PAS 91:2013+A1:2017 Compliant PQQ Pack for customers

PH_CW_CI_001 REVISION 1

1 Scope

Information required by a customer for supplier approval / pre-qualification.

2 Purpose

To provide details about Penny Engineering in a standardised version in line with the HM government document PAS 91:2013+A1:2017, demonstrating our ability to work to required standards and safety requirements.

3 Company Brief

Penny Engineering Ltd is family owned and has design, manufacture, installation, service, and decommissioning capabilities. The Design Team is led by a Chartered Engineer and manufacturing overseen by suitably qualified and apprentice trained engineers. The company has ISO certifications ISO 9001 Quality, ISO 14001 Environmental, ISO 45001 Health & Safety management systems, and EN 1090 certification.

We hold and maintain the Royal Warrant of Appointment as Lifting Equipment Manufacturers and Engineers to His Majesty the King, Alcumus Safe Contractor Certificate, Altius Elite Vendor Certificate (also PAS 91 compliant) and Achilles Cert UVDB Silver+ certificates. Fit 4 Nuclear.

We also hold several memberships including ALLMI, LEEA, Cyber Essentials Certificate of Assurance and Chamber of Commerce.

Note: - All certifications can be found on our web site https://www.pennyengineering.com This document shall be reviewed on an annual basis.

4 Information

Note: - This information form is taken from the HM government PAS 91:2013+A1:2017 document

Figure 1 - PAS 91 compliant prequalification

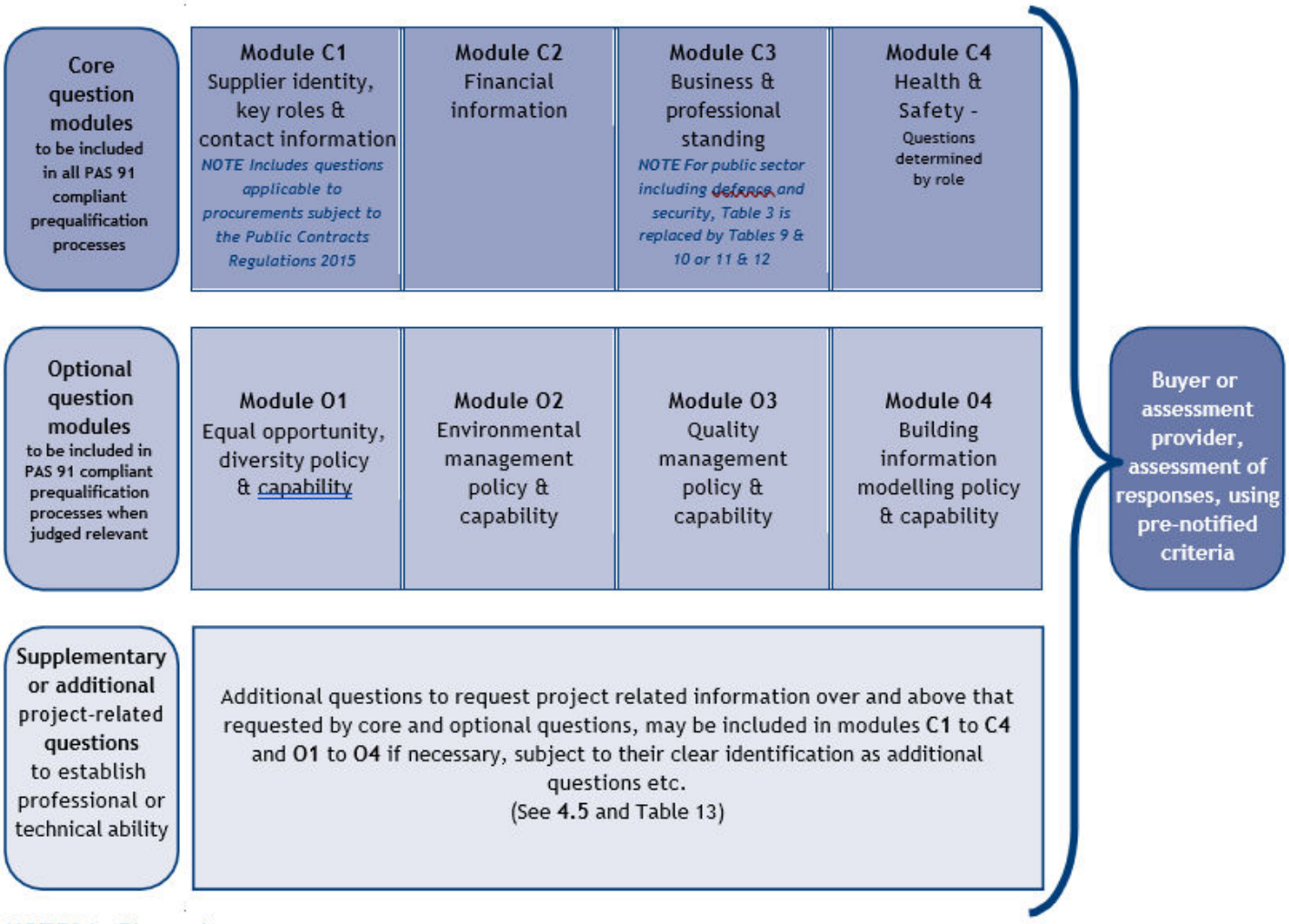

Table 1 – Core Question Module C.1: Supplier identity, key roles, and contact information

Q Ref	Nature of information	Description of response expected,which will be taken into account in assessment	Response
C1-Q1	**Name of legal entity or sole trader**	**Unique name of legal entity or name of individual**	Penny Engineering Ltd
C1-Q2	**Registered officeAddress**	**C1-Q2-1 Address line 1** (Property name/number)	Station Road Industrial Estate
		C1-Q2-2 Address line 2	Station Road
		C1-Q2-3 Address line 3	
		C1-Q2-4 Town	Clowne
		C1-Q2-5 County	Derbyshire
		C1-Q2-6 Postcode	S43 4AB
	Website address	**C1-Q2-7 website** (if applicable)	https://www.pennyengineering.com
C1-Q3	**Contact Details forEnquiries**	**C1-Q3-1 Title** (Mr, Mrs, Ms, etc.)	Sales Department
		C1-Q3-2 Forename	Sales Department
		C1-Q3-3 Family name	Sales Department
		C1-Q3-4 Job title	Sales Department
		C1-Q3-5 e-mail	sales@pennyengineering.com
		C1-Q3-6 Telephone number	01246 811475
		C1-Q3-7 Fax number	N/A
		C1-Q3-8 Address line 1 (Property name/number)	Station Road Industrial Estate
		C1-Q3-9 Address line 2	Station Road
		C1-Q3-10 Address line 3	
		C1-Q3-11 Town	Clowne
		C1-Q3-12 County	Derbyshire
		C1-Q3-13 Postcode	S43 4AB
C1-Q4	**Registration number, if registered with Companies House orequivalent**	**C1-Q4-1 Registration number withCompanies House**	01380206
		C1-Q4-2 Registration number withequivalent body	N/A
C1-Q5	**Charity registration number**		N/A

Table 1 – Core Question Module C.1: Supplier identity, key roles and contact information *(continued)*

