



## Pre-Qualification Questionnaire

Questionnaire as part of an application for inclusion on an approved list of tenderers to carry out ground investigation and other associated works on

Phase 1a of the Cotswold Canals Project as part of Stroud District

Council's implementation of its obligations under Phase 1a HLF

Agreement and to satisfy its own Procurement Policies.

### PRIVATE & CONFIDENTIAL

Company name: .....

Address: .....

.....

.....

.....

Phone:.....

Fax:.....

E-mail: .....

Website: .....

To be returned in hard copy, when completed, to:

Mr Paul Williams, Canal Engineer, Stroud District Council, Ebley Mill, Westward Road, Stroud, Gloucestershire GL5 4UB

By noon on Friday 5<sup>th</sup> March 2010



Thank you for applying for the approved list for provision of ground investigation services (to be reviewed after 3 years) of Phase 1a, in accordance with our obligations for the delivery of the Cotswolds Canals Scheme. Engineering designs are underway for proposed and existing canal and earthwork structures along the canal route including bridges, locks, weirs and retaining structures. Ground investigations are required to determine both geotechnical and geoenvironmental information at key structures and areas of landfill, and to assess ground stability along the route. The ground investigations will comprise boreholes, trial pits and window sample holes, monitoring and laboratory testing. Factual reporting will be required. The investigation may be phased and divided into several packages under the same contract. The person or body who submits the most economically advantageous tender will be awarded the contract for these specific schemes.

Contractors who either fail to return tenders, or who provide non-competitive tenders may not be considered for future tenders for associated specific contracts.

Please answer the questions specifically for your company or organisation and **not** for the group if you are part of a group of companies. Where necessary, please expand your answers on separate sheets.

Please include, where appropriate, any supporting documents, marking clearly on all enclosures the name of your company or organisation and the number of the question to which they refer.

Please return the questionnaire as soon as possible with any supporting documents. Please answer all questions. If a question does not apply to your company or organisation write "not applicable" in the space provided for the answer. **Failure to complete the form fully by the due date could result in the rejection of your application.**

If you have recently supplied similar information to another Council, would you allow that information to be disclosed to this Council? YES/NO (*delete as appropriate*).

If the answer is YES, please would you give the name of the Council and enclose a letter on your headed notepaper authorising this Council to seek that information from them.

You must complete all questions thoroughly in this questionnaire and present all other relevant information as requested. If you do not, under the Public Services Contracts Regulations 1993 ("the Regulations") we may decide not to include you on the approved list of tenders.

The request to participate must be drawn up in ENGLISH and supporting documentation presented in ENGLISH.

The contract will be under the jurisdiction of the English courts.

The Council reserves the right to make a selection from the applications received and any unsuccessful applicant will be notified. **No undertaking is given that any applicant will be invited to tender.**

The completed questionnaire and supporting documents must be returned to the address on the first page by **noon on Friday 5<sup>th</sup> March 2010**.

Although the blank form can be e-mailed by the Council (in Word format) to suppliers for completion, the completed, signed, document must be returned in printed format.



## Pre-Qualification Questionnaire

### Section A – Background Information

A1	<b>Name of Organisation</b>	
A2	<b>Address for all correspondence</b>	
	<b>Postcode</b>	
A3	<b>Contact Name</b>	
A4	<b>Position</b>	
A5	<b>Telephone Number</b>	
A6	<b>Fax Number</b>	
A7	<b>E-mail address</b>	
A8	<b>Website address</b>	
A9	<b>Company Registration number (if applicable)</b>	
A10	<b>Date of registration</b>	
A11	<b>Registered address if different from the above</b>	

