

DPS Entry and Operation Guide Part 1 - DPS Overview, Entry Criteria and Evaluation Methodology

1.0 Introduction

London Borough of Haringey Council ("the Council") as the lead authority is inviting applications from suitably qualified and experienced Suppliers to be appointed under a DPS for the Services to be utilised by members of the LCP and other contracting authorities referred to within the Additional Information section of the Contract Notice. For the avoidance of doubt, for the purposes of calling-off under the DPS those other contracting authorities shall become LCP Members (as that term is defined below).

The Council hosts the LCP, which was established in 2012 and currently has a total membership of 43 public sector organisations, (the "LCP Members"). The primary purpose of the LCP is to design, create and maintain construction related frameworks and dynamic purchasing systems to support the delivery of works and infrastructure projects for the LCP Members.

The DPS is divided into eighteen main Service Categories as detailed below:

- 1. Construction related Multi- Disciplinary Services**
- 2. Construction Project Management Services**
- 3. Highways and Transport Services**
- 4. Public Realm and Landscape**
- 5. Architectural and Urban Planning**
- 6. Mechanical & Electrical Services**
- 7. Civil & Structural Engineering Services**
- 8. Quantity Surveying Services**
- 9. Building Surveying Services**
- 10. Construction Health and Safety Advisor (CDM 2015)**
- 11. BREEAM Assessors**
- 12. Specialist Environmental Surveys**
- 13. Asbestos Advisory Services and Surveys**
- 14. Site Supervisor/Clerk of Works for Construction Projects**
- 15. Environment, Sustainability & Waste**
- 16. Fire Services**
- 17. General Advice on Estates and Property Management**
- 18. Ancillary Services**

Service Agreements will be commissioned for discrete pieces of work under each Service Category. Please note that some Service Categories will require Suppliers to provide evidence of licenses, accreditations or professional body memberships as part of the Call-Off procedure. Further details will be provided by a LCP Member as part of its Requirements.

When applying for membership of the DPS, potential Suppliers will be invited to select which Service Category they wish to apply for. There is no limit on the number of Service Categories that a Supplier may choose – this is entirely at the discretion of the Supplier. Suppliers that are appointed to the DPS will be appointed to the Service Categories as determined by their selections. The DPS is further divided into five London regions and by value. This is further detailed at Appendix 2. When choosing their preferred Service Categories, Suppliers can also stipulate both the regions and the values of any Service Agreements that they wish to be considered for. Each Service Category has been further subdivided into Service Templates. These can be found in Appendix 1

When a Service Agreement is being awarded under the DPS, the LCP Member shall select which Service Category applies to that Service Agreement and all the Suppliers that are registered to the relevant Service Category shall be invited to submit an Offer in response to a Tender unless the LCP Member exercises its option to apply a further geographical/price banding filter.

This DPS Entry and Operation Guide (Part 1) will give you as a potential Supplier an overview of what a DPS is. It will outline the Entry Criteria you must meet to join the DPS and the evaluation methodology used to assess your capability to deliver the Services to any LCP Member. Part 2 will explain how the Council will operate the DPS and how the LCP Members will manage their procurement and invoicing processes using SProc.Net.

2.0 What is a DPS?

A DPS is a completely electronic system established by a contracting authority to purchase commonly used goods, works or services.

A DPS does not operate in the same way as a public contract and/or framework agreement in that it is an 'open market' product designed to provide access to a pool of Suppliers or supply base, which can be constantly refreshed. Interested Suppliers will have to apply to be admitted to the DPS.

When a contracting authority needs to procure specific Services, it will then follow a further bidding process amongst the Suppliers admitted to the DPS in order to award a Service Agreement to provide the Services.

2.1 How the DPS works

A Supplier that wishes to provide Services to LCP Members will have to join the DPS by registering and by submitting Accreditation and Enrolment information (an "Entry Submission") online via www.sproc.net.

As part of the Accreditation and Enrolment process, the Supplier will be required to indicate for which of the Service Categories it is able to provide Services (please see section 1.0 above for further information regarding the selection of Service Categories).

The Supplier's Entry Submission will be evaluated to establish the Supplier's general capability offering against a number of pre-set selection criteria (the "Entry Criteria").

The Accreditation and Enrolment process will also encompass the evaluation of Suppliers' financial capability to provide the Services as outlined in the scope of services which can be found at Appendix 1 of this document.

All successful and unsuccessful Suppliers will be notified of the outcome of the evaluation of their Entry Submissions. A Supplier will either be accepted onto the DPS or rejected and provided with feedback in order to enable it to re-apply at a later date should it wish to do so.

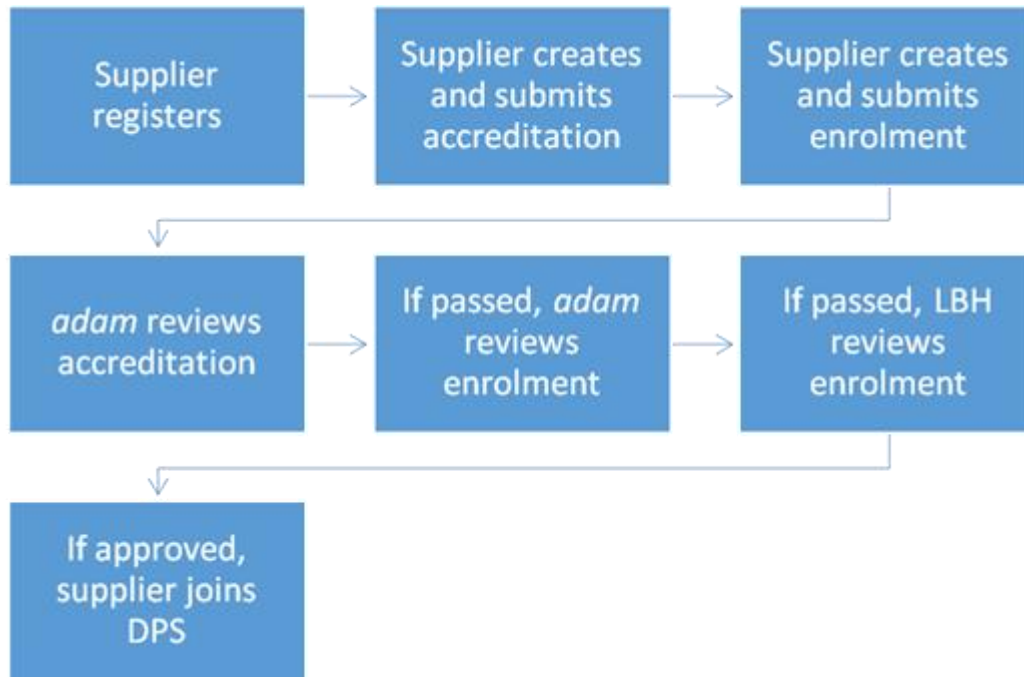
The feedback to unsuccessful Suppliers will outline the areas in which they need to make improvements in order to submit a successful Entry Submission in the future. The process of applying to join the DPS is explained further in a step-by-step process flow chart below.

From time to time, when an LCP Member requires specific Services it shall notify Suppliers accepted onto the DPS of the opportunity and will run a Tender over SProc.Net, during which interested Suppliers will be able to submit an Offer to provide the required Services. At the end of the Tender process, the LCP Member will normally award a Service Agreement for provision of the Services. The award will be to the Supplier that best meets the LCP Members Requirements based on an evaluation of the Offers submitted. This process is more fully explained in the DPS Entry and Operation Guide – Part 2 (Requirements Process and DPS Management).

2.2 How to join the DPS

Suppliers who wish to join the DPS for the Services will need to show that they meet the Entry Criteria by applying online at www.sproc.net. It is a simple two-step application process consisting firstly of Registration and secondly of Accreditation and Enrolment.

Step-by-step process to be completed online:



Step 1: Registration

You must register your business on the system (www.sproc.net). An email will then be sent to you with a username and password to access the system and complete the remaining two stages. To complete your Registration, you will need to provide, at an absolute minimum, the following information:

- Full Business Name
- Trading Name (if different from above)
- Business Tax/VAT Number
- Charity Registration Number (Charities only)
- Company Registration Number (Companies only)
- SME status
- Unique Taxpayer Reference (UTR) Number (if a sole tenderer)
- Registered Business Address: line 1, City, County, Post Code
- Trading business address (if different from above)
- Telephone Number
- Email address

The business name you register will be the name shown on the system. You must then create your first administrative user by providing:

- First Name

- Last Name
- Job Title
- Email address

This user will be an administrator on the system and have the ability to create other users for your business at all additional locations you may have. For further details on how to complete this Registration process, please see the Registration, Accreditation and Enrolment User Guide available at www.sproc.net in the 'Help Library'.

The administrator will then receive a username and temporary password. Upon logging into SProc.Net, the administrator will be prompted to change the password.

Step 2: Accreditation and Enrolment

At the Accreditation and Enrolment stages, your business must show that you meet the Entry Criteria to be admitted onto the DPS as one of the Suppliers of the Services. You must do so by completing an Entry Submission (your application) by providing responses on SProc.Net to a series of questions and uploading all requested documents to provide all necessary information about your organisation. The tables in sections 3.1 to 4.5 below set out a copy of the questions that a Supplier will have to respond to when completing its Entry Submission on www.SProc.Net. The portal will also indicate what documents you need to upload as part of your Entry Submission. The Entry Criteria you have to meet and how they are evaluated are also explained below in sections 3 and 4.

2.3 Entry Submission – notes for completion

- 2.3.1 In these notes for completing the Entry Submission, the 'LCP' means the London Construction Programme.
- 2.3.2 "You" / "Your" refers to the potential supplier completing the Entry Submission i.e. the legal entity seeking to join the DPS and to be invited to submit Offers to provide the Services and who shall be responsible for the information provided as part of that Entry Submission. The term "potential supplier" is intended to cover any economic operator as defined by the Public Contracts Regulations.
- 2.3.3 The Entry Submission to be completed has been designed to assess the suitability of a potential supplier to deliver the Services. If you are successful at this Accreditation and Enrolment stage of the procurement process, you will be selected for the subsequent Requirements stage of the process.
- 2.3.4 Please ensure that all questions are completed in full on SProc.Net by creating and submitting an Accreditation and Enrolment via the tabs on the system and in the format requested. If the question does not apply to you, please state 'N/A'. Should you be required to provide additional information in response to the questions, please submit a clearly identified document. Please see "Enrolment Documents" in terms of the scope of additional information to be provided as part of your Entry Submission. Failure to ensure that all questions are completed may result in your Entry Submission being disqualified.