Q Ref	Nature of information	Description of response expected, which will be taken into account in assessment	Response
C1-Q6	**VAT registration number**		GB 295 5936 03
C1- Q7	**Name of immediate parent company**		N/A
C1-Q8	**Name of ultimate parent company**		N/A
C1-Q9	**Type of organization**	*e.g. PLC; limited company; LLP; other partnership; sole trader; other (please specify)*	Limited company
In addition to the information called for in **C1-Q1** to **C1-Q9**, the following (pale blue shaded) supplementary questions (**C1-Q10** to **C1-Q14**)) are applicable to procurements subject to the Public Contracts Regulations 2015 which exceed the relevant EU declared threshold. *Where applicable, these shall be incorporated in Table 1; a declaration regarding the responses to Table 1 and to the other Tables/questions in this document(questionnaire) is also required (see Annex C).*			
C1-Q10	**Size of business**	Are you a micro, a small, or a medium-sized enterprise [1]?	**YES** Y **NO**
C1-Q11	**ONLY IN THE CASE THE PROCUREMENTIS RESERVED** [2] **Sheltered workshop/"socia lbusiness"**	**C1-Q11-1** Is your organization a sheltered workshop, a "social business" [3] or will it provide for the performance of the contractin the context of sheltered employment programmes? IF YES Please respond to **C1-Q11-2** and **C1-Q11-3** below	**YES** **NO** N
		C1-Q11-2 What is the corresponding percentage of disabled or disadvantaged workers?	N/A
		C1-Q11-3 Please specify which category or categories of disabled or disadvantaged workers the employees concerned belong to	N/A

Table 1 – Core Question Module C.1: Supplier identity, key roles and contact information *(continued)*

Q Ref	Nature of information	Description of response expected, which will be taken into account in assessment	Response
C1-Q12	**APPLICABLETO NON-UK BUSINESSES ONLY** **Official lists/nationalpre-qualification system**	**C1-Q12-1** If applicable, is your organization registered on an official list of approved economic operators or does it have an equivalent certificate (e.g. under a national (pre)qualification system)? IF YES: Please answer the remaining parts of Table 1 and complete Tables 9 and 10 and the required declaration. Complete **C1-Q12-2** to **C1-Q12-6** below.	**YES** ☐ **NO** ☐ **N/A** Y N/A
		C1-Q12-2 Please provide the name of the list or certificate and the relevant registration or certification number, if applicable	N/A
		C1-Q12-3 If the certificate of registration or certification is available electronically, please statethe: • web address • issuing authority or body • precise reference of the documentation	N/A
		C1-Q12-4 Please state the references on which the registration or certification is based, and, where applicable, the classification obtained in the official list (4)	N/A

Table 1 – Core Question Module C.1: Supplier identity, key roles and contact information *(continued)*

Q Ref	Nature of information	Description of response expected, which will be taken into account in assessment	Response
		C1-Q12-5 Does the registration or certification cover all of the required criteria in Tables *(document compiler to insert the table numbers for all of the questions included for the procurement, other than those intables 1, 9 and 10)*? IF NO In addition, please complete the missing information in Tables *(document compiler to insert the table numbers for all of the questions included for the procurement, other than those intables 1, 9 and 10)*	**YES** ☐ **NO** N N/A
		C1-Q12-6 ONLY if this is required in the relevant notice or procurement documentation: Will your organization be able to provide a certificate with regard to the payment of social security contributions and taxes or provide information enabling the contracting authority or contracting entity to obtaining it directly by accessing a national database in any Member State that is available free of charge? If the relevant documentation is available electronically, please state the: • web address • issuing authority or body • precise reference of the documentation	**YES** ☐ **NO** N N/A

C1-Q13	**Form of Participation**	**C1-Q13-1** Are you participating in the procurement procedure together with others [5]? IF YES Please respond to **C1-Q13-2, C1-Q13-3** and **C1-Q13-4** below Please ensure that the others concerned, each provide a separate questionnaire	**YES** **NO N**

Table 1 – Core Question Module C.1: Supplier identity, key roles, and contact information *(continued)*

Q Ref	Nature of information	Description of response expected, which will be taken into account in assessment	Response
		C1-Q13-2 Please indicate your organization's role[6] *i.e. sole supplier/lead entity, group member, other entity (relied upon) [7], other entity (not relied upon)*	N/A
		C1-Q13-3 To enable the collation of the group's responses, please identify the other organizations participating in the procurement procedure together	N/A
		C1-Q13-4 Where applicable, please provide the name of the group	N/A
C1-Q14	**Lots**	Where applicable, please indicate the lot(s) for which you wish to tender	N/A

Table 2 – Core Question Module C2: Financial information

Q Ref	Information required	Description of information expected, which will be taken into account in assessment	Tick as applicable	Supplier's unique reference to relevant supporting information
C2-Q1	*Please select the one organization description that most closely matches your organization and provide information accordingly*			
	C2-Q1-1 Financial information for a start-up business that has notreported accounts to the Inland Revenue or Companies House	Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status *(See Note 2 to this Table)*	☐	N/A not a start-up company established 1970's
	C2-Q1-2 Accounts for anunincorporated business(sole traders and partnerships)	Copy of the most recent accounts that contain turnover, profit before tax, and balance sheet (if prepared) covering either the most recent two-year periodof trading or, if trading for less than two years, the period that is available. If accounts are not prepared, provide the relevant pages from the latest tax returns (self-employment pages for sole traders, partnership pages for partnerships), together with the tax assessment.	☐	N/A Not sole trader or partnership
	C2-Q1-3 Accounts for a small company or limitedliability partnership with a turnover below the audit threshold at which the preparation of audited accounts is not required	Copy of the most recent accounts as submitted to the Inland Revenue covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available. Abbreviated accounts are not acceptable	☐	N/A
	C2-Q1-4 Accounts fora medium to large incorporated entity and all other organizations that are required to prepare audited accounts	Copy of the most recent audited accounts covering either the most recent two-year period of trading or,if trading for less than two years, the period that is available	Y	Available on request see companies house web site https://www.gov.uk/government/organisations/companies-house
	C2-Q1-5 Accounts for other organization types (e.g. not for profit entities, local authorities, housing associations, charities)	In most cases it is likely that audited accounts will have been prepared and the accounts required at **C2-Q1-4** above will suffice. Where this is not the case, an unaudited copy of the most recent accounts as described in **C2-Q1-2** above should be provided.	☐	N/A

Table 2 – Core Question Module C2: Financial information *(continued)*

C2-Q2	Insurance statement andcertificates	Please enter the requested information in the response column		Response
		C2-Q2-1 Employers' liability insurance	**C2-Q2-1-1 Policy No.**	100687741CCI
			C2-Q2-1-2 Limit of indemnity	£10,000,000 any one occurrence
			C2-Q2-1-3 Excess	
			C2-Q2-1-4 Limit for a single event	£10,000,000 any one occurrence
			C2-Q2-1-5 Expiry date	Latest copy provided on application
		C2-Q2-2 Public liability insurance	**C2-Q2-2-1 Policy No.**	100687741CCI
			C2-Q2-2-2 Limit of indemnity	£2,000,000 any one occurrence
			C2-Q2-2-3 Excess	
			C2-Q2-2-4 Limit for a single event	£2,000,000 any one occurrence
			C2-Q2-2-5 Expiry date	Latest copy provided on application
		C2-Q2-3 Professional indemnity insurance *(Where consultancy input involved)*	**C2-Q2-3-1 Policy No.**	PL-PSC10001725017/00
			C2-Q2-3-2 Limit of indemnity	£2,000,000 in the aggregate
			C2-Q2-3-3 Excess	
			C2-Q2-3-4 Expiry date	Latest copy provided on application
		C2-Q2-4 Product liability insurance *(Where product is to be supplied)*	**C2-Q2-4-1 Policy No.**	100687741CCI
			C2-Q2-4-2 Limit of indemnity	£2,000,000 in the aggregate
			C2-Q2-4-3 Excess	
			C2-Q2-4-4 Expiry date	Latest copy provided on application

Table 3 – Core Question Module C3: Business and professional standing *(continued)*