	<b>Postcode</b>	
A12	<b>VAT Registration number</b>	
A13	<b>Is your organisation (Please tick one)</b>	i) a public company?
		ii) a limited company?
		iii) a partnership?
		iv) a sole trader?
		v) other (please specify)
A14	<b>Name of (ultimate) parent company (if this applies)</b>	
A15	<b>Companies House Registration number of parent company (if this applies)</b>	
A16	<b>Are you registered with Constructionline?</b>  <b>If 'Yes' what is your registration number?</b>	Yes/No
A17	<b>Names of the Directors or Partners</b>	
A18	<b>Number of employees</b>	
A19	<b>Length of time organisation has been operating</b>	
A20	<b>Has any Director, Partner or Associate been employed by this Council? (If so, please give details).</b>	
A21	<b>Please state if any Director, Partner or Associate has a relative(s) who is employed by the Council at a senior level or is a Councillor.</b>	
A22	<b>Please state the names of Directors, Partners or Associates of your firm who have any involvement in other companies who provide services to the Council.</b>	

## Section B – Financial Information

B1	<b>What was your turnover in the last two years?</b>	£ For year ended --/--/--	£ For year ended --/--/--
B2	<b>Has your organisation met the terms of its banking facilities and loan agreements (if any) during the past year?</b>	Yes/No	
B3	<b>If 'No' what were the reasons, and what has been done to put things right?</b>		
B4	<b>Has your organisation met all its obligations to pay its creditors and staff during the past year?</b>	Yes/No	
B5	<b>If 'No' please explain why not</b>		
B6	<b>What is the name and branch of your bankers (who could provide a reference)?</b>	Name	
		Branch	
		Contact details	

B7	<b>If asked, would you be able to provide at least one for the following?</b>	
	A copy of your most recent audited accounts (for the last two years)	Yes/No
	A statement of your turnover, profit & loss account and cash flow for the most recent year of trading	Yes/No
	A statement of your cash flow forecast for the current year and a bank letter outlining the current cash and credit position	Yes/No
B8	<p>The Council's Standing Orders with respect to contracts state that every contract shall contain a clause empowering the Council to cancel the contract, and to recover any consequential loss from the contractor where corruption or collusion has occurred or been attempted by the contractor, or by any employee or agent of the contractor.</p> <p>Please indicate that you understand the implications of the standing orders shown in the paragraph above, and that you will comply with it.</p>	Yes/No

### Section C – Business Activities

C1	<b>What are the main business activities of your organisation?</b>	
C2	<b>How many staff does your organisation have?</b>	

## Section D – References

D1	<b>Please provide details of three recent contracts that are relevant to the Authority's requirement. Where possible at least one should be from the public sector. If you cannot provide three references, please explain why.</b>			
		Reference 1	Reference 2	Reference 3
D1.1	Customer Organisation (name)			
D1.2	Customer contact name and phone number			
D1.3	Date contract awarded			

## Section E – Insurance

E1	<b>Please provide details of your current insurance cover and attach copies of your certificates</b>	
E1.1	<b>Employers liability</b>	
	Insurer:	
	Policy Number:	
	Extent of Cover (£):	
	Expiry date:	
	Deductibles/excess (£):	
E1.2	<b>Public liability</b>	
	Insurer:	
	Policy Number:	
	Extent of Cover (£):	
	Expiry date:	
	Deductibles/excess:	
E1.3	<b>Professional Indemnity Insurance</b>	
	Insurer:	
	Policy Number:	
	Extent of Cover (£):	
	Expiry date:	
	Deductions/excess (£):	

E1.4	<b>Other (e.g. All Risk)</b>	
	Insurer:	
	Policy Number:	
	Extent of Cover (£):	
	Expiry date:	
	Deductions/excess (£):	

### Section F – Quality Assurance

F1	<b>Does your organisation hold a recognised quality management certification for example BS/EN/ISO 9000 or equivalent?</b>	Yes/No
F2	<b>If not, does your organisation have a quality management system?</b>	Yes/No
F3	<b>If you do not have quality certification or a quality management system, please explain why</b>	

### Section G – Health & Safety

G1	<b>Does your organisation have a written health and safety at work policy?</b>	Yes/No
G2	<b>Does your organisation have a health &amp; safety at work system?</b>	Yes/No
G3	<b>If 'No', to either of the above, please explain why</b>	

## Section H – Equal Opportunities

The Race Relations Act 1976, as amended by the Race Relations (Amendment) Act 2000 gives all local authorities a statutory duty to promote race equality and have due regard to eliminating unlawful racial discrimination, promoting equal opportunities and promoting good relations between people from different racial groups.