- 2.3.5 Where you are required to upload documents, this should be done to the location and/or in the manner indicated further on in this document.
- 2.3.6 The Council recognises that arrangements set out in response to questions 40 to 44 under section 3.1, in relation to a group of economic operators (for example, a consortium) and/or use of sub-contractors, may be subject to change and will, therefore, not be finalised until a later date. The lead contact should notify the Council immediately of any change in the proposed arrangements and ensure questions 1 to 44 under section 3.1 are submitted for any new organisation relied on to meet the selection criteria. The Council will make a revised assessment of the submission based on the updated information.
- 2.3.7 For questions 1 to 77, every organisation that is being relied on to meet the Entry Criteria must submit the self-declaration confirming that the response to the questions apply equally to each such organisation and constitutes one composite response. This document can be found at demand.sproc.net, suppliers must complete this form and upload as part of their Enrolment.
- 2.3.8 Save in respect of the details provided by potential Suppliers as more particularly described in section 4.1, the Council confirms that it will keep confidential and will not disclose to any third parties any information obtained from a potential Supplier, other than to the Cabinet Office and/or contracting authorities defined by the Public Contracts Regulations, or pursuant to an order of the court or demand made by any competent authority or body where the Council is under a legal or regulatory obligation to make such a disclosure.

3 Part 1 - Accreditation

At the Accreditation stage, the questions you will be required to provide responses to and documents you need to upload are grouped into the following sections: Potential Supplier Information; Document Upload - Accreditation.

At the Accreditation stage, you will also be required to download and confirm your business's acceptance of a contractual document, the Supplier Agreement, this can be found at <http://demand.sproc.net>.

The Supplier Agreement signs you up to the terms and conditions of transacting business with the LCP Members through the DPS, for Services required in accordance with the any Specification. In the event that you are successful in being awarded work through the DPS you will be bound by the terms and conditions set out in any Services Agreement.

The Supplier Agreement includes a Self-Billing Procedure terms in Schedule 2. By accepting the Supplier Agreement, you will agree for any LCP Member who chooses to use Adam, as a third party payment agent, to the terms set out in the Self Billing Procedure.

You will need to accept the Supplier Agreement electronically via SProc.Net, by ticking the relevant box on the application in order to proceed.

3.1 Supplier Information

This section is used to gather the necessary details to understand the nature of the organisation and legal entity participating in the procurement exercise and, where appropriate the composition of its supply chain. It is not scored as the answers to the questions are for information only but a Supplier may be excluded on the grounds of providing insufficient or false information.

Please read, complete and sign the declaration which is available electronically via SProc.Net. Please note that the declaration should be signed by you, if you are the Supplier, or by a partner or authorised representative in his or her own name on behalf of the Supplier where this is an organisation. If you are relying on other organisations in order to meet the Entry Criteria then please refer back to paragraph 2.3.7 in terms of the relevant completion requirements.

	Accreditation Question	Question Trigger
1	What is the full name of the supplier submitting the information?	
2	What is the address of your registered office? Please enter N/A if not applicable	
3	What is your registered website address? Please enter N/A if not applicable	
4	What is your trading status?	
5	Please specify your trading status.	Dependent on response to Q4
6	What is your organisation's date of registration in its country of origin?	
7	What is your company registration number? Please enter N/A if not applicable	
8	What is your charity registration number? Please enter N/A if not applicable	
9	What is your head office DUNS number? Please enter N/A if not applicable	
10	What is your registered VAT number? Please enter N/A if not applicable	

11	If applicable, is your organisation registered with the appropriate professional or trade register(s) in the member state where it is established?	
12	Please provide the relevant details, including the registration number(s).	Dependent on response to Q11
13	Is it a legal requirement in the state where you are established for you to possess a particular authorisation, or be a member of a particular organisation in order to provide the services specified in this procurement?	
14	Please provide additional details of what is required and confirmation that you have complied with this.	Dependent on response to Q13
15	Please provide the trading name(s) that will be used if successful in this procurement.	
16	Relevant classifications - Is your organisation a Voluntary, Community and Social Enterprise (VCSE)?	
17	Relevant classifications - Is your organisation a Sheltered Workshop?	
18	Relevant classifications - Is your organisation a Public Service Mutual?	
19	Are you a Small, Medium or Micro Enterprise (SME)?	
20	Do you have Persons of Significant Control (PSC)?	
21	Please provide the Name of Persons of Significant Control (PSC).	Dependent on response to Q20
22	Please provide the Date of birth of Persons of Significant Control (PSC).	Dependent on response to Q20
23	Please provide the Nationality of Persons of Significant Control (PSC).	Dependent on response to Q20
24	Please provide the Country, state or part of the UK where the Persons of Significant Control (PSC) usually lives.	Dependent on response to Q20
25	Please provide the Service address of the Persons of Significant Control (PSC).	Dependent on response to Q20

26	Please provide the date he or she became a Person of Significant Control (PSC) (for existing companies the 6 April 2016 should be used).	Dependent on response to Q20
27	Please provide which conditions for the Persons of Significant Control (PSC) are met; <ul style="list-style-type: none"> - Over 25% up to (and including) 50%, - More than 50% and less than 75%, - 75% or more. 	Dependent on response to Q20
28	Do you have an immediate parent company?	
29	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): <ul style="list-style-type: none"> - Full name of the immediate parent company 	Dependent on response to Q28
30	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): <ul style="list-style-type: none"> - Registered office address (if applicable) 	Dependent on response to Q28
31	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): <ul style="list-style-type: none"> - Registration number (if applicable) 	Dependent on response to Q28
32	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): <ul style="list-style-type: none"> - Head office DUNS number (if applicable) 	Dependent on response to Q28
33	Please provide the following details of your immediate parent company (If this is not applicable, please enter N/A): <ul style="list-style-type: none"> - Head office VAT number (if applicable) 	Dependent on response to Q28
34	Do you have an ultimate parent company (that is not the same as the immediate parent company)?	
35	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): <ul style="list-style-type: none"> - Full name of the ultimate parent company 	Dependent on response to Q34

36	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): - Registered office address (if applicable)	Dependent on response to Q34
37	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): - Registration number (if applicable)	Dependent on response to Q34
38	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): - Head office DUNS number (if applicable)	Dependent on response to Q34
39	Please provide the following details of your ultimate parent company (If this is not applicable, please enter N/A): - Head office VAT number (if applicable)	Dependent on response to Q34
40	Are you bidding as the lead contact for a group of economic operators?	
41	What is the name of group of economic operators (if you are the lead or a supporting bidder)? Please enter N/A if not applicable	
42	What is the proposed legal structure if the group of economic operators intends to form a named single legal entity prior to signing a contract, if awarded? If you do not propose to form a single legal entity, please explain the legal structure?	Dependent on response to Q40
43	Are you or, if applicable, the group of economic operators proposing to use sub-contractors?	
44	Please confirm you have uploaded additional details for each sub-contractor in the downloadable template, which can be found on the accreditation page at www.SProc.Net .	Dependent on response to Q43

3.2 Document Upload - Accreditation

The below documents must be uploaded onto SProc.Net as part of your Accreditation submission:

	Document	What is required to pass review?	
	Sub-contractor Information (if sub-contractors have	Completed Sub-Contractor form uploaded to SProc.net	Discretionary

	been relied upon for the purposes of completing your response)		
	Declaration Statement	Signed Declaration Statement uploaded to SProc.net	Mandatory

3.3 Completion - Accreditation

Once you have completed the Accreditation stage, you should move straight onto completing the Enrolment stage of your application.

In due course, all Suppliers will receive an email notification confirming whether or not your application has been approved on the basis that you have uploaded the documents referred to at paragraph 3.2. If you do not upload the documentation required as stipulated above at 3.2, your Accreditation will be rejected on the grounds that the correct documents have not been uploaded.

If your application is rejected at the Accreditation stage, you will be notified by *Adam* who will provide feedback to allow you to rectify any issues and re-apply if appropriate.

All organisations that have self-certified that they meet the Entry Criteria will be required upon request by the Council, to upload all supporting documentation which will be reviewed prior to any Service Agreement/s being awarded for any Services through the DPS.

4.0 Part 2 – Enrolment

At the Enrolment stage, you will need to provide responses to a series of questions and upload documents in SProc.Net relating to the Supplier’s capabilities. The Council will use the responses and documents provided to assess the capability of your organisation to provide the Services.

At the start of the Enrolment stage, you will need to submit answers to questions and upload documents under the following sections: Grounds for Mandatory Exclusion, Grounds for Discretionary Exclusion, Economic and Financial Standing, Technical and Professional Ability and Additional Questions.

Once you have completed these questions you will be required to select which of the Service Categories you can provide Services for and you will want to receive Requirements for.

Please note that a completed European Single Procurement Document ("ESPD") will be accepted in place of all the Accreditation (Supplier Information) questions and Enrolment (Mandatory Exclusion and Discretionary Exclusion) questions (1-65). If you submit an ESPD in place of the above, you must also submit the following information where applicable:

- ESPD (grounds relating to criminal convictions): If you have answered 'Yes' to any of the questions in this section of the ESPD, please answer all of the following Enrolment questions **3-7, 9-13, 15-19, 21-25, 27-31, 33-37** set out in section 4.1 below that relate to the ESPD question to which you answered 'Yes';
- ESPD (grounds relating to the payment of taxes or social security contributions): If you have answered 'Yes' to question **38** in this section of the ESPD, please answer Enrolment question 39 set out in section 4.1 below;
- ESPD (grounds relating to insolvency, conflicts of interests or professional misconduct): If you have answered 'Yes' to any of the questions in this section, please answer all of the following Enrolment questions **41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 61, 63, 65** set out in section 4.2 below that relate to the ESPD question to which you answered 'Yes'.

4.1 Grounds for Mandatory Exclusion

A Supplier will be excluded from becoming or continuing to be an approved Supplier 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 under the laws of your organisation's country of establishment or of any UK jurisdiction which found a breach of legal obligations to pay tax or social security obligations (except either, on an exceptional basis, for overriding reasons relating to the public interest such as public health or protection of the environment or where an exclusion is disproportionate e.g. only minor amounts involved) unless it can demonstrate to the satisfaction of the Council that appropriate remedial action has been taken (please see below).

Any Supplier that answers 'Yes' to Enrolment questions 2, 8, 14, 20, 26, 32, 38 below should provide, in the relevant space for this on SProc.Net, sufficient evidence that provides a summary of the circumstances and of any remedial action that it has taken which is sufficient to demonstrate its reliability as a Supplier despite the conviction in question. The Supplier has to demonstrate it has taken such remedial action to the Council's satisfaction in each case.