Q Ref	Core question	Information required	YES	NO	Supplier's unique referenceto relevant supporting information
C3-Q1	**Has your company or any of its Directors and/ or Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgement against you or them?**	Details of any such action. *Responses will be taken into account in assessing the outcome of this prequalification application where the circumstances of the judgement are pertinent to anticipated future projects or services. They will not necessarily constitute a reason for rejection*		N	
C3-Q2	**If your company or any of its Directors and/ or Executive Officers are the subject of ongoing or pending criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, have all claims been properly notified in accordance with relevant Insurance policy requirements and been accepted by the insurers?**	Details of any such action, insurance notification requirements where relevant, and confirmation, with references, of relevant insurance notification and insurer acceptance. *Responses will be taken into account as part of the assessment process.*		N	
C3-Q3	**Has your company or any of its Directors and/ or Executive Officers been in receipt of enforcement/remedial orders that are still unresolved (such as those in relation to Environment Agency or Office of Rail Regulation enforcement), in the last three years?**	Details, including the status of the required action. *Responses will be taken into account as part of the assessment process*		N	

Table 4 – Core Question Module C4: Health and safety: policy and capability

Q Ref	Exemptions and pertinent question selection	Exemption(s) Claimed	
		Please tick i and /or ii for C4-Q1-1a, b and /or c, as appropriate, and for i, also state the CDM duty holder role(s) for which exemption is claimed	**Supplier's unique reference to certificates or other supporting information**
C4-Q1	In the circumstances set out in **C4-Q1-1a)** to **C4-Q1-1c)**, if your organization meets the relevant criteria in respect of exemption categories i) and/or ii) below: i. one or more of the following CDM duty holder roles: contractor, principal contractor, designer, principal designer; ii. general health and safety: policy and capability; and you can provide the supporting informationto evidence this, the following exemptions apply: • for an exemption under i) or ii) above: questions **C4-Q2** to **C4-Q11** need not be completed • for an exemption under i) above questions **C4-Q12** to **C4-Q22** also need not be completed in respect of the role(s) identified. If you are not claiming an exemption, please move to question **C4-Q2**. However, if you are claiming exemption(s), but such exemption(s) does not cover all the categories/roles relevant to your application, please: • complete questions **C4-Q12** to **C4-Q22** in respect of each relevant category/role not covered by an exemption; and • provide any additional information required for **C4-Q2** to **C4-Q11** in respect of relevant categories/ roles that are not covered by an exemption.* ***NOTE** *Additional information to that relevantto the exemption(s) claimed could be required to demonstrate satisfactory organization and arrangements appropriate to the categories/ roles not covered by such exemption(s).*	`We do not take the role of principal contractor or designer; our role is sub-contract only therefore CDM does not apply directly See copy of policy, roles & responsibilities on the web site https://www.pennyengineering.com	

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

	Circumstances of exemption				
	C4-Q1-1a) You have, within the last twelve months, successfully completed a prequalification application undertaken by an assessment provider able to demonstrate that its information gathering process is equivalent to that of PAS 91.	For i) ☐ CDM duty holder role(s) claimed. ..... For ii) Y ☐			Hold the Altius CDM comply award certificate SSIP
	C4-Q1-1b) You have, within the last twelve months, successfully met the assessment requirements of a construction-related schemein registered membership of the Safety Schemesin Procurement (SSIP) forum (see Annex D).	For i) ☐ CDM duty holder role(s) claimed. ..... For ii) Y ☐			Hold the Altius CDM comply award certificate SSIP
	C4-Q1-1c) You hold a certificate of compliance with BS OHSAS 18001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard,[1] e.g. accredited by UKAS.	For i) ☐ CDM duty holder role(s) claimed. ..... For ii) Y			We hold an ISO 45001Occupational Health & Safety Management system certificate ref OHS 735551 Issued by BSI UKAS Ref 003
Q Ref.	**Question**	**Example of the type of information in support of responses, which will be taken into account in assessment**	**YES**	**NO**	**Supplier's unique reference to relevant supporting information**
C4-Q2	**Are you able to show that you have a general policy and an organization which is responsible for ensuring effective health and safety (H&S) management?**	Evidence of periodically reviewed general H&S policy, signed and dated by a senior person within the organization. The H&S policy should also contain the organization and arrangements. These should be relevant to the anticipated nature and scaleof activity to be undertaken and set out responsibilities for H&S management at all levels in the organization. *(Organizations with fewer than 5 employees, see Note4 to this Table)*	Y	☐	Policy & roles / responsibilities provided on the web site https://www.pennyengineering.com Full copy of the H&S arrangements provided on request

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q3	**Are you able to show your arrangements for ensuring that your H&S measures are effective in reducing/ preventing work-related incidents, occupational ill-health and accidents?**	Details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken, and how these arrangementsare communicated to workers. *(Organizations withfewer than 5 employees, see Note 4 to this Table)*	Y		Full copy of the H&S arrangements provided on request, policy on the web site
C4-Q4	**Do you have ready access to competent H&S advice/assistance?**	Evidence of how your organization has ready access to competent H&S advice, for both general health and safety and, for CDM duty holders, construction-related healthand safety. *(Access to competent in- house advice, in whole or part, is usually preferred. It isessential that H&S advisor(s) are able to provide general H&S advice and that, for CDM duty holders (from thesame source or elsewhere) advice on relevant construction H&S issues is accessible as required.)*	Y		Not a CDM duty holder however we hold the Altius CDM comply award certificate SSIP **Internal** compliance manager holds NEBOSHH certificate **External** ProActive – Health & Safety advisors also used ProAktive House, Sidings Court White Rose Way, Doncaster DN4 5NU Tel: 01302 341 344 Current Certificate provided on web site

C4-Q5	**Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organization is likely to undertake?**	Evidence that your organization implements relevant training arrangements to ensure thatemployees/other workforce have sufficient skills and understanding to discharge their various duties. This should include refresher training on relevant good H&S practice and, for CDM contractors and principal contractors, Construction Phase Plans (CPP) may be used to show how information is disseminatedor communicated on-site (*see note 5 to this Table*).	Y		CDM not applicable however we hold the Altius CDM comply award certificate SSIP Training certificates provided on request with RAMS. All external engineers hold CSCS cards

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q6	**Do your employees/other workforce have H&S and other relevant knowledge, experience and skills to carry out activities that your organization is likely to undertake?**	Evidence that your employees/other workforce have suitable knowledge, experience and skills for the activities assigned to them, unless there are specific situations where they need to work under competent control and/or supervision (e.g. apprentices and other trainees).	Y		All employees are trained to perform full range of tasks. All receive initial induction H&S training. Full training and competence matrix are maintained. Evidence on request with RAMS
C4-Q7	**Do you check, review and, where necessary, improve your H&S performance?**	Evidence that your organization has an effective, ongoing system formonitoring H&S procedures, and for periodically reviewing and updating thatsystem as necessary.	Y		In accordance with our ISO 45001 certified system. We always have H&S improvement objectives in place.
C4-Q8	**Do you have procedures for involving your employees/other workforce in the planning and implementation of H&S measures?**	Evidence that your organization implements a means of consulting with its employees/other workforce on H&S matters and how comments, concerns or complaints submitted by employees/other workforce are taken into account.	Y		We operate an open-door policy, hold H&S committee meetings, welcome suggestions and have a near miss process in place for all to use.
C4-Q9	**Do you routinely record and review accidents/incidents and undertake follow-up action?**	Evidence that your organization maintains records of all RIDDOR-reportable (see note 6 to this Table) and other incidents for at least the last three years. Evidence that your organization has an effective system for reviewing significant incidents, and recording any resulting action taken (including your response to any H&S enforcement activity).	Y		Information regarding accident statistics available on request. RIDDOR reporting in place and adhered too. ISO 45001 in place

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q10	**Do you have arrangements for ensuring that your suppliers also apply H&S measures that are appropriate to the activities that your organization is likely to undertake?**	Evidence that your organization implements arrangements for ensuring and monitoring H&S skills, knowledge and experience, and performance, throughout your entire supply chain, appropriate to the work likely to be undertaken.	Y		A supplier control system is in place. Suppliers are categorized as to the type and extent of work they are performing.
C4-Q11	**Do you operate a process of risk assessment, capable of supporting safe systems of work?**	Evidence that your organization implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work ("method statements"). Please provide indicative examples, which must include: the identification and control of any significant occupational health (not just safety) issues, appropriate to the work likely to be undertaken. *(Organizations with fewer than 5 employees, see Note 4 to thisTable)* ***NOTE*** *Risk assessments should focus on, and be proportionate to, the risks arising from the type of work to be undertaken. The need to reduce documentation requirements on micro-businesses in particular should be taken into accountby buyers and assessment providers. Excessive bureaucracy associated with prequalification assessment can obscure the real H&S issues to be considered, and even divert effort away fromthem.*	Y		RAMS provided on request for all external work carried out see form PH_CW_HS_036, this details all relevant / applicable risk assessments for a specific install / service task, copies of which are made available on request. For factory work a full set of Risk assessments and Safe systems of work are in place.