The Council is expected to take all reasonable steps to make sure that an external provider of a service meets the same race equality standards it would expect to meet of it were providing the service itself.

The following questions will enable the Council to assess whether your company is likely to meet the Council's minimum requirements.

H1	Do you comply with Sex Discrimination Act 1975?	Yes/No
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H2	Do you undertake to comply with the Disabled Persons (Employment) Acts 1944 and 1958 and the Disability Discrimination Act 1995?	Yes/No
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**The following questions and descriptions of evidence have been prescribed by the Secretary of State in respect of Section 18(5) of the Local Government Act 1988**

H3	Is it your policy as an employer to comply with your statutory obligations under the Race Relations Act 1976 and subsequent amendments and accordingly, your practice not to treat one group of people less favourably than others because of their colour, race, nationality or ethnic origin in relation to decisions to recruit, train or promote employees?	Yes/No
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H4	In the last three years, has any finding of unlawful racial discrimination been made against your organisation by any court or industrial tribunal?	Yes/No
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H5	In the last three years, has your organisation been the subject of formal investigations by the Commission for Racial Equality on grounds of alleged unlawful discrimination?	Yes/No
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**If the answer to question 4 is 'Yes', or, in relation to question 5, the Commission made a finding against your organisation.**

H6	What steps did you take in consequence of that finding?	Yes/No
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H7	Is your policy on race relations set out:	
	a) In instructions to those concerned with recruitment, training and promotion.	Yes/No
	b) In documents available to employees, recognised trade unions, or other representative groups of employees.	Yes/No
	c) In recruitment advertisements or other literature?	Yes/No

**Please supply relevant examples of the instructions, documents, recruitment advertisements, or other literature.**

H8	<p>Do you observe as far as possible the Commission for Racial Equality's Code of Practice for Employment, as approved by Parliament in 1983, which gives practical guidance to employers and others on the elimination of racial discrimination and the promotion of equality of opportunity in employment, including the steps that can be taken to encourage members of the ethnic minorities to apply for jobs or take up training opportunities?</p> <p>If Yes, please provide description of evidence</p>	Yes/No
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### Section I – Environmental Management

I 1	<b>Does your organisation have an environmental policy?</b>	Yes/No
I 2	<b>Do you have an environmental (or green) purchasing policy?</b>	Yes/No
I 3	<b>Do you operate an Environmental Management System (EMS)?</b>	Yes - Go to I 4 Implementing - Go to I 4 No – Go to I 5 <i>Please enclose a copy</i>
I 4	<b>Please state which Environmental Management System is in operation, or being implemented.</b>	<b>EMAS</b> Yes/No <i>Delete as appropriate</i> Date Registered:..... Registration No:..... Verifiers name: ..... If implementing, please state the date verification expected:..... <i>Please enclose a copy of the Registration Certificate and current Environmental Statement.</i>

		<p><b>ISO14001</b> Yes/No Delete as appropriate</p> <p>Date verified:..... Verifiers name:..... If implementing, please state the date verification expected:.....</p> <p><i>Please enclose a copy of the Verification Certificate.</i></p> <p><b>Other</b> Yes/No Delete as appropriate</p> <p>Please state:..... Date verified:..... Verifiers name:..... If implementing, please state the date verification expected:.....</p> <p><i>Please enclose a copy of the relevant certificate.</i></p>
15	<p><b>Do you have a person with specific responsibility for your environmental performance?</b></p>	<p>Yes/No Delete as appropriate <i>Please supply name(s) and position(s)</i></p>
16	<p><b>Has the company been prosecuted for breaching any environmental legislation in the past 5 years, or have any actions pending?</b></p>	<p>Yes/No Delete as appropriate <i>Please supply name(s) and position(s)</i></p>