If such evidence is considered sufficient by the Council (whose decision will be final), the Supplier concerned shall be allowed to continue in the DPS 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 Council to be insufficient, the Supplier shall be given a statement of the reasons for that decision.

If you answer 'Yes' to question 38 below 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 in the relevant section for this on SProc.net.

	Enrolment Question	Question Trigger
1	Has your organisation completed the European Single Procurement Document? Please upload	
2	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation have been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf - Participation in a criminal organisation	Dependent on response to Q1
3	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q2
4	Please provide the identity of who has been convicted.	Dependent on response to Q2
5	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q2
6	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q2
7	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion. (Self-Cleaning)	Dependent on response to Q2

8	<p>Regulations 57(1) and (2)</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf.</p> <p>- Corruption</p>	Dependent on response to Q1
9	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q8
10	Please provide the identity of who has been convicted.	Dependent on response to Q8
11	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q8
12	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q8
13	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q8
14	<p>Regulations 57(1) and (2)</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf.</p> <p>- Terrorist offences or offences linked to terrorist activities</p>	Dependent on response to Q1
15	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q14
16	Please provide the identity of who has been convicted.	Dependent on response to Q14

17	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q14
18	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q14
19	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion? (Self-Cleaning)	Dependent on response to Q14
20	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List of Mandatory and Discretionary Exclusions.pdf . - Money laundering or terrorist financing	Dependent on response to Q1
21	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q20
22	Please provide the identity of who has been convicted.	Dependent on response to Q20
23	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q20
24	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q20
25	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion. (Self-Cleaning)	Dependent on response to Q20
26	Regulations 57(1) and (2) Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List of Mandatory and Discretionary Exclusions.pdf .	Dependent on response to Q1

	- Fraud	
27	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q26
28	Please provide the identity of who has been convicted.	Dependent on response to Q26
29	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q26
30	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q26
31	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion. (Self-Cleaning)	Dependent on response to Q26
32	<p>Regulations 57(1) and (2)</p> <p>Please indicate if, within the past five years you, your organisation or any other person who has powers of representation, decision or control in the organisation been convicted anywhere in the world of any of the offences within the summary below and listed at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf.</p> <p>- Child labour and other forms of trafficking in human beings</p>	Dependent on response to Q1
33	Please provide the date of conviction and the reasons for conviction.	Dependent on response to Q32
34	Please provide the identity of who has been convicted.	Dependent on response to Q32
35	If the relevant documentation is available electronically please provide the web address, issuing authority, precise reference of the documents.	Dependent on response to Q32
36	Have measures been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q32
37	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion. (Self-Cleaning)	Dependent on response to Q32

38	<p>Regulation 57(3)</p> <p>Has it been established, for your organisation by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which the organisation is established (if outside the UK), that the organisation is in breach of obligations related to the payment of tax or social security contributions?</p>	Dependent on response to Q1
39	<p>Please provide further details and confirm you have paid, or have entered into a binding arrangement with a view to paying, the outstanding sum including where applicable any accrued interest and/or fines.</p>	Dependent on response to Q38

4.2 Grounds for Discretionary Exclusion

The Council may exclude any supplier who answers 'Yes' to questions 40, 42, 44, 46, 48, 50, 52, 54, 56, 58, 60, 62 and 64 below.

In relation to each such question that a Supplier answers 'Yes', the Supplier should provide, in the relevant space for this on SProc.Net, sufficient evidence that provides a summary of the circumstances and of any remedial action that it has taken which are sufficient to demonstrate its reliability as a Supplier despite the situation in question. The Supplier has to demonstrate it has taken such remedial action to the Council's satisfaction in each case. If such evidence is considered sufficient by the Council (whose decision will be final), the Supplier concerned shall be allowed to continue in the DPS 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 Council to be insufficient, the Supplier shall be given a statement of the reasons for that decision.

	Enrolment Question	Question Trigger
40	<p>Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p> <ul style="list-style-type: none"> - Breach of environmental obligations? 	Dependent on response to Q1
41	<p>Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?</p>	Dependent on response to Q40
42	<p>Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p> <ul style="list-style-type: none"> - Breach of social obligations? 	Dependent on response to Q1
43	<p>Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?</p>	Dependent on response to Q42
44	<p>Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p> <ul style="list-style-type: none"> - Breach of labour law obligations? 	Dependent on response to Q1
45	<p>Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?</p>	Dependent on response to Q44
46	<p>Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p> <ul style="list-style-type: none"> - Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State? 	Dependent on response to Q1

47	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q46
48	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Guilty of grave professional misconduct?	Dependent on response to Q1
49	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response Q48
50	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Entered into agreements with other economic operators aimed at distorting competition?	Dependent on response to Q1
51	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q50
52	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure?	Dependent on response to Q1
53	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q52
54	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. - Been involved in the preparation of the procurement procedure?	Dependent on response to Q1

55	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q54
56	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. <ul style="list-style-type: none"> - 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? 	Dependent on response to Q1
57	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q56
58	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. <ul style="list-style-type: none"> - The organisation is guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria. 	Dependent on response to Q1
59	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q58
60	Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation. <ul style="list-style-type: none"> - The organisation has withheld such information. 	Dependent on response to Q1
61	Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?	Dependent on response to Q60

62	<p>Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p> <ul style="list-style-type: none"> - The organisation is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015. 	Dependent on response to Q1
63	<p>Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?</p>	Dependent on response to Q62
64	<p>Please indicate if, within the past three years, anywhere in the world the following situation has applied to you, your organisation or any other person who has powers of representation, decision or control in the organisation.</p> <ul style="list-style-type: none"> - The organisation has influenced the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure, or to negligently provide misleading information that may have a material influence on decisions concerning exclusion, selection or award. 	Dependent on response to Q1
65	<p>Please explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion?</p>	Dependent on response to Q64

4.3 Economic and Financial Standing

For the purpose of assessing your organisation's financial viability you are required to provide the information requested in the questions set out below.

If you have indicated that you are part of a wider group, you will also be required to provide further details regarding the parent company as detailed below:

	Enrolment Question	Question Trigger
66	Has your organisation been operating for more than three years?	
67	Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past two years of trading.	Dependent on response to Q66
68	Has your organisation been operating for between one and three years?	Dependent on response to Q66
69	<p>Please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least the past two years of trading.</p> <p>If you are unable to upload the information required above, please confirm that you have uploaded audited or independently examined financial accounts that provide figures for at least one year of trading;</p> <p>AND</p> <p>Cash flow forecast for the next 3-5 years and projected profit and loss;</p> <p>AND</p> <p>Projected year-end balance sheet position for the current year of trading, both of which must have been certified by a qualified accountant or independent auditor.</p>	Dependent on response to Q68
70	Has your organisation been operating for less than One year?	Dependent on response to Q68
71	<p>A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet (these statements must be certified by a qualified accountant or independent auditor).</p> <p>If no audited accounts, then:</p> <p>A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet;</p> <p style="padding-left: 40px;">(i) Cash flow forecast for next 3-5 years; and</p> <p style="padding-left: 40px;">(ii) A bank letter outlining the current cash</p>	Dependent on response to Q70

	<p>and credit facility position available to the company</p> <p>The statements in (i) to (ii) must be certified by a qualified accountant or independent auditor</p> <p>In instances where a supplier is unable to provide the above alternative means of demonstrating financial status (e.g. Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status) will be permitted</p>	
72	Please self-certify that your organisation is part of a wider group (e.g. a subsidiary of a holding/parent company)?	
73	What is the name of the wider group?	Dependent on response to Q72
74	What is the relationship of the wider group to your organisation?	Dependent on response to Q72
75	Are you able to provide parent company accounts if requested to at a later stage?	Dependent on response to Q72
76	Would the parent company be willing to provide a guarantee if necessary?	Dependent on response to Question 72
77	Would you be able to obtain a guarantee elsewhere (e.g. from a bank)?	Dependent on response to Question 76

4.4 Technical and Professional Ability

The Council wants to ensure the capability of all Suppliers admitted onto the DPS. Your response to the questions in section 4.4 enable the Council, should it choose, to contact the named customers to verify your organisation has the relevant and satisfactory experience to provide the Services.

	Enrolment Question	
	Relevant experience and contract examples:	
78	<p>Please confirm that you will provide, on the downloadable form, details of up to three contracts, in any combination from either the public or private sector; voluntary, charity or social enterprise (VCSE) that are relevant to the Service Categories you are applying for. VCSEs may include samples of grant-funded work. Those contracts should have been performed during the past three years.</p> <p>The named contact provided should be able to provide written</p>	

	<p>evidence to confirm the accuracy of the information provided below. Consortia bids should provide relevant examples of where the consortium has delivered similar requirements. If this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle is to be created for this DPS) 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).</p> <p>Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the Services, the information requested should be provided in respect of the main intended provider(s) or sub-contractor(s) who are being relied upon for the purposes of completing this response.</p> <p>If you cannot provide examples, see question 81.</p>	
79	Does your organisation intend to sub-contract a proportion of the contract?	
80	<p>Where you intend to sub-contract a proportion of the contract, please demonstrate how you have previously maintained healthy supply chains with your sub-contractor(s).</p> <p>Evidence should include, but not be limited to, details of your supply chain management tracking systems to ensure performance of the contract and including prompt payment or membership of the UK Prompt Payment Code (or equivalent schemes in other countries).</p>	Dependent on response to Q79
81	If you cannot provide at least one example, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up or you have provided services in the past but not under a contract.	Dependent on response to Q78

	Modern Slavery Act 2015:	
82	Are you a relevant commercial organisation as defined by section 54 ("Transparency in supply chains etc.") of the Modern Slavery Act 2015 ("the Act")?	
83	Are you compliant with the annual reporting requirements contained within Section 54 of the Act 2015?	Dependent on your response to Q82
84	Please provide the relevant URL to view the statement.	Dependent on your response to Q82

85	Please provide an explanation.	Dependent on your response to Q83
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	Trade Registrations	
86	Does your business hold any licences, accreditations or certificates for specific categories and sectors (for example, asbestos licence or Gas Safe registration? You must enclose a copy with this application.)	
87	Please upload any certificates	If Yes to Q86

4.5 Additional Questions

4.5.1 Insurances

In order to provide the Services to the Council, the Council requires you to have particular insurance cover. The questions below are arranged in such a way that you do not need to have the required level of insurance at the time of your submission, but if you do not you must commit to having the correct levels once you begin delivering Services under the DPS. If you have the required cover, you must upload the insurance schedule as part of your application. If at the time of your Enrolment you do not have the required cover, you must upload a single page document stating the name of your business and committing to obtaining the required level of insurance and that you will upload a copy of a valid policy schedule prior to starting delivery of any Service Agreement.