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

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

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q13 Contractor/ principal contractor	**Do you have arrangements for co-operating and coordinating your work with others (including other suppliers, notably contractors)?**	Describe how co-operation and co-ordination of the work is achieved in practice, and how any other organizations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs.	Y		All customer site work is pre-arranged. Engineers are instructed, to attend site inductions and follow site rules. Emergency & accident instructions in place including cooperation with site management. Risk assessment for Interacting with site personnel also in place see RAMS.
C4-Q14 Contractor/ principal contractor	**Do you have arrangements for ensuring on-site welfare for your employees/other workforce?**	Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided bya site-specific arrangement wh others, or your own measures. This may include CPPs.	Y		See document PH_RL_HS_037 Rev 1 - R&L Installation Requirements
C4-Q15 Contractor/ principal contractor	**Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?**	Examples of actual knowledge, skills and experience within your organization. This may include: NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g. provided in a skills matrix for key personnel)	Y		All engineers H&S trained & carry CSCS cards plus standard competencies and Asbestos Awareness training. We hold - Safe Contractor Alcumus Certificate. Altius Elite Vendor Certificate Altius CDM certificate Achilles Certificate_UVDB_ Silver + also PAS 91 compliant. Specific training for engineers is also provided can be provided on request.

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q16 Contractor/ principal contractor	**Do you review and develop your effectiveness in the contractor/ principal contractor role?**	Evidence that your organization Implements an ongoing system for monitoring performance, including post-project review.	Y		Sample inspections are performed checking the competence of engineers. We also perform periodic internal audits in line with our ISO 45001 certification requirements.
C4-Q17 Principal contractor	**Do you implement arrangements to meet the 'principal contractor' duties under the Construction (Design and Management) Regulations 2015?**	Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal contractor. In particular, provide evidence of how you: **C4–Q17-1** Plan, manage, monitor and coordinate H&S in the construction phase, including communication with the client, principal designer and contractors. **C4–Q17-2** Prepare, review and maintain CPPs; **C4–Q17-3** Organize co-operation between contractors and others, and coordinate the work; **C4–Q17-4** Ensure relevant and suitable site inductions; **C4–Q17-5** Provide information for the H&S file.			N/A not a principal contractor, subcontract only.

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q18 Designer/ principal designer	**Do you implement arrangements to meet the 'designer' duties under the Construction (Design and Management) Regulations 2015?**	Evidence showing how you address **C4-Q18-1** to **C4-Q18-4** below. Provide relevant examples showing how risk was reduced through design. ***NOTE*** *Emphasis should be on practical, proportionatemeasures that address significant risks arising from designs for relevant construction, not on lengthy documentation about generic risks.* **C4-Q18-1** Check that the client is aware of their duties **C4-Q18-2** Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015? Provide relevant evidence of: your CPD programme and/or examples of training and development plans (which may include in- house training). • your relevant qualifications, e.g. membership of a professional institution suchas CIAT; CIBSE; ICE or RIBA. • how you maintain your technical knowledge and understanding of construction design. **C4-Q18-3** Ensure significant risks are eliminated by design, taking account of theprinciples of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use). **C4-Q18-4** Effectively manage design changes, with regard to ensuring H&S during and post-completion.			N/A we do not take the role of principle contractor

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q19 Designer/ **principal designer**	**Do you review and monitor your design performance, notably in relation to H&S?**	Evidence that your organization implements an ongoing system for monitoring H&S design procedures and for reviewing and updating that system as necessary, e.g. through project design review (during and post-completion).			N/A we do not take the role of principle contractor
C4-Q20 Principal Designer	**Do you implement arrangements to meet the "principal designer" duties under the Construction (Design and Management) Regulations 2015?**	Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal designer. In particular, evidence of how you: **C4–Q20-1** Help the client to meet its duties under CDM 2015 **C4–Q20-2** Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase **C4–Q20-3** Plan, manage and monitor health and safety-related information, including design information, in the pre-construction phase ofa project, with the aim of identifying, eliminating or controlling foreseeable risks; **C4–Q20-4** Ensure designers carry out their duties, including oversight and co-ordination within the design team and with other designers/contractors; **C4-Q20-5** Liaise with the principal contractor; **C4–Q20-6** Prepare and provide relevant informationto other duty holders, including the H&S file.			N/A We do not take the role of principle designer

Table 4 – Core Question Module C4: Health and safety: policy and capability *(continued)*

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q21 Principal designer	**Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?**	Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications. *For example, a member of the registers administered bythe Association for Project Safety or the Institution of Construction Safety (formerly known as the CDMco-ordinator's register), or the ICE construction health and safety register.*			N/A We do not take the role of principle designer
C4-Q22 Principal designer	**Do you review and develop your effectiveness in the principal designer role?**	Evidence that your organization implements, an ongoing system for monitoring performance, including post-project review.			N/A We do not take the role of principle designer

Table 5 – Optional Question Module O1: Equal opportunity and diversity policy and capability

Q Ref.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O1-Q1	**As an employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010?** ***NOTE*** *This applies to both public and private procurement*	**In respect of O1-Q1, copies of:** **O1-Q1-1** relevant instructions or written statement/evidenceof relevant actions **O1-Q1-2** relevant guidance or written statement/evidence of relevant actions **O1-Q1-3** relevant policies/ literature or written statement/ evidence of relevant actions **O1-Q1-4** evidence of where you believe these policies havemade a difference	Y		PH_CW_PD_006 Rev 2 - Penny Engineering Ltd - Equal Opportunities Policy available on request We employ people from diverse backgrounds, learning abilities, ethnic, religious and cultural backgrounds and have trained and qualified people from all sexes to achieve roles at all levels within the business.
O1-Q2	**Is it your policy as an employer to comply with anti-discrimination? legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others?**	No supporting evidence required	Y		We treat every employee with fair and equal status regardless of religion, ethnic background, sexual orientation or other chosen belief & lifestyle. See PH_CW_PD_006 as above

Table 5 – Optional Question Module O1: Equal opportunity and diversity policy and capability *(continued)*

Q Ref.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O1-Q3	**In the last three years has any finding of unlawful discrimination been made against your organization by any court or industrial or employment tribunal or equivalent body?**	Details of any findings		N	
O1-Q4	**In the last three years, has your organization been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination?**	Details of any investigations		N	
O1-Q5	**In the last three years, has your organization been found in breach of section 15 of the Immigration, Asylum and Nationality Act 2006?**	Details of any findings		N	
O1-Q6	**In the last three years, has your organization been found in breach of section 21 of the Immigration, Asylum and Nationality Act 2006?**	Details of any findings		N	
O1-Q7	**In the last three years, has your organization been found to be in breach of the National Minimum Wage Act 1998?**	Details of any findings		N	
O1-Q8	**If the answer to any of questions 3 to 7 is "yes", what steps did your organization take as a result of that finding or investigation?**	Details/evidence of remedial action			N/A

Table 5 – Optional Question Module O1: Equal opportunity and diversity policy and capability *(continued)*