I 7	<p><b>Please outline the major environmental impacts of the company and how steps are being taken to improve performance on the areas relevant to the contract.</b></p> <p><b>These may include, but are not restricted to the following:</b>  <b>Waste minimisation;</b>  <b>Pollution control;</b>  <b>Use of recycled or recyclable materials ;</b>  <b>Energy and fuel reduction;</b>  <b>Packaging;</b>  <b>Working practices;</b>  <b>Use of harmful materials;</b>  <b>Transport;</b>  <b>Any other initiatives.</b></p>	Please supply details.
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### Section J – Professional & Business Standing

	<b>Do any of the following apply to your organisation, or to (any) of the director(s)/partners/proprietor(s)?</b>	
J1	Is in a state of bankruptcy, insolvency, compulsory winding up, receivership, composition with creditors, or subject to relevant proceedings	Yes/No
J2	Has been convicted of a criminal offence related to business or professional conduct	Yes/No
J3	Has committed an act of grave misconduct in the course of business	Yes/No
J4	Has not fulfilled obligations related to payment of social security contributions	Yes/No
J5	Has not fulfilled obligations related to payment of taxes	Yes/No
J6	Is guilty of serious misrepresentation in supplying information	Yes/No
J7	Is not in possession of relevant licences or membership of an appropriate organisation where required by law	Yes/No
J8	<b>If the answer to any of these is 'Yes' please give brief details below, including what has been done to put things right</b>	

## Section K – Requirement Specific Questions

K1	<b>How many of the project team have at least 5 years experience</b> (Please name them)	
K2	<b>How many of the project team have specific experience with either a Local Authority, the Environment Agency or British Waterways</b> (Please name them)	
K3	<b>Please provide a brief summary of this experience</b>	
K4	Not Used	
K5	<b>Please provide CV's for all the project team</b>	
K6	<b>Please outline your companies main specialisms (e.g. Site investigations (Gasworks, landfills, slopes, etc)), Risk Assessment, Remediation (bio-remediation etc)).</b>	

K7	<b>Please provide details of three recent (within past 3 years) relevant ground investigation contracts. If you cannot provide three references, please explain why.</b>			
		Reference 1	Reference 2	Reference 3
K7.1	Customer Organisation (name)			
K7.2	Customer contact name and phone number			
K7.3	Date contract awarded			
K8	<b>Please provide details where your organisation has undertaken similar work in the past. This should include ground investigation work on waterways, slopes and landfills.</b>			

K9	<b>Please provide details of any third party sub contractors that your organisation may use as part of the contract.</b>
K10	<b>Please attach evidence of relevant experience and qualifications of proposed personnel for all subcontractors/third parties listed above.</b>
K11	<b>Please state whether all subcontractors/third parties listed above have an Environmental Management System in place. If 'Yes', please state which one.</b>
K12	<b>Provide a statement Summary (no more than 4 sheets of A4) setting out how you propose to provide a service to the Council.</b>

## Section L – Declaration

	<p><b>I declare that to the best of my knowledge the answers submitted in this PQQ (and any supporting information) are correct. I understand that the information will be used in the evaluation process to assess my organisation's suitability to be invited to tender for the Authority's requirement. I understand that false information could result in our exclusion from those persons from whom the Contracting Authority will make the selection of persons to be invited to tender.</b></p> <p><b>I also understand that it is a criminal offence, punishable by imprisonment, to give or offer any gift or consideration whatsoever as an inducement or reward to any servant of a public body and that any such action will empower the Council to cancel any Contract currently in force and will result in our exclusion from those persons from whom the Contracting Authority will make the selection of persons to be invited to tender.</b></p>	
	<b>Form Completed by</b>	
L1	Name	
L2	Position (job title)	
L3	Date	
L4	Telephone number	
L5	Signature	

**Please note, the terms 'firm' or 'company' refers to: sole proprietor, partnership, incorporated company, co-operative as appropriate. The undertaking should be signed by the applicant, a partner or authorised representative in his/her own name and on behalf of the company.**

**Before returning this application form, please ensure that you have:**

- Answered all questions appropriate to your application
- Enclosed relevant documents
- Signed the above undertaking