	Enrolment Question	Question Trigger
	Insurances:	
88	Please confirm you already have, or can commit to obtain prior to starting delivery of any Service Agreement, the level of insurance cover indicated below: Employer's (Compulsory) Liability Insurance = £ 5 million Please upload, in the space provided in this Enrolment section, your valid insurance schedule or a statement committing to upload one as described in Section 4.5 above.	
89	Please confirm you already have, or can commit to obtain prior to starting delivery of a Service Agreement, the level of insurance cover indicated below: - Public Liability Insurance = £2 million	

	Please upload, in the space provided in this Enrolment section, your valid insurance schedule or a statement committing to upload one as described in Section 4.5 above.	
90	<p>Please confirm you already have, or can commit to obtain prior to starting delivery of a Service Agreement, the level of insurance cover indicated below:</p> <ul style="list-style-type: none"> - Professional Indemnity = £ 1 Million <p>Please upload, in the space provided in this Enrolment section, your valid insurance schedule or a statement committing to upload one as described in Section 4.5 above.</p>	
91	<p>Please confirm you already have, or can commit to obtain prior to starting delivery of a Service Agreement, the level of insurance cover indicated below:</p> <ul style="list-style-type: none"> - All Risks = £ 1 million <p>Please upload, in the space provided in this Enrolment section, your valid insurance schedule or a statement committing to upload one as described in Section 4.5 above.</p>	
92	Not used	

4.5.2 Additional Bribery Act questions

93	Have you carried out a risk assessment to consider whether your organisation is at risk of bribery?	
94	Please provide details	If answered Yes to Q93
95	Do you have a bribery prevention policy/procedure in line with the Bribery Act 2010? [(You do not need to do this if there is no risk of bribery on your behalf)]	
96	Please provide details	If answered Yes to Q95
97	Have you a procedure for communicating this policy throughout your organisation 'from the top down' and also to others who will perform services for you?	
98	Please provide details	If answered Yes to Q97
99	Does your policy/procedure include staff training regarding the	

	requirements of the Bribery Act?	
100	Please provide details	If answered Yes to Q99
101	Does your policy/procedure include monitoring and review of bribery risk?	
102	Please provide details	If answered Yes to Q101

4.5.3 Legal Working in the UK

103	Has your company or your subcontractors been the subject of court action under the Immigration, Asylum and Nationality Act 2006 (amendment 2008)	
104	Please provide details	If answered Yes to Q103
105	Do you make checks to verify all workers are entitled to work in the UK?	
106	Please provide details	If answered Yes to Q105
107	Under the Modern Slavery Act do you have a policy/statement that sets out the steps your organisation has taken during the financial year to ensure that slavery and human trafficking is not taking place in any of your supply chains or in any part of your own business.	
108	Please provide details	If answered Yes to Q107

4.5.4 Data Protection

109	Have you had any data protection law breaches in the last 5 years?	
110	Please provide details and tell us what remedial action you took.	If answered Yes to Q109
111	Have you documented the personal data you hold, where it came from and who you share it with, do you maintain appropriate records and registers of your data processing activities?	
112	Have you carried out a Data Protection Impact Assessment to establish what measures you need to take to comply with the General Data Protection Regulations and the Data Protection Act 2018, including measures to ensure compliance with EU Data Protection Laws for any personal data that is shared outside the	

	European Economic Area?	
113	Do you have a Data Protection Policy and Privacy Notice in place, do you have appropriate technical and organisational measures to protect data subject rights and ensure compliance with the requirements under the Data Protection Laws including privacy by design and by default requirements in relation to your processing of personal data?	
114	Please provide details of your programme to comply with GDPR.	
115	Do you have procedures in place to ensure the rights of individuals, including how you handle subject access requests and requests for deletion of personal data?	
116	Do you carry out staff data protection training?	
117	Do you have a Data Protection Officer or someone responsible for data protection?	
118	Do you ensure that sub-contractors and suppliers carry out similar data protection procedures?	

4.5.5 Criminal Finances Act 2015 (tax evasion)

119	Do you carry out risk assessments of your products, services, client data and internal systems that could be used to facilitate tax evasion?	
120	Have you put in place prevention procedures proportionate to any risks identified? (applicable if risks have been identified)	
121	Do you monitor (due diligence) staff, third parties and clients according to any risks identified?	
122	Do you communicate to your staff and others who perform services for you, a top-down commitment to prevent the facilitation of tax evasion, and the procedures, which have been put in place?	
123	Do you monitor and review your procedures and risk assessments?	

4.5.6 Health and Safety

124	Please confirm if your organisation has successfully completed or is working towards a third-party assessment with a scheme which is a registered member of Safety Schemes in Procurement (SSIP) Or you hold a UKAS or equivalent, accredited independent third party certificate of compliance with BS OHSAS 18001.	
125	Please upload your certificate or registration number whichever is applicable	If Yes to Q124
126	<p>Please self-certify that your organisation has a Health and Safety Policy/ Statement that complies with current legislative requirements and covers all the requirements listed below and that you have uploaded your policy into the relevant area of Sproc.Net</p> <p><u>Organisations with 5 or more employees (including managers)</u></p> <ul style="list-style-type: none"> • Clear details of organisational delegation or responsibilities. • Description/Evidence of how health and safety is communicated within the organisation. • Evidence of commitment to review policies and supporting details showing how this is done. • Demonstrate requirement for sub- contractors to evidence their Health & Safety policies including the requirement to undergo training in Health & Safety. • Demonstrates how the H&S measures are effective in reducing /preventing incidents, occupational ill-health and accidents and how the company will discharge their duties under CDM2015. • How the organisation gains access to competent H&S advice and assistance, both general and construction sector related. • Clearly demonstrates the organisations commitment to ensuring the workforce has the relevant qualifications and experience sufficient to implementing your H&S policy. • Description of how the organisation involves the workforce in planning and implementation of H&S measures. • Description of the procedures your organisation follow to ensure it meets the duties under Regulation 9 of CDM2015 • Description of the procedures your organisation follows to ensure it meets the duties under Regulation 11 of CDM 2015. • Description of the process for undertaking risk assessments 	If No to Q124

	<p>capable of supporting safe methods of work and reliable project delivery where necessary.</p> <p><u>Organisations with 5 or less employees (including managers)</u></p> <ul style="list-style-type: none"> • Details of how your company identifies hazards, assesses & removes or minimises the risk relevant to the services/works provided. • Details of who within the company is responsible for health & safety provision and how health & safety issues are communicated within the company. • Details of who is responsible for ensuring that the company operatives are trained in relation to health & safety? • Evidence of risk/health safety assessments, safe practises, training records. 	
127	Are you applying for Service Categories: 1,2,3,4,5,6,7,11,13,14,15,16?	
128	<p>Please self-certify that your organisation has a policy and process for providing your workforce with training and information appropriate to the type of work for which your organisation is likely to bid and covers the key requirements listed below:</p> <ul style="list-style-type: none"> - Describe how your organisation ensures employees have the skills and understanding necessary to discharge their duties as Contractors, Designers or Principal Designers. <input type="checkbox"/> - The procedure for continuing Professional Development (CPD). 	If Yes to Q127
129	Are you applying for Service Categories:1,2,3,6,7,10,12,13,14,15,16	
130	Please self-certify that your organisation has a policy for reporting and recording all RIDDOR accidents / incidents and undertaking follow up investigations	If Yes to Q129

4.5.7 Equal opportunity and diversity policy

131	<p>Please self-certify that your organisation has an Equal Opportunity and Diversity Policy that complies with current legislative requirements, covers all the requirements listed below and that you have uploaded your policy in the relevant area on Sproc.net.</p> <ul style="list-style-type: none"> • your policy as an employer ensures that your organisation complies with anti-discrimination legislation, and that you treat all people fairly and equally so that no one group of people is treated less favourably than others • your organisation ensures that equality and diversity is embedded within your organisation • your organisations can demonstrate how you meet the requirements of the positive equality duties in relation to the Equalities Act 2010? • your organisation will upload guidance to your employees/suppliers concerned with recruitment, training and promotion? 	
132	<p>In the last three years has any finding of unlawful discrimination been made against your organisation by any court or industrial or employment tribunal or equivalent body?</p>	
133	<p>Please provide details</p>	<p>If answered yes to Q132</p>
134	<p>In the last three years has your organisation been the subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination?</p>	
135	<p>Please provide details</p>	<p>If answered yes to Q134</p>
136	<p>In the last three years, has your organisation been found in breach of section 15 of the Immigration, Asylum and Nationality Act 2006?</p>	
137	<p>Please provide details</p>	<p>If answered yes to Q136</p>
138	<p>In the last three years, has your organisation been found in breach of section 21 of the Immigration, Asylum and Nationality Act 2006?</p>	

139	Please provide details	If answered yes to Q138
140	In the last three years, has your organisation been found to be in breach of the National Minimum Wage Act 1998?	
141	Please provide details	If answered yes to Q140

4.5.8 Environmental management policy and capability

142	Please confirm if your organisation holds a certificate of compliance with BS EN ISO 14001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard, e.g. accredited by UKAS, or you have a valid EMAS certificate, and can provide information to evidence this (accredited means having undergone third party attestation by an organisation that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multilateral agreements).	
143	Please upload your certificate as applicable	If you answer yes to Q142
144	<p>Please self-certify you have an Environmental Policy adequate for Construction related services that meets the following criteria:</p> <ul style="list-style-type: none"> • The policy is authorised by the Chief Executive or equivalent and regularly reviewed and sets out the responsibilities for environmental management throughout the organisation. • There is evidence for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment? • A description for how the company aims to discharge relevant legal responsibilities and provides clear indication of how these arrangements are communicated to the workforce, in relation to environmental matters including: <ol style="list-style-type: none"> 1. Sustainable materials procurement; 2. Waste management; 3. Energy management • Your organisation has arrangements for providing employees who will engage in construction with training and information on construction-related environmental issues? 	If you answer No to Q142

	<ul style="list-style-type: none"> Your organisation checks, reviews and where necessary improves your environmental management performance? <p>The procedure in place for ensuring that any suppliers you engage apply environmental protection measures that are appropriate to the activity for which they are being engaged and how you ensure the environmental performance is met throughout the entire supply chain.</p>	
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4.5.9 Quality management policy and capability