Q Ref.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O1-Q9	**Does your organization operate appropriate arrangements to ensure that equality and diversity is embedded within your organization?**	Provide copies of any relevant policies or written statement/ evidence of relevant actions	Y		PH_CW_PD_006 Rev 2 - Penny Engineering Ltd - Equal Opportunities Policy available on request
O1-Q10	**Do you actively promote good practice in terms of eliminating discrimination in all forms through:**				
	O1-Q10-1 guidance to your employees/ suppliers concerned with recruitment, training and promotion?	In respect of **O1-Q10-1**, copiesof any relevant guidance or written statement/evidence ofrelevant actions.	Y		PH_CW_PD_006 Rev 2 - Penny Engineering Ltd - Equal Opportunities Policy available on request
	O1-Q10-2 making guidance or policy documents concerning how the organization embeds equality and diversity available to employees/ sub-contractors, recognizedtrade unions or other representative groups of employees?	In respect of **O1-Q10-2**, copies of any relevant guidance, policies, or written statement/ evidence of relevant actions.	Y		PH_CW_PD_006 Rev 2 - Penny Engineering Ltd - Equal Opportunities Policy available on request
	O1-Q10-3 appropriate recruitment advertisements or other literature?	In respect of **O1-Q10-3**, copiesof any relevant advertisement or written statement/evidence of relevant actions.	Y		We may consider providing these on request if relevant

Table 6 – Optional Question Module O2: Environmental management policy and capability

Q Ref	Exemption	Exemption claimed	If exemption claimed, supplier's unique reference to certificates or other supporting information
O2-Q1	The questions in this module need not be completed if your organization holds a certificateof compliance with BS EN ISO 14001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard[2], e.g. accredited by UKAS, or you have a valid EMAS certificate, and can provide information to evidence this.	**YES** Y **NO** ☐	We hold an ISO 14001Environmental Management system certificate ref EMS 675937 Issued by BSI UKAS Ref 003

Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O2-Q2	**Do you have a documented policy and organization for the management of construction-related environmental issues?**	Evidence that you or your organization has an environmental management policy authorized by the chief executive or equivalent that is regularly reviewed. The policy should be relevant to the nature and scale of the activity and set out the responsibilities for environmental management throughout the organization.	Y	☐	See Web site
O2-Q3	**Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/ preventing significant impacts on the environment?**	Evidence that your organization's environmental policy implementation plan provides information as to how the company aims to discharge relevantlegal responsibilities and provides clear indication of how these arrangements are communicated to employees/other workforce, in relation to environmental matters including: • sustainable materials procurement; • waste management; • energy management. This should include the arrangements for responding to, monitoring and recording environmental incidents, emergencies and complaints.	Y	☐	We hold ISO 14001, maintain improvement objectives, perform internal audits, and hold frequent reviews at leadership level.

Table 6 – Optional Question Module O2: Environmental management policy and capability *(continued)*

Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique referenceto relevant supporting information
O2-Q4	**Do you have arrangements for providing employees who will engage in construction, with training and information on construction-related environmental issues?**	Evidence that your organization hasin place, and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to carry out their various duties. This should include a programme of refresher training that will keep employees/other workforce updated on relevant legal requirements and good environmental management practice.	Y		We hold ISO 14001, maintain improvement objectives, perform internal audits, and hold frequent reviews at leadership level.
O2-Q5	**Do you check, review and where necessary improve your environmental management performance?**	Evidence that your organization has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval.	Y		We hold ISO 14001, maintain improvement objectives, perform internal audits, and hold frequent reviews at leadership level.
O2-Q6	**Do you have arrangements for ensuring that any suppliers you engage apply environmental protection measures that are appropriate to the activity for which they are being engaged?**	Evidence that your organization has procedures for monitoring supplier's environmental management arrangements and ensuring that environmental performance appropriate for the activity to be undertaken is delivered throughout the whole of your organizations supply chain.	Y		We perform supplier reviews in line with what they provide, categorize accordingly, and maintain all certifications and registrations up to date

Table 7 – Optional Question Module O3: Quality management policy and capability

Q Ref	Exemption	Exemption claimed	If exemption claimed, supplier's unique reference to certificates or other supporting information
O3-Q1	The questions **O3-Q2** to **O3-Q6**, need not be completed if your organization 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[3] e.g. accredited by UKAS, and can provide information to evidence this.	**YES** Y **NO** ☐	ISO 9001 ref: - FM20203 Issued by BSI UKAS ref 003 Copy provided on the web site https://www.pennyengineering.com

Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique referenceto relevant supporting information
O3-Q2	**Do you have a policy and organization for quality management?**	Evidence that your organization has and implements a quality managementpolicy that is authorized by the chief executive or equivalent that is periodically reviewed at a senior management level. The policy should be relevant to the nature and scale of the work to be undertaken and set out responsibilities for quality management throughout the organization.	Y	☐	We hold ISO 9001 and maintain a quality policy statement reviewed at least annually.
O3-Q3	**Do you have arrangements for ensuring that your quality management, including the quality of construction output and general performance, is effective in reducing/ preventing incidents of sub-standard delivery?**	Evidence that your organization keeps copies of documentation setting out quality management organization and procedures that meet currently agreed good. practice. These should include the arrangements for quality management throughout the organization. They should set out how the company will carry out its policy, with a clear indication of how the arrangements are communicated to employees/other workforce.	Y	☐	We hold ISO 9001 and maintain a quality policy statement reviewed at least annually.

Table 7 – Optional Question Module O3: Quality management policy and capability *(continued)*

Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique referenceto relevant supporting information
O3-Q4	**Do you have arrangements for providing your workforce with quality-related training and information appropriate to the type of work for which your organization is likely to bid?**	Evidence that your organization has in place and implements, training arrangements to ensure that its employees/other workforce has sufficient skills and understanding to discharge their various responsibilities. These arrangements should include a programme of training that will keep employees/other workforce up to datewith required knowledge about qualityrelated issues, including copies of job profiles; training manuals and training records.	Y		We operate a training and competence matrix, perform frequent appraisals, and maintain all training, competence and qualification records
O3-Q5	**Do you have procedures for periodically reviewing, correcting and improving quality performance?**	Evidence that your organization has a system for monitoring quality management procedures on an on-going basis. Your organization should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance.	Y		We hold ISO 9001 and maintain a quality assurance system reviewed at least annually and implement improvement objectives.
O3-Q6	**Do you have arrangements for ensuring that your own suppliers apply quality management measures that are appropriate to the work for which they are being engaged?**	Evidence that your organization 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 organizations supply chain.	Y		We monitor all supplier issues via our non-conformance system, this is reviewed on a monthly basis at both leadership and board level.

