

# Construction prequalification questionnaires



HM Government

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**ISBN** 978 0 580 79701 9

**ICS** 03.100.10; 91.010.01

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### **Publication history**

First published March 2013

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# Foreword

The development of this Publicly Available Specification (PAS) has been facilitated by BSI Standards Limited with the objective of streamlining and reducing the cost of prequalification in construction procurement processes.

This PAS is a revision of PAS 91:2010 and was sponsored by the Department for Business, Innovation and Skills (BIS) to take account of the experience of users of the first edition to keep abreast of current developments in construction procurement processes. It is expected to come into effect in January 2013

Acknowledgement is given to the following organizations who were involved in the development of this specification as members of the Steering Group.

- Altius Vendor Assessment Limited
- Building & Engineering Services Association
- Builder's Profile (UK) Limited
- Cabinet Office
- Contractors' Health and Safety Assessment Scheme (CHAS)
- Constructionline
- Department of Finance and Personnel Northern Ireland
- East Riding of Yorkshire Council
- Electrical Contractors' Association
- Federation of Master Builders
- Highways Agency
- Health and Safety Executive
- LaFarge Aggregates Limited
- LHC
- Ministry of Defence
- National Federation of Builders Limited
- Royal Institute of British Architects
- The Specialist Engineering Contractors Group
- The Safety Schemes in Procurement Forum

Acknowledgement is also given to the members of the wider Review Panel and Government Departments consulted in the development of this PAS.

This PAS is not to be regarded as a British Standard.

The PAS process enables a specification to be developed rapidly in order to fulfil an immediate need in industry or in the wider community. A PAS may be considered for further development as a British Standard, or constitute part of the UK input to the development of a European or International Standard.

This PAS will be withdrawn upon publication of its content in, or as, a British Standard or if an equivalent European standard is published.

## Publishing information

This PAS has been prepared and published by BSI, which retains