145	Please confirm if your organisation holds a certificate of compliance with BS EN ISO 9001(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard e.g. accredited by UKAS, and can provide information to evidence this (accredited means having undergone third party attestation by an organisation that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multilateral agreements).	
146	Please upload your certificate	If you answer yes to Q145
147	<p>Please self-certify you have a policy quality management for your organisation that covers the following criteria:</p> <ul style="list-style-type: none"> Evidence that your organisation has and implements a quality management policy that is authorised by the chief executive or equivalent that is periodically reviewed at a senior management level. The policy is relevant to the nature and scale of the work to be undertaken and set out responsibilities for quality management throughout the organisation. Description of the arrangements within the organisation for ensuring that your quality management, including the quality of services and general performance, is effective in reducing/preventing incidents of sub-standard delivery? Evidence that your organisation keeps copies of documentation setting out quality management organisation and procedures that meet currently agreed good. practice. Do you have arrangements for providing your workforce with quality-related training and information appropriate to the type of work for which your organisation is likely to bid? Evidence that your organisation has in place and implements, training arrangements to ensure that its 	If you answer No to Q145

	<p>employees/other workforce has sufficient skills and understanding to discharge their various responsibilities.</p> <ul style="list-style-type: none"> • Evidence that your organisation has a system for monitoring quality management procedures on an ongoing basis. Your organisation should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance • Evidence that your organisation has arrangements for monitoring supplier's quality management arrangements and ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your organisations supply chain. 	
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4.5.10 Staffing, Licenses and Accreditations

148	Total number of directly paid staff on PAYE?	
149	Total number of sub-contracted staff in your company?	

150	Please specify in which of the following London regions you are able to provide services: North, South, East, West and Central London. If you are able to provide services in all regions, please specify "All".	
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Enrolment Documents

	Document Type	Required Documentation	
1	European Single Procurement Document	If you have answered Yes to Q1, please upload a copy of this document	
2	Financial Documentation	Upload the required information as set out in questions 66-77, as applicable	Mandatory

3	Insurances–Employers Liability	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	Mandatory
4	Insurances – Public Liability	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	Mandatory
5	Insurances – Professional Indemnity (Where consultancy input involved)	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	
6	All Risks	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	
7	Other specialist business related insurance	Your company name, level of cover and the insurance expiry date must be visible within the uploaded document.	
8	Health and Safety Policy	Your Health and Safety Policy ensuring that the policy addresses Q124-Q126	Mandatory
9	Equality and Diversity Policy	Your Equality and Diversity Policy ensuring that the policy addresses Q131-Q141	Mandatory
10	Quality Management	Please upload EITHER your Quality Management Policy or BS EN ISO 9001 (or equivalent) as outlined in Q146-Q147	Mandatory
11	Environmental	Please upload EITHER your Environmental Policy or BS EN ISO 14001 (or equivalent) as outlined in Q143-Q144.	Mandatory
12	Trade Registrations	Please Upload Q86	

4.6 Evaluation Methodology – Enrolment

4.6.1 Grounds for Mandatory and Discretionary Exclusion

This area is assessed on a Pass/Fail basis in accordance with the evaluation approach set out in sections 4.1 and 4.2. Suppliers will be excluded where they answer yes to the questions under the section setting out the grounds for mandatory exclusion and they may be excluded where they answer yes to the questions under the section setting out the grounds for discretionary exclusion unless, in both cases, they provide evidence that satisfies the Council that they have taken adequate remedial action.

4.6.2 Finance

To assess your organisations financial viability a credit check will be undertaken. This will be used in conjunction with additional financial documentation to undertake a full financial assessment which will be carried out in accordance with the criteria below.

Financial Assessments will also be carried out during the life of the DPS in the following instances:

- A. A significant change is highlighted via our credit alert monitoring process which impacts an organisations financial standing;
- B. On the anniversary of the approval of the Suppliers Enrolment.

4.6.2.1 The full financial assessment will be completed based on a risk analysis of financial information provided by the Supplier.

The financial information provided will be evaluated in a number of ways. It will be used to calculate a number of financial ratios for evaluating the financial well-being of your organisation and of the organisations seeking to be involved in tendering for Service Agreements with your organisation.

4.6.2.2 Your submitted information will be assessed using the following criteria:

4.6.2.2.1 Where the preferred Supplier is a subsidiary of a parent company (and will be providing a parent company guarantee) or is a member of a consortium, then all of the information requested in, this section is required from both the bidder and the parent company or from each consortium member. Please note that the Financial Statements of the bidder company, parent company and all consortium members are to be provided where applicable.

4.6.2.2.2 If you are applying as a consortium and/or propose to sub-contract any material part of the provision of the services under the Contract, each consortium member (in the case of a consortium bid) and material sub-contractor (in addition to the potential supplier, in the case of a prime contractor/sub-contractor arrangement) will be required to submit its financial information, which will then be assessed in line with the evaluation criteria set out below. The LCP reserves the right to exclude the Potential supplier (and so exclude all members of the relevant consortium/both the prime contractor and its sub-contractors) from further participation in this procurement process where (in the case of a consortium bid) any consortium member fails the financial assessment or (in the case of any prime contractor/sub-contractor arrangement) either the Potential supplier as prime contractor or any material sub-contractor fails the financial assessment.

A financial assessment that results in a score of 15 or below will be referred for further review at which your organisation may be required to submit supplementary information.

A decision as to whether your organisation Pass or Fail will be at the sole discretion of the LCP. A fail will result in your organisation being eliminated from the process.

Score	Outcome
0-15	Fail
16-40	Pass

Note: Potential suppliers are advised to check their credit report with Experian UK for any inaccuracies that can be rectified before the LCP obtains the report for financial evaluation.

If a credit report is unavailable, an assessment based on risk analysis of overall financial statements supplied by the potential suppliers will be carried out and the scores will be applied accordingly.

4.6.2.3 **Established companies set up for longer than 3 years**

Established companies set up for longer than 3 years MUST provide audited or independently examined company financial accounts that provide figures for at least the past two years of trading.

4.6.2.4 **New companies trading for 3 years or less.**

Companies trading for 3 years or less are required to provide the following information:

- (a) Companies trading 1-3 years: To provide minimum one years audited accounts.

If an organisation is unable to provide 2 years of audited trading figures, then they should also provide:

- (i) Cash flow forecast for next 3-5 years; projected P&L; and
- (ii) Projected year end balance sheet position for the current year of trading

These statements must be certified by a qualified accountant or independent auditor

- (b) Companies trading less than 1 years:

- (i) A statement of the turnover, profit and loss and cash flow position for the most recent full year (or part year if full year not applicable) trading and a year end balance sheet (these statements must be certified by a qualified accountant or independent auditor).

If no audited accounts, then:

- (ii) A statement of the turnover, profit and loss, cash flow position and balance sheet for the most recent part year of trading

- (iii) Cash flow forecast for next 2-5 years; and

- (iv) A bank letter outlining the current cash and credit facility position available to the company

The statements in (i) to (iv) must be certified by a qualified accountant or independent auditor

In instances where a supplier is unable to provide the above, alternative means of demonstrating financial status (e.g. Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank) can be provided

The LCP reserve the right to fail any suppliers whom are unable to satisfy this requirement.

4.6.2.5 The following methodology will be used to calculate the scores for established companies set up for longer than 3 years and new companies trading for 3 years or less

1. Net Profit Margin %

Range	Score
> 10	5
9 - 10	4
7 - 8	3
5 - 6	2
3 - 4	1
0 - 2	0

2. Current Asset Ratio %

Range	Score
> 2.5	5
2.1 - 2.5	4
1.8 - 2.0	3
1.5 - 1.7	2
1.1 - 1.4	1
0 -1.0	0

3. Return on Capital Employed (ROCE) %

Range	Score
> 20	5
> 16 - 20	4
> 11 – 15	3
> 6 – 10	2
> 0 – 5	1
0	0

4. Gearing %

Range	Score
0	5
1 - 5	4
6 - 15	3
16 - 25	2
26 – 40	1
> 40	0

5. Credit Rating / Risk Analysis

Range	Score
Minimum, low or very low risk	20
Lower than average risk	15
Higher than average risk	10

High, maximum or undetermined risk 0

Definitions

1. Net profit margin PBIT / Turnover as a %
2. Current ratio Current Assets / Current Liabilities
3. ROCE Profit before Interest & Tax / Total Assets less Current Liabilities
4. Gearing Total long-term debt / Capital Employed
5. Credit Rating Based on Experian UK credit report if available; if, unavailable assessed by the LCP's Finance Team based on risk analysis of overall financial statements supplied.

4.6.2.6 Not-For-Profit (NFP) organisations

NFP organisations must submit the following:

(a) Companies trading 3 years or more

Must provide audited or independently examined company financial accounts that provide figures for at least the past two years of trading.

(b) Companies trading 1-3 years

To provide minimum 1 years audited accounts.

If this does not indicate 2 years of audited trading figures, then you should also provide a cash flow forecast for next 3-5 years; projected P&L and projected year end balance sheet position for the current year of trading

These statements must be certified by a qualified accountant or independent auditor

(c) Companies trading less than 1 year

If no audited accounts are available, then you must provide:

- (i) A statement of the turnover, profit and loss, cash flow position and balance sheet for the most recent part year of trading

- (ii) Cash flow forecast for next 2-5 years; and
- (iii) A bank letter outlining the current cash and credit facility position available to the company

The statements in (i) to (ii) must be certified by a qualified accountant or independent auditor

In instances where a supplier is unable to provide the above, alternative means of demonstrating financial status (e.g. Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank) can be provided

The LCP reserve the right to fail any suppliers whom are unable to satisfy this requirement.

4.6.2.7 The following methodology will be used to calculate the scores for Not-For-Profit (NFP) organisations

1	Current Asset Ratio	
	Range	Score
	>2.5	5
	2.1-2.5	4
	1.8-2.0	3
	1.5-1.7	2
	1.1-1.4	1
	1-1.0	0
2	Gearing	
	Range	Score
	0	5
	1 to 5	4
	6 to 15	3
	16 to 25	2
	26 to 40	1
	>40	0
3	Defensive Interval, also known as 'Expenses Ratio' Cash+Marketable Securities+Recievables Average Monthly Expenses	
	Range	Score
	12	5

	9 to 11	4
	6 to 8	3
	3 to 5	2
	1 to 2	1
	0	0
	Turnover to Net Assets ratio (%)	
4	Turnover Net Assets	
	Range	Score
	>20	5
	16 to 20	4
	11 to 15	3
	6 to 10	2
	1 to 5	1
	0	0
5	Credit Rating / Risk Analysis	
	Range	Score
	Minimum or very low risk	20
	Lower than average risk	15
	Higher than average risk	10
	High, maximum or undetermined risk	0

4.6.2.8 Economical and Financial standing of those organisations involved in your Tender and/or any Guarantor(s).

4.6.2.8.1 The LCP will use the information that you provide in this section, to evaluate the economic and financial standing of those organisations involved in your Tender and/or any Guarantor(s).