Table 8 – Optional Question Module O4: Building information modelling (BIM), policy and capability

***NOTE** This will be used for UK Government procured projects for Departments that have commencedimplementation of the BIM Strategy and may be used by other clients adopting a similar path.*

Q Ref	Exemptions	Exemption claimed	If exemption claimed, supplier's unique reference to certificates or other supporting information
O4-Q1	The questions **O4-Q2** to **O4-Q5** need not be completed if your organization holds a third-party certificate of compliance with PAS 1192-2:2013 *(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard[4] e.g. accredited by UKAS, and can provide information to evidence this. ***NOTE** Such accrediting organizations will be requiredto have specialized design management competences *updated version expected November 2017.*	**YES** ☐ **NO** N	

Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique referenceto relevant supporting information
O4-Q2	**Do you have the capability of working with a project using a "Common Data Environment" as described in PAS 1192-2:2013?**	Evidence that your organization understands the concept of a "Common Data Environment"as described in PAS 1192-2:2013 and is able to exchange information between supply chain members in an efficient and collaborative manner. If you have delivered a project in this way, you may use this to demonstrate your capability. Your explanation should be clear and concise.	☐	N	Not applicable for our type of work. Would work with lead contractor
O4-Q3	**Do you have documented policy, systems and procedures to achieve "Level2 BIM" maturity as defined in the government's BIM Strategy?** (see note to this Table)	Evidence that you or your organization has a policy authorized by the chief executive or equivalent that is regularly reviewed. The policy and procedures should be relevant to the nature and scale of the work to be undertaken.	☐	N	Not applicable for our type of work. Would work with lead contractor

Table 8 – Optional Question Module O4: Building information modelling (BIM), policy and capability *(continued)*

Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique referenceto relevant supporting information
O4-Q4	**Do you have the capability of developing and delivering or working to (depending upon the role(s) that this PQQ covers) a BIM Execution Plan (BEP) as described in PAS 1192-2:2013?**	Evidence that your organization understands the requirements of PAS 1192-2:2013, in particular with respect to BEP. This will include how to create reliable information and exchange it between supply chain members in an efficient and collaborative manner, and where appropriate, to the client, in the form specified (e.g. in accordance with the COBie UK 2012 standard and other typical client's information requirements). If you have delivered a project in this way, you may present an example BEP.		N	Not applicable for our type of work. Would work with lead contractor
O4-Q5	**Do you have arrangements for training employees in BIM-related skills and do you assess their capabilities?**	Evidence that your organization has in place training arrangements to ensure that its staff/workforce have sufficient skills and understanding to implement and deliver projects in accordance with the policy and procedures established to achieve "Level 2 BIM" maturity. Completed Construction Project Information Exchange (CPIx) templates referred to in the Project Implementation Plan (PIP), part of the BEP defined in PAS 1192-2:2013 would be considered. If this PQQ is for the first such project that you have considered undertaking, a training plan and evidence of how prior training outcomes in other areas have been assessed, would be considered.		N	Not applicable for our type of work. Would work with lead contractor

Table 9 – Core Question Module C3 for Public Sector procurement – ESPD option, Grounds for mandatory exclusion and non-payment of tax and social security contributions (mandatory and discretionary exclusion)

Q Ref.	Question	Response	
ESPD Option			
C3-QP1	Have you submitted a completed European Single Procurement Document (ESPD)? The questions in this module (Tables 9 and 10) need not be completed if you have provided a completed and signed European Single Procurement Document (ESPD).	**YES** ☐	**NO** N
Grounds for Mandatory Exclusion			
C3-QP2	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015 the detailed grounds for mandatory exclusion of an organization are set out on the *webpage* – https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf which should be referred to before completing these questions. Within the past five years, anywhere in the world, have you, your organizationor any person who has powers of representation, decision or control in the organization been convicted of any of the offences within the summary (**C3-QP2-1** to **C3-QP2-8**) below, and listed on the above referenced webpage?		
C3-QP2-1	Participation in a criminal organization	**YES** ☐	**NO** N
C3-QP2-2	Corruption	**YES** ☐	**NO** N
C3-QP2-3	Fraud	**YES** ☐	**NO** N
C3-QP2-4	Terrorist offences or offences linked to terrorist activities	**YES** ☐	**NO** N
C3-QP2-5	Money laundering or terrorist financing	**YES** ☐	**NO** N
C3-QP2-6	Child labour and other forms of trafficking human beings	**YES** ☐	**NO** N
C3-QP2-7	Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales or Northern Ireland	**YES** ☐	**NO** N
C3-QP2-8	Any other offence within the meaning of Article 57(1) of the Directive created after 26th February 2015 in England, Wales or Northern Ireland.	**YES** ☐	**NO** N

Table 9 – Core Question Module C3 for Public Sector procurement – ESPD option, Grounds for mandatory exclusionand non-payment of tax and social security contributions (mandatory and discretionary exclusion) *(continued)*

Q Ref.	Question	Response	
C3-QP2-9	If you have answered yes to any of questions **C3-QP2-1** to **C3-QP2-8**, provide further details for each such question, including: • date of conviction and the jurisdiction; • which of the grounds listed the conviction was for; • the reasons for conviction; • the identity of who has been convicted. If the relevant documentation is available electronically, provide: • the web address; • issuing authority; • precise reference of the documents.	Response N/A	
C3-QP2-10	If you have answered Yes to any of the questions **C3-QP2-1** to **C3-QP2-8**, explain, for each such question, what measures have been taken to demonstrate the reliability of the organization despite the existence of relevant grounds for exclusion (self-cleaning - see Regulation 57 (13 to 17)of the Public Contracts Regulations 2015).	Response N/A	
Non-payment of tax and social security contributions (mandatory and discretionary exclusion)			
C3-QP3	In respect of Regulation 57(3) and (4) of the Public Contracts Regulations 2015, the detailed grounds for mandatory and discretionary exclusion ofan organization are set out on the webpage: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf which should be referred to before completing these questions.		
C3-QP3-1	Has your organization met all its obligations relating to the payment of taxes or social security contributions, both in the UK and in the country in which the organization is established (if outside the UK)?	**YES** Y	**NO**
C3-QP3-2	If you responded "No" for question **C3-QP3-1**, was this through a judicialor administrative decision having final and binding effect?	**YES**	**NO**
C3-QP3-3	Have any tax returns submitted on or after 1 October 2012 been found tobe incorrect as a result of:		
C3-QP3-3(a)	• HMRC successfully challenging the potential supplier under the General Anti – Abuse Rule (GAAR) or the "Halifax" abuse principle;	**YES**	**NO** N
C3-QP3-3(b)	• a tax authority in a jurisdiction in which the potential supplier is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or "Halifax" abuse principle; or	**YES**	**NO** N
C3-QP3-3(c)	• a failure to notify, or failure of an avoidance scheme which the supplieris or was involved in, under the Disclosure of Tax Avoidance Scheme rules (DOTAS), VADR (Schedule 11A to the Value Added Tax Act 1994 (as amended by Schedule 1 to the Finance (no. 2) Act 2005) or any equivalent or similar regime in a jurisdiction in which the supplier is established.	**YES**	**NO** N

Table 9 – Core Question Module C3 for Public Sector procurement – ESPD option, Grounds for mandatory exclusionand non-payment of tax and social security contributions (mandatory and discretionary exclusion) *(continued)*

Q Ref.	Question	Response
C3-QP3-4	If you have answered No to **C3-QP3-1** and/or Yes to any of questions **C3-QP3-2** to **C3-QP3-3(c)**, provide further details for each instance, including: • whether you believe there to be any overriding reasons for non-payment; • the country or state concerned; • the amount concerned; • details of the means for a No response to question **C3-QP3-1** (if not included the response to **C3-QP3-2** or **C3-QP3-3(a) (b)** or **(c)**); • the date of the conviction or decision (if applicable); • in case of a conviction, insofar as established directly therein, the lengthof the period of exclusion; • whether you have paid, or have entered into a binding arrangement with a view to paying, "the taxes or social security contributions due" including where applicable any interest accrued and/or fines; and • if the relevant documentation is available electronically indicate the web address, issuing authority or body and precise reference of the document.	Response N/A

Table 10 – Core Question Module C3 for Public Sector procurement: grounds for discretionary exclusion

Q Ref	Question	Response	
C3-QP4	Regulation 57 (8) of the Public Contracts Regulations 2015 The detailed grounds for discretionary exclusion of an organization are set out on the webpage: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Discretionary_Exclusions.pdf which should be referred to before completing these questions. Within the past three years, anywhere in the world, have any of the situations identified in **C3- QP4-1** to **C3-QP4-8(e)** below applied, to you or your organization.		
C3-QP4-1	Breach of obligations in the field of environment, social and/or labour law.	**YES** ☐	**NO** N
C3-QP4-2	Bankruptcy, insolvency	**YES** ☐	**NO** N
C3-QP4-3	Guilty of grave professional misconduct	**YES** ☐	**NO** N

