockton Events Car Park – Ground Investigation and I am signing on behalf of my organisation. I understand that HCA may reject this Tender or terminate any subsequent agreement if there is a failure to answer all relevant questions fully or if I provide false/misleading information. | | | |
| **DECLARATION COMPLETED BY** | | | |
| **Name and Position:** | |  | |
| **Signature:** | |  | |
| **Date:** | |  | |
| **The following appendices form part of our submission** | | | |
| **Section of ITT** | **Appendix Number** | | **Appendix Name** |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |

[*This page has intentionally been left blank for double-sided printing*]

[*This page has intentionally been left blank for double-sided printing*]

|  |
| --- |
| Publication date: October 2015 |

Homes and Communities Agency

St George’s House

Kingsway

Team Valley

Gateshead

Tyne & Wear

NE11 0NA

1. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-1)
2. See EU definition of SME: http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/ [↑](#footnote-ref-2)