4.6.2.8.2 Pass – If you have answered ‘Yes’ to question 76. The preferred provider may be required to submit a guarantee, if requested by the LCP.

4.6.2.8.3 If you have answered ‘Yes’ to 77, the LCP may require you to submit the guarantee.

4.6.2.8.4 The LCP will carry out financial risk assessment of the parent company or Guarantor(s) and reserve the right to exclude the potential supplier from further participating in this procurement process where parent company or Guarantor(s) fails the financial risk assessment. Please refer to paragraph 4.6.2.1 to 4.6.2.7 for the evaluation methodology.

4.6.2.8.5 Fail - The potential supplier states 'Yes' in response to question 76 or question 77 but fails to provide the relevant information, upon request by the LCP;

Or the potential supplier states 'Yes' in response to question 76 but states 'No' in response to question 77 or vice versa and has not provided a sufficient explanation.

4.6.3 Technical and Professional Ability

4.6.3.1 Relevant experience and contract examples

The Council has requested details of up to three contract examples demonstrating experience that are relevant to its requirements. Potential Suppliers are asked to submit details of contracts where the named customer contact is prepared to provide written evidence to the Council to confirm the accuracy of the information provided.

By providing the contract details requested, the potential Supplier is agreeing to waive, for the purposes of this selection process, any contractual or other confidentiality rights and obligations associated with the contract details provided. The Council reserves the right to contact the named customer contact in Q78 Section 4.4 regarding the contract examples.

This section will be evaluated using a Pass/Fail criterion.

Pass – The potential Supplier has provided the requested details for up to 3 relevant contracts in response to question 78 or provided a satisfactory explanation in response to question 81 which demonstrates that the potential supplier has the technical and professional ability to perform in some other way that still shows relevance to the Council's requirements.

If potential supplier does not intend to use Sub-contractor(s) and stated 'no' in response to question 79; or provided a satisfactory explanation and sufficient evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

Fail - The potential Supplier has not provided any relevant contract details in response to question 78 and has not provided a satisfactory response to question 81 or has provided limited evidence to demonstrate experience relevant to the Council's requirements; Or

In response to question 80, potential Supplier has indicated that Sub-contractor will be used in delivering the requirement services specified in this procurement and have provided insufficient explanation and supporting evidence to demonstrate their ability to maintain healthy supply chains with sub-contractor.

4.6.3.2 Modern Slavery Act 2015: Requirements under Modern Slavery Act 2015

The Council as a contracting authority is required to determine if potential Suppliers are relevant commercial organisations (as defined by Section 54 of the Modern Slavery Act 2015) and, if so, if they comply with:

The annual reporting requirements contained within Section 54 of the Modern Slavery Act 2015

If the potential supplier ticks 'Yes' and provides the relevant url link or if the potential supplier is not a relevant commercial organisation and so ticks 'No' then this will be accepted by the Council.

This section will be evaluated using a Pass/Fail criterion.

Pass – The potential Supplier states 'Yes' in response to question 82 and states 'Yes' and provides the relevant url link in response to questions 83 and 84 or the potential Supplier states 'No' in response to question 82. Or the potential Supplier states 'Yes' in response to question 82 and states 'No' in response to question 83 and provides a satisfactory explanation and commitment to comply in future in question 85.

Fail – The potential Supplier states 'Yes' in response to question 82 and question 83 but fails to provide the relevant url link in question 84. Or the potential Supplier states 'Yes' in response to question 82 but states 'No' in response to question 83 and has not provided a sufficient explanation and commitment to comply in future in response.

4.6.3.3 Trade Registrations

This part of the evaluation is for information only.

If a Supplier holds an industry Certification or Accreditation, they are required to upload these documents.

Upon the anniversary of the expiry of such Certifications or Accreditations Suppliers will be required to upload current documentation to ensure automatic suspensions for receiving future requirements isn't enabled. See Entry Guide Part 2 for more information.

4.7 Additional Questions

This part of the evaluation will be on a Pass/Fail basis.

4.7.1 Insurances

Your response to questions 87 and 88 will be evaluated using a **Pass/Fail** criterion.

- Pass – The potential Supplier answered 'Yes' to self-certify that either it has the necessary insurance levels in place at the time of completing the SQ or it can commit to obtain the required levels if successful prior to contract commencement.
- Fail – The potential Supplier self certifies that it does not already have the required levels of insurance and can not commit to obtaining them in time. Or the potential supplier does not answer the question.

4.7.2 Additional Bribery Act, Legal Working in the U.K, Data Protection, Criminal Finances Act 2015 (Tax Evasion)

The LCP reserves the right to 'Fail' any Supplier who:

A. Confirms 'Yes' for one or more of the following questions:

Legal Working in the U.K. – Q103

- Data Protection – Q109

B. Confirms 'No' for one or more of the following questions:

- Additional Bribery Act - Q93, Q95, Q97, Q99, Q101
- Legal Working in the U.K. – Q105, Q107
- Data Protection – Q111, Q112, Q113, Q114, Q115, Q116, Q117 Q118
- Criminal Finances Act 2015 – Q119, Q120, Q121, Q122, Q123

The LCP reserves the right to exclude any Supplier(s) that have been in receipt of enforcement/remedial action orders unless the Supplier(s) can demonstrate to the Council's satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.

4.8 Policies and Capabilities

4.8.1 Health and Safety

4.8.1.1 If a Supplier answer's 'No' to Q124, Suppliers will be required to self-certify they have a policy that demonstrates business has processes in place to meet the criteria outlined in Q126 and upload their policy.

4.8.1.2 If a supplier answers 'Yes' to Q127, Suppliers will be required to self-certify they have a policy that demonstrates their business has processes in place to meet the criteria outlined in Q128 and upload their policy.

4.8.1.3 If a supplier answers 'Yes' to Q129, Suppliers will be required to self-certify they have a policy that demonstrates their business has processes in place to meet the criteria outlined in Q130 and upload their policy.

4.8.2 Equal Opportunities and Diversity

4.8.2.1 In this section suppliers will be asked to self certify they have a policy that demonstrates it can meet pre-defined criteria and upload their policy to the relevant sections within SProc.net. All documents uploaded will be reviewed prior to the award of any service agreements awarded via the DPS.

4.8.2.2 This section also contains additional questions that will be assessed on a Pass / Fail criterion.

4.8.2.3 The LCP reserves the right to 'Fail' a Supplier who answers 'Yes' to Questions 132, 134, 136, 138 and 140.

4.8.2.4 The LCP reserves the right to exclude any Supplier(s) that have been in receipt of enforcement/remedial action orders unless the Supplier(s) can demonstrate to the

Council's satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.

4.8.3 Environmental Management

4.8.3.1 Q142 in this section provides suppliers with the opportunity to upload their Accreditation with BS EN ISO 14001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard, e.g. accredited by UKAS, or provide a valid EMAS certificate, and evidence this accreditation has undergone a third party assessment. If the correct documentation is uploaded, they will pass this section and will not be required to answer further questions under this section.

4.8.3.2 If suppliers answer 'No' to Q142, they will be asked to self-certify they have a policy that demonstrates it can meet pre-defined criteria and upload their policy to the relevant section within SProc.net. All documents uploaded will be reviewed prior to award of any Service Agreements via the DPS.

4.8.4 Quality Management

Q145 in this sections provides suppliers with the opportunity to upload their Accreditation with BS EN ISO 9001(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard e.g. accredited by UKAS, and can provide information to evidence this (accredited means having undergone third party attestation by an organisation that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multilateral agreements). If the correct documentation is uploaded, they will pass this section and will not be required to answer further questions under this section.

If Suppliers answer 'No' to Q145, they will be asked to self-certify they have a policy that demonstrates it can meet pre-defined criteria and upload their policy to the relevant section within SProc.net. All documents uploaded will be reviewed prior to award of any Service Agreements via the DPS.

4.8.5 Staffing, Licenses and Accreditations

The information provided in this section is for information only and will not form part of the Pass/Fail criteria.

4.9 Next Steps

For fuller details on how to create and submit your Enrolment information, please see the Registration, Accreditation and Enrolment User Guide available at www.sproc.net in the Help Library and at <http://demand.sproc.net>.

Once your Enrolment submission has been reviewed by the Council against the Enrolment evaluation criteria set out in the valuation methodology above, you will receive an email notification confirming whether or not your application has been approved.

If you are rejected at the Enrolment stage, you will be able to resubmit your enrolment a further two times, on the second time of applying the Council will contact the Supplier. Should the 3rd attempt fail a Supplier will have to wait at least 6 months before they can re apply.

GLOSSARY

Accreditation – the first part of the second step (selection) of the process that a Supplier is required to complete in order to join the DPS. It involves a responding to a series of objective questions and uploading documents.

Adam – adam HTT Limited trading as adam as the provider of SProc.Net.

Call-Off - the issue of a Requirement in relation to any Service Agreement to be awarded under the DPS.

DPS – Dynamic Purchasing System used for the procurement of Services.

Supplier Agreement – the overarching agreement between an LCP Member and a Supplier setting out how the LCP Member will award Service Agreements via the DPS for the delivery of specific Services.

Enrolment – the second part of the second step (selection) of the process that a Supplier needs to complete in order to join the DPS which will involve submitting further information based on which the LCP makes an evaluation of the capability of the Supplier's organisation to deliver Services to the LCP Members.

Entry Criteria – the criteria that a Supplier must meet and maintain throughout the duration of the DPS in order to successfully complete and to retain their Accreditation and Enrolment in the DPS.

Entry Submission - the Accreditation and Enrolment information and documents, which the Council requires a Supplier to submit via SProc.Net as part of the Accreditation and Enrolment process.

Experian UK – A credit checking service.

LCP – the London Construction Programme.

Offer – a Tender submitted against a Requirement confirming that a Supplier is able to deliver the Services required and at what price.