Table 10 – Core Question Module C3 for Public Sector procurement: grounds for discretionary exclusion *(continued)*

Q Ref	Question	Response	
C3-QP4-4	Distortion of competition	**YES**	**NO** N
C3-QP4-5	Aware of any conflict of interest	**YES**	**NO** N
C3-QP4-6	Been involved in the preparation of the procurement procedure	**YES**	**NO** N
C3-QP4-7	Performance deficiencies on a previous contract leading to earlytermination, damages or other sanctions	**YES**	**NO** N
C3-QP4-8	Misrepresentation and undue influence Do any of the following statements apply to your organization?		
C3-QP4-8(a)	The organization 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.	**YES**	**NO** N
C3-QP4-8(b)	The organization has withheld such information.	**YES**	**NO** N
C3-QP4-8(c)	The organization is not able to submit supporting documents required under Regulation 59 of the Public Contracts Regulations 2015.	**YES**	**NO** N
C3-QP4-8(d)	The organization has influenced the decision-making process of the contracting authority to obtain confidential information that may conferupon the organization undue advantages in the procurement procedure.	**YES**	**NO** N
C3-QP4-8(e)	The organization has negligently provided misleading information that may have a material influence on decisions concerning exclusion, selectionor award.	**YES**	**NO** N
C3-QP4-9	If you have answered Yes to any of questions **C3- QP4-1** to **C3-QP4-8(e)**, provide • details of the circumstances; • explain what measures have been taken to demonstrate the reliability of the organization despite the existence of a relevant ground for exclusion (Self cleaning - see Regulation 57 (13 to 17) of the Public Contracts Regulations 2015); • if relevant documentation is available electronically, indicate the web address, issuing authority or body and precise reference of the document.	Response N/A	

2.1 Application of C3 (business and professional standing) in Defence and SecurityPublic Contract Procurement

Table 11 – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Part 4 Regulation 23(1) – Mandatory exclusion

Q Ref	Information required and description of information expected, which will be taken into account in assessment		Answer	
C3-QD1	Do any of the circumstances as set out in Part 4 Regulation 23(1) of the Defence and Security Public Contracts Regulations 2011 (SI 1848), including any amendments to the legislation identified*, apply to youas the Applicant or to members of any Applicant Group? If yes, supply details in **C3-QD1-1** to **C3-QD-1(l),**as applicable.		**YES** ☐	**NO** N
		Response		
	C3-QD1-1 If your organization or any directors or partner or any other person who has powers of representation, decisionor control has been convicted of any of the following offences, provide information.	N/A		
	C3-QD1-1(a) conspiracy within the meaning of section 1 or section 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (NorthernIreland) Order 1983, or in Scotland the Offence of conspiracy, where that conspiracyrelates to participation in a criminal organization as defined in Article 2 of Council Framework Decision 2008/841/JHA.	N/A		
	C3-QD1-1(b) involvement in serious organized crime or directing serious organized crime within the meaning of section 28 or 30 of the Criminal Justice and Licensing (Scotland) Act 2010;	N/A		
	C3-QD1-1(c) corruption within the meaningof section 1 of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906*;	N/A		
	C3-QD1-1(d) the offence of bribery;	N/A		
	C3-QD1-1(e) bribery within the meaning of section 1, 2 or 6 of the Bribery Act 2010;	N/A		
	C3-Q1-1(f) bribery or corruption within the meaning of section 68 and 69 of the Criminal Justice (Scotland) Act 2003;	N/A		
	C3-QD1-1(g) fraud, where the offence relatesto fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union*, within the meaning of:	N/A		
	C3-QD1-1(g) (i) the offence of cheatingthe Revenue;	N/A		
	C3-QD1-1(g) (ii) the offence of conspiracyto Defraud;	N/A		

Table 11 – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Part 4 Regulation23(1) – Mandatory exclusion *(continued)*

		Response
	C3-QD1-1(g) (iii) fraud or theft within the meaning of the Theft Act 1968* the TheftAct (Northern Ireland) 1969*, the Theft Act 1978* or the Theft (Northern Ireland) Order 1978*;	N/A
	C3-QD1-1(g) (iv) fraud within the meaning of section 2, 3 or 4 of the FraudAct 2006;	N/A
	C3-QD1-1(g) (v) in Scotland, the offenceof fraud;	N/A
	C3-QD1-1(g) (vi) in Scotland, the offenceof theft;	N/A
	C3-QD1-1(g) (vii) fraudulent trading within the meaning of section 458 of theCompanies Act 1985, article 451 of the Companies Act (Northern Ireland) Order 1986 or section 993 of the Companies Act2006;	N/A
	C3-QD1-1(g) (viii) fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added TaxAct 1994*;	N/A
	C3-QD1-1(g) (ix) an offence in connectionwith taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;	N/A
	C3-QD1-1(g) (x) destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968* or section 19 of the Theft Act (Northern Ireland) 1969* or making, adapting, supplying or offering to supply articles for use in frauds withinthe meaning of section 7 of the Fraud Act2006;	N/A
	C3-QD1-1(g) (xi) in Scotland the offenceof uttering; or	N/A
	C3-QD1-1(g) (xii) in Scotland, the criminal offence of attempting to pervert the course of justice;	N/A
	C3-QD1-1(h) money laundering within the meaning of section 93A, 93B, or 93C of the Criminal Justice Act 1988, section 45, 46 or 47of the Proceeds of Crime (Northern Ireland) Order 1996 or the Money Laundering Regulations 2003 or money laundering or terrorist financing within the meaning of the Money Laundering Regulations 2007*;	N/A

Table 11 – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Part 4 Regulation23(1) – Mandatory exclusion *(continued)*

		Response
	C3-QD1-1(i) terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Framework Decision 2002/475/JHA*;	N/A
	C3-QD1-1(j) an offence in connection with proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994; or	N/A
	C3-QD1-1(k) in Scotland, the offence of incitement to commit any of the crimes described in Regulation 23(1);	N/A
	C3-QD1-1(l) any other offence within the meaning of Article 39(1) of the Defence and Security Procurement Directive 2009/81/EC as defined by the national law of any member State.	N/A

Table 12 – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Regulation 23(4) – Discretionary exclusion

Q Ref	Information required and description of information expected, which will be taken into account in assessment	Answer	
C3-QD2	Do any of the circumstances as set out in Part 4 Regulation 23(4) of the Defence and Security Public Contracts Regulations 2011 (SI 1848), apply to the Applicant or to members of any Applicant Group? If yes, please supply details below.	**YES** ☐	**NO** N
	Question	**Response**	
	C3-QD2-1 Is any of the following trueof your organization?	N/A	

Table 12 – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Regulation 23(4) –Discretionary exclusion *(continued)*

	Question	Response
	C3-QD2-1(a) being an individual,is a person in respect of whom a debt relief order has been made or is bankrupt or has had a receiving order or administration order or bankruptcy restrictions order or debtrelief restrictions order made againsthim or has made any composition or arrangement with or for the benefit of creditors or has made any conveyance or assignment for the benefit of creditors or appears unableto pay or to have no reasonable prospect of being able to pay, a debtwithin the meaning of Section 268 of the Insolvency Act 1986, or Article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditorsor become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate, or is the subject of any similar procedure under the law of any other State;	N/A
	C3-QD2-1(b) being a partnership constituted under Scots law, has granted a trust deed or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of its estate;	N/A
	C3-QD2-1(c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002 has passed a resolution or is the subject of an order by the court for the company's winding up otherwisethan for the purpose of *bona fide* reconstruction or amalgamation, or has had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company's business or any part of the company's business or is the subject of similar procedures under the law of any other State?	N/A
	C3-QD2-2 Has your organization	N/A

Table 12 – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Regulation 23(4) –Discretionary exclusion *(continued)*