Public Contracts Regulations – The Public Contracts Regulations 2015, as amended from time to time.

Price Banding - the banding that a supplier will be placed into based on their annual turnover which can be used as an additional filter by an LCP member when creating their requirement;

Regional Banding - the regions a Supplier will select at the point of submitting their enrolment that stipulates the regional location that a supplier will want to work.

Registration – the first step of the process that a Supplier is required to complete when joining the DPS (which involves certain basic information about the Supplier's organisation).

Requirement – a request issued by an LCP Member from time to time on the DPS describing the specific Services that a LCP Member requires and for which it is seeking to award a Service Agreement.

Self-Billing Procedure – arrangements that a Supplier will sign up to as part of the Supplier Agreement in order for Adam to generate invoices.

Service Agreement – the contract to deliver a Requirement issued by the LCP Member accepting the Supplier's Offer and confirming agreement on the Services to be delivered and at what price.

Services - the services which form the basis of this procurement exercise (particulars of which are set out within in the OJEU Notice) and which shall be further specified by an LCP Member in the Requirement.

Service Category - a category of service, as described in section 1.0 of DPS Entry and Operation Guide Part 1.

Service Template – a filter applied to a Service Category to define the Services

Supplier(s) - the person, firm or company who are admitted to the DPS following evaluation of its response to the Accreditation and Enrolment.

Specification – the outline description of the Services an LCP Member may require from time to time via the DPS.

SProc.Net – an internet-based technology platform through which the LCP will be operating the DPS to procure Services (web link is www.sproc.net).

Tender - means a Supplier response to the Requirement issued by an LCP Member at a Call-Off stage.

London Construction Programme on behalf of the London Borough of Haringey

Dynamic Purchasing System for construction related multi-disciplined professional services (DPS)

Service Category Disciplines and Summaries

Version Control

Version	Description	Date Issued
V1	Draft	

Introduction

This document forms part of the Invitation to Participate and must be read in conjunction with all other documents.

This Procurement is for the establishment of a Dynamic Purchasing System for construction related multi-disciplined professional services for use by the London Construction Programmes current and future members and other Public Sector Contracting Bodies across the UK as set out in the OJEU notice. This document outlines the scope of the Requirements that Suppliers appointed to the DPS must be able to provide.

The DPS is divided into eighteen main Service Categories as detailed below:

1. Construction related Multi- Disciplinary Services
2. Construction Project Management Services
3. Highways and Transport Services
4. Public Realm and Landscape
5. Architectural and Urban Planning
6. Mechanical & Electrical Services
7. Civil & Structural Engineering Services
8. Quantity Surveying Services
9. Building Surveying Services
10. Construction Health and Safety Advisor (CDM 2015)
11. BREEAM Assessors
12. Specialist Environmental Surveys
13. Asbestos Advisory Services and Surveys
14. Site Supervision/Clerk of Works for Construction Projects
15. Environmental, Sustainability & Waste
16. Fire Services
17. General Advice on Estates, Property and Housing Management
18. Ancillary Services

This DPS is being established to provide public sector organisations with a compliant procurement route for their Construction and Development professional service's needs. The DPS is intended to provide for professional services for any size of project from small discrete works through to large-scale developments and therefore all Construction Related Service Organisations from SME's through to large Companies are encouraged to participate.

The DPS is intended to cover all multi-disciplinary services required for construction and development work including but not limited to multi-disciplinary services required new build,

demolition, renovation and refurbishment, extensions, conversions, repair and maintenance and property finance and sale.

The DPS is divided into Service Categories which outline the basis of characteristics of procurements that may be undertaken under the appropriate category.

When a Contracting Body has a specific requirement, it will issue a Call for Competition to all Service Provider admitted to the DPS within the relevant category, detailing the precise requirements. Service Providers are under no obligation to respond and can decide whether they wish to participate in each call for competition.

There is no guarantee that any Call-off Contracts will be placed under the DPS Supplier Agreement by any of the Contracting Bodies.

Scope of Works – All Lots

General Requirements

Best Practice

Suppliers admitted to the DPS are expected to demonstrate Best Practice at all times when appointed by members following a DPS call for competition (“Further Competition”).

Health and Safety

The Suppliers and all persons (including sub-Contractors) employed by them on the provision of construction related multi-disciplinary service shall comply fully with the Health and Safety at Work Act 1974 and all relevant Health and Safety legislation.

Construction (Design and Management) Regulations 2015 (CDMC 2015)

The Construction (Design & Management) Regulations (CDMC 2015) are the main set of regulations for managing the health, safety and welfare of construction projects. Suppliers are required to comply with the relevant legal Duties under CDMC 2015 as appropriate to their role and responsibilities within any Call-off Contract.

CDMC applies to all building and construction work and includes new build, demolition, refurbishment, extensions, conversions, repair and maintenance.

Suppliers providing services on **all projects** must:

- Make sure the client is aware of the client duties under Construction (Design and Management) Regulations 2015 before any work starts.
- Plan, manage and monitor all work carried out by themselves and their workers, considering the risks to anyone who might be affected by it (including members of the public) and the measures needed to protect them.
- Check that all workers they employ or appoint have the skills, knowledge, training and experience to carry out the work, or are in the process of obtaining them.
- Make sure that all workers under their control have a suitable, site-specific induction, unless this has already been provided by the principle Contractors.
- Provide appropriate supervision, information and instructions to workers under their control.
- Ensure they do not start work on site unless reasonable steps have been taken to prevent unauthorised access.
- Ensure suitable welfare facilities are provided from the start for workers under their control and maintain them throughout the work.
- Carry out regular health and safety audits/inspections. Reports detailing the findings shall be forwarded electronically to the CDMC and/or Principal Designer and shall be included within the Contractors monthly report for discussion at project meetings.

In addition to the above responsibilities, Suppliers working on **projects involving multiple disciplines** must:

- Coordinate their work with the work of others in the project team.
- Comply with directions given by the principal designer or principal Contractor.
- Comply with parts of the construction phase plan relevant to their work.

Risk Management

Suppliers need to manage the risks associated with carrying out the construction related services for works described in the scope of requirements effectively. Suppliers are required to integrate good practice into their day-to-day operations. BS ISO 31000 is the international standard for Risk Management providing comprehensive principles and guidelines to help organisations with their risk analysis and risk assessments.

Minimum Qualifications

Suppliers must ensure that their work force have the necessary qualifications and holds any relevant certification that demonstrates their ability to undertake tasks in their profession.

Equivalent qualifications are acceptable, but the Suppliers must be able to provide justification and evidence that the alternative proposed qualification and experience meets the requirement detailed.

Note that contracting bodies may choose to validate during Further Competition the minimum qualifications of directly employed employees (and where appropriate Sub-Contractors) identified to provide services on specific call off contracts.

Suppliers are encouraged to hold certification, trade body membership and/or third-party accreditations that demonstrates the capability of the work they are undertaking.

Regulations and Standards

Suppliers must comply with all Legislation and any other general or specific regulations and/or law that applies to the construction industry or trade as may be updated from time to time.

It is desirable that Suppliers hold accreditations to the relevant standards appropriate to the Service Categories including but not limited to:

- ISO 9000 family - Quality Management Systems
- ISO 14000 family - Environmental management
- OHSAS 18001 - Health & Safety Management
- ISO 45001 – Occupational health & safety

However, LCP Members can ask for additional certifications applicable to the scope of works at the Call Off stage.

Planning Requirements

Ensure all Planning requirements are met and complied with as required.

Standard Forms of Contract

Standard forms of appointment for consultants are available and can be used by the LCP Member, a range of which are listed below but which may be substituted for an LCP Members own depending of the Service of Requirements of the public sector body.

- ACA SFA 2010 :ACA Standard Form of Agreement for the Appointment of an Architect
- RICS Standard Form of Consultants appointment
- B103 –Appointment of a Structural Engineer
- B100- Appointment of Professional Consultant
- NEC Professional Services Contract
- RIBA Standard Agreement 2010-Consultant
- CIC conditions of contract for appointment of consultants on major building projects
- ACE Agreements
- SCALA (Society of Chief Architects of Local Authorities)
- JCT Pre Construction Services Agreement
- JCT Consultancy Agreement
- NEC Consultancy Agreement
- Any bespoke Consultancy Agreement.

Ancillary Services

This service category provides for various ancillary skills that do not naturally fall under any of the preceding service categories.

Architectural Services for outdoor area
Office support services
Interior Design Services
Landscape Architecture Services
Artificial and natural lighting engineering services for buildings
Transport systems consultancy services
Energy and related services
Urban planning services
Authorising Engineers and Regulatory Consultancy
Computer Graphics & Modelling
Educational, Scientific, Information Services

Architectural and Urban Planning

This service category provides for all skills related to and required by a project at the design phase.

Work under this service category may include but is not limited to: Interpretation of the client project brief, feasibility and options appraisals, concept design, master planning, production of feasibility stage drawings and renders, building information modelling (BIM), interior design, health and safety consultancy, production of tender stage drawings, production of engineering drawings, production of variation drawings as required during construction phase, production of as-built drawings post-construction.

Architectural and related services
Architectural Construction Engineering Services
Architectural Design Services
Landscape Architectural Services
Architectural Services for Buildings
Acoustic Consultant Services
Client design advice services
Furniture, fixtures and equipment consulting services
Information and communications technology consulting services
Interior design services
Lighting design services
Security consultant services
Structural waterproofing consultant services
Acoustics engineer services
3D modelling services
Record drawing services
Interior Design and Artwork Services
Modelling and Mock-up services
Urban Planning

Asbestos Advisory Services and Surveys

This service category provides for all skills related to asbestos surveys, for both existing buildings and sites.

Work under this service category may include but is not limited to: Asbestos assessment services, asbestos abatement advice, asbestos removal works, asbestos training

Building fabric consultancy services

BREEAM Assessors

This service category provides for all skills related to BREEAM assessors, for the assessment of both existing buildings and projects in design.

Work under this service category may include but is not limited to: Design assessment, materials assessment, environmental impact assessment, existing building assessment

Environmental issues consultancy services

Environmental assessments services

Building Surveying Services

This service category provides for all skills related to building surveying, from project consultation to handover.

Work under this service category may include but is not limited to: Condition surveys, feasibility studies, new building design, building refurbishment design and specification, acquisition surveys, dilapidation surveys, legal oversight and compliance, employers agent duties, contract administration

Building surveying services
Building Inspection Services
Quantity Surveying Services
Building inspections services (for building regulations approval)
Party wall surveyor services
Rights of light surveyor services
Thermal modelling services
Insurance claims consultancy services
Planning appeals
Building Control Submissions

Civil and Structural Engineering Services

This service category provides for all skills related to and required to design and oversee structural and civil engineering elements of a construction project.

Work under this service category may include but is not limited to: Structural surveys, load assessments, materials testing (both existing and proposed), material specifications, tender preparation, technical feasibility studies, develop detailed design of structural/civil work elements

Structural Engineering consultancy services
Civil Engineering Consultancy Services
Demolition consulting services
Drainage Engineer consultancy services

Construction Health and Safety Advisor (CDM 2015) Services

This service category provides for all skills related to construction health and safety services, from project consultation to handover.

Work under this service category may include but is not limited to: health and safety documentation, health and safety assessments, method statements, risk assessments, site inspection, HSE legislation advice, condition surveys, feasibility studies, new building design, building refurbishment design and specification, acquisition surveys, dilapidation surveys, legal oversight and compliance, employers agent duties, contract administration

Health & Safety Services
Building Surveying Services

Construction Project Management Services

This service category provides services specifically for the construction phase of projects, with client side disciplines represented.

Work under this service category may include but is not limited to: Project planning, programme management, feasibility studies, planning and building control advice, specialist design services, site assessments including site/ground investigations, setting out inspection, materials quality inspection, staged inspection and payment authorisation, design and specifications, master planning, tendering, value engineering, contract administration, supply chain management and stakeholder management, construction quality supervision, project budget supervision and management, handover management.

Construction Project Management Services
Clerk of Works
Construction Management
Health & Safety Services
Quantity Surveying Services
Employers Agent
Clients representative services
Management contracting services
Planning consultant services
Programme consultant services
Specification writing services

Construction Related Multi-Disciplinary Services

This service category provides senior level construction related multi-disciplinary services, for use on projects where a full range of expertise is required. The range of skills available in this service category allows comprehensive oversight of a project from initial consultation through to handover, with architectural, design, management, health and safety, engineering and quantity surveying services amongst those represented.

The use of a multi-disciplinary team on complex projects allows the development of holistic solutions through utilising combined skills where engagement as a series of individual teams would be less efficient in terms of time and cost.

The size of scope of projects will vary from small scale through to major sites, with associated variations in project complexity and value.

Work under this service category may include but is not limited to: Civil engineering, structural engineering, building services engineering, bid writing services, quantity surveyor services, programme manager services, lead consultant services, sustainability consultant, architectural design, landscape architecture, clerk of works, building surveying, estate management, asbestos consultancy, water safety consultancy – including legionella, sports and leisure, healthcare.

Construction Project Management Services
Architectural Construction Engineering Services
Architectural Design Services
Architectural and related services
Landscape Architectural Services
Architectural Services for Buildings
Determining and Listing of quantities in Construction
Structural Engineering Services
Civil Engineering Consultancy Services
Engineering Design Services for M&E installation for buildings
Building Services
Clerk of Works
Construction Management
Health & Safety
Quantity Surveying Services

Employers Agent
Topographical Services
Master planning services

Environment, Sustainability and Waste

This service category provides for all skills related to environmental, sustainability and waste for construction projects.

Work under this service category may include but is not limited to: Site surveys, materials sampling, design assessments, sustainability assessments, waste management plans, risk assessments, site surveying

Environmental issues consultancy services

Geotechnical engineering services

Fire Services

This service category provides for all skills related to fire prevention and consultancy, both for existing and proposed sites.

Work under this service category may include but is not limited to: Risk assessments, materials testing, risk assessments, fire alarm specification, fire evacuation plans

Fire prevention services
Fire and explosion protection and control consultancy services
Fire engineering consultant services
Lightning Protection consultant services

General Advice on Estates and Property Management

This service category provides for all skills related to estate and building management, including sales and development advice for undeveloped sites and existing properties.

Work under this service category may include but is not limited to: Strategic property advice, acquisitions and sales, acquisition surveys, dilapidations surveys, rent reviews and advice, lease negotiations, agreements and renewals, property portfolio advice, business case preparation

Real estate services with own property
Development services of real estate
Development of residential real estate
Development of non-residential real estate
Buying and selling of real estate
Building sale or purchase services
Building sale services
Building purchase services
Land sale or purchase services
Land sale services
Vacant-land sale services
Land purchase services
Vacant-land purchase services
Sale of real estate
Sale of residential real estate
Sale of non-residential estate
Letting services of own property
Renting or leasing services of own property
Residential property renting or leasing services
Non-residential property renting or leasing services
Real estate agency services on a fee or contract basis

Building rental or sale services
Residential building rental or sale services
Land rental or sale services
Land rental services
Vacant-land rental or sale services
Property management services of real estate on a fee or contract basis
Residential property services
Institution management services
Non-residential property services
Land management services
Commercial property management services
Industrial property services
Housing services
Energy-efficiency consultancy services
Building-fabric consultancy services
Building consultancy services
Building services consultancy services
Building surveying services
Building-inspection services
Fire and explosion protection and control consultancy services
Health and safety consultancy services
Quantity surveying services
Technical analysis or consultancy services
Consulting services for water-supply and waste consultancy
Administrative development project services
Sales and purchases recording services
Performance review services
Advertising and marketing services

Auction services
Procurement consultancy services
Evaluation consultancy services
Project-management services other than for construction work
Design support services
Contract administration services
Environmental standards other than for construction
Environmental indicators analysis other than for construction
Environmental monitoring other than for construction
Urban environmental development planning
Consulting services for water-supply and waste-water other than for construction
Residential property services
Commercial property management services
Real estate services with own property
Building sale or purchase services
Fire and explosion protection and control consultancy services
Corporate environmental auditing services
Letting services of own property
Land rental or sale services
Building consultancy services
Building surveying services
Facilities management
Post-occupancy evaluation services
Property Valuations

Highways and Transport Services

This service category provides for all skills related to and required by a highway or transport services project, from consultancy through to handover.

Work under this service category may include but is not limited to: Pre-construction and project management, design planning and estimating, site establishment and preparation works, site surveying including environmental surveying, design including structural design, project management and delivery, traffic modelling

Consultative engineering and construction services
Civil engineering consultancy services
Engineering design services for the construction of civil engineering work
Environmental engineering consultancy services
Structural Engineering Services
Urban planning and landscape architectural services
Construction Project Management Services
Health & Safety
Quantity Surveying Services
Determining and Listing of quantities in Construction
Topographical Services
Health & Safety Services
Building Surveying Services
Construction site supervision services
Clerk of Works
Transport / Traffic engineer consultant services
Highways, fencing and gates design services

Mechanical and Electrical Services

This service category provides for all skills related to and required to design mechanical and electrical services for new buildings or changes to existing buildings

Work under this service category may include but is not limited to: Feasibility studies and options appraisals, energy assessments, mechanical design, electrical design, fire alarm and suppression equipment feasibility assessment, lift maintenance

Engineering Design Services for M&E installation for buildings
Services engineer
Access Consultant
Consulting Engineer
Information and communications technology consulting services
Acoustics engineer services
Connections to statutory utilities consulting
Lift engineer services
Vibration Control consultant services

Public Realm and Landscape

This service category provides for all skills related to and required by a public realm or landscape project, from consultancy through to handover.

Work under this service category may include but is not limited to: Site surveying, landscape, site layouts and ergonomics, engineering and structural design for both urban and rural spaces, management and maintenance schedules, quantity surveying and architectural services for historic/listed buildings.

Architectural Services for Buildings including Historic/Listed Buildings
Landscape Architectural Services
Interior Design Services
Computer Graphics & Modelling
Quantity Surveying Services
Engineering Design Services for M&E installation for buildings
Structural Engineering consultancy services
Civil Engineering Consultancy Services
Urban planning services
Waste Management Consultant services

Quantity Surveying Services

This service category provides for all skills related to quantity surveying, from project consultation to handover.

Work under this service category may include but is not limited to: Tender preparation, tender assessment, material price forecasting, options appraisals, value engineering, track and cost design changes, valuation of work completed on site, cost consulting

Quantity Surveying Services
Determining and Listing of quantities in Construction
Cost Consultant Services

Site Supervisor/Clerk of Works for Construction Projects

This service category provides for all skills related to site supervision and clerk of works disciplines, for construction projects.

Work under this service category may include but is not limited to: Site supervision, health and safety supervision, materials inspections, quality inspections, progress monitoring, sampling and testing,

Construction site supervision services
Clerk of Works
Client's representative services
Contract administrator services
Employers BIM advisor services

Specialist Environmental Surveys

This service category provides for all skills related to specialist environmental surveys, for both existing buildings and sites.

Work under this service category may include but is not limited to: Map production, condition surveying, staged condition surveying, 3D modelling, animated videos, site investigations, utility studies, ground investigations, site stability assessments, site conditions risk assessments

Topographical Services
Geotechnical engineering services
Archaeologist services
Chartered environmentalist services
Ecologist services
Environmental consultant services

Appendix 2 - Geographic Coverage

The DPS is divided into five London regions (North, East, South, West and Central London) inside of the M25. The postcodes within each region are set out in the table below.

This division has been structured to encourage small businesses (who may have service area limitations) to apply to join the DPS and to best serve the needs of contracting authorities based in London.

The Suppliers who apply to be admitted to the DPS can opt to provide a service throughout London or specific regions in London.

The regional boundaries will be fixed for the duration of the DPS.

It is intended to keep service provision within the M25 but exceptionally it may be necessary for Suppliers to visit and/or work in locations immediately outside of the M25 boundary. Similarly, there may be occasions where contracting authorities require Suppliers to visit and/or undertake work in cross border sites in London. Any such requirements will be set out in the Requirement for the individual Service Agreement.

London Region	Locations
North	EN1 – EN8, HA8 N1 - N22
East	CM13 – CM14, E1 - E20, IG1 - IG11 RM1 - RM20
South	BR1 – BR8 CR0, CR3 - CR9, CR44, CR90 DA1 - DA8, DA10, DA18 KT3 - KT6, KT17 - KT18, KT22 SE1 - SE28 SW2 - SW24 SM1 - SM7
West	HA0 - HA9 KT1 - KT9 NW1 - NW11 SL0, SL3 SW2 - SW20 TW1 - TW20 UB1 - UB11, UB18 W2 - W14 WD2 - WD25

Central	EC1- EC4 SW1 W1 WC1 WC2A, WC2B, WC2E, WC2H, WC2N, WC2R
All London Regions	Incorporating all of the Locations as above

The diagram below provides an illustration of the five London regions.