	Question	Response
	C3-QD2-2(a) been convicted of a criminal offence relating to the conduct of its business or profession, including, for example, any infringements of any national or foreign law on protecting security of information or the export of defence or security goods;	N/A
	C3-QD2-2(b) committed an act of grave misconduct in the course of its business or profession, includinga breach of obligations regarding security of information or security of supply required by the contracting authority in accordance with Regulation 38 or 39 of the DSPCR during a previous contract;	N/A
	C3-QD2-2(c) been told by a contracting authority, that the Potential Provider does not to possessthe reliability necessary to exclude risks to the security of the United Kingdom*;	N/A
	C3-QD2-2(d) failed to fulfil obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the member State in which it is established;	N/A
	C3-QD2-2(e) failed to fulfil obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the member State in which it is established;	N/A

Table 13 – Examples of supplementary/additional questions including in respect of organizational technical and/or professional capability

Example numbering	Example question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Unique reference tosupporting information
S1-Q1	**Do you and/or your company have the technical ability to carry out the activities that are the subject of this prequalification questionnaire?**	Evidence of your company's capability of carrying out the activities described, by way ofa completed project record, demonstrating the skills, efficiency, experience and reliability of your organization. Responses will be evaluated with regard to provision of comprehensive information on the following: i) description of the project including project value and Client details and Client brief; ii) pre-construction services, including any pre-contract advice, surveys and design drawings undertaken by your company, pre-contractplanning, construction phase programming and management plans; iii) construction phase Health& Safety services, including examples of Construction Phase Health & Safety ProjectPlan and Health & Safety Inspections; iv) cost planning and management; v) specific working methods for providing, maintaining and monitoring a high level of service delivery and customersatisfaction; vi) details of meetings, communications and interactions between all partiesto ensure efficient project completion; vii) description of approach to handover, including awareness training of all relevant persons involved.	**Y**	☐	See section below for details

Table 13 – Examples of supplementary/additional questions including in respect of organizational technical and/orprofessional capability *(continued)*

Example numbering	Example question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Unique reference tosupporting information
S1-Q2	**Have you and/or your company carried out activities of the same or similar nature to that which is the subject of this prequalification questionnaire?**	A list of relevant activities carried out over the past 5 years togetherwith evidence of satisfactory completion for the most importantof those activities, indicating in each case: i) project size (e.g. by value); and ii) when and where the work or works were carried out.	Y		See section below for details
S1-Q3	**Have you and/or your company provided supplies or services of the same or similar nature to that which is the subject of this prequalification questionnaire?**	A statement of the principal supplies sold or services providedin the past 3 years including: i) the dates on which the supplies or services were provided. ii) the identity of the person to whom the supplies were sold or the services were provided; and iii) any certificate issued or countersigned by that person confirming the details of the contract for those supplies sold or services provided.	Y		Service contract with JD Wetherspoons Stonegate Fullers
S1-Q4	**Do you and/or your company have the necessary technical facilities to fabricate, supply and deliver the supplies and services that are the subject of this prequalification questionnaire?**	A statement of the professional qualifications held by you and/or other members of staff/workforce within your company who will be responsible for providing the services or carrying out the activities that are the subject of this prequalification questionnaire.	Y		See section below for details
S1-Q5	**Do you and/or your company have the necessary numbers of staff to fabricate, supply and deliver the activities, supplies and/or services that are the subject of this prequalification questionnaire?**	A statement of the average annual number of managerial staff and other workforce over the previous3 years.	Y		See section below for details

Detail for table 13 above

Note: - For the benefit of this document we do not disclose all individual contract values or locations, as with many of our products these are varied quantities either purchased on a batch and / or individual basis and is in many cases customer owned confidential information.

Below are samples of customers supplied and a general description of the type of work and product we provide, including brief Qualification, Competence & Capabilities of key staff

We hold the - "Royal Household" Royal Warrant of Appointment as Lifting Equipment Manufacturers and Engineers to Her Majesty the Queen

S1-Q1 –
Specific requested details are reviewed by management and provided as part of the project tendering process.

We have a highly specialised capability to deliver our products for both high volume and individual bespoke projects. Preceding the provision or construction and installation of our products, we provide expert advice help and consultation, perform surveys and design drawings, engage in pre-contract planning, construction phase programming and project plans. We also provide full Health and Safety arrangements in relation to our work including on site and customer requirements. Also perform inspections of work conducted both post and during installations. We also provide post installation information and guidance regarding use of our products, including training as required, service, repair, and maintenance.

S1-Q2 –
Goods lift - Install of Mezzanine, goods, and cellar lifts for large high street companies: -

- JD Wetherspoon
- Mitchells & Butlers
- Green king
- The Range
- Brew Dog
- Go Outdoors
- Occado
- Johnson Linens
- Police, fire, and ambulance services

Raising & lowering product
Alfred McAlpine contract at the Inner Temple London – Dismantle, service, repair, inspect and re-install lifting winches for chandelier maintenance.

Nuclear

Project	ILW Waste Compactor	High Integrity Fabrications	ILW Processing Facility
Size	£180k	£2m	£300k
Location	Hinkley Point A, Bridgwater	Cumbria	Hinkley Point A, Bridgwater
Contractor / Customer	Magnox Ltd	Sellafield Ltd	Magnox Ltd

Vehicle mounted Lifting Equipment – Install and provide goods for large utility and fleet-based companies: -

- Severn Trent Water
- Themes Water
- Anglian Water
- BT (Open Reach) 300 units PA
- Scottish Water
- Xylem
- Royal Mail
- Euro car parks

Approved Vehicle Converters for: - Ford, VW, Renault, and Nissan

S1-Q3 –
Service contracts in place with

- JD Wetherspoons
- Mitchells & Butler
- Stonegate
- Fullers
- Other customers as above

We provide records of service and records of thorough examinations

S1-Q4 –
Management Qualification, Competence & Capability
Engineering: -
Chartered Engineer,
MBA in mechanical engineering,
MBA Industrial Management

Finance: -
Chartered management accountant,
Corporate global management accountant

Senior Leadership / Director
BSc Hons Mining Engineering.
Engineer in Residence at Hallam University,
First Class Certificate of Competency to be the Manager of a Mine from Health and Safety Executive,
Giving and Receiving Feedback,
Site Health and Safety Management,
Planning Development,
Fire Safety,
Equality and Diversity,
Safer Recruitment

Compliance: -
NEBOSH,
IOSHH managing safety,
IRCA auditor,
Trained & experienced in Risk Assessment

Manufacturing: -
Coded Welder Fabricators to BS EN ISO 3834 procedures and
PCN level 2 weld inspectors
Various NVQ level 2 and 3 Welding and Fabrication, spray painting and machining qualifications

Install & Service
ALLMI – Lorry loader
ALLMI-Thorough examination
Asbestos awareness – annually refreshed
Harness trained
CITB Site Safety Plus
CITB Site supervisor card
Construction Skills CSCS
IPAF 3a & 3b
IPAF Operator trained
Manual Handling Training
OP Training mobile platforms
ALLMI Swing Lift Operator
CITB H&S Environment trained
PASMA Mobile tower access
CONFINED SPACES - L/RISK
Construction Skills CSCS
All Install, fitting and service engineers are trained on the product they work upon.

S1-Q5 –

Average 95 employees
3 X acting directors
5 X Leadership team members (inc. 3 x general / design managers, HR, and compliance managers)
20 X Fabricators & Welders
21 X install / service engineers

2 X PCN L2 inspectors
3 X machine operators
Other support staff i.e., buyers, sales, marketing & sales office, assembly & stores personnel.

Many of our staff are also multi skilled and can work across functions to help support and meet varying demand and workload.

Revision	Date	Author	Approver	Amendment
1	25/04/2022	P. Hill	R. Penny	New document.
2	16/06/2025	M. Gregory	R. Penny	Reviewed and updated document
3				
4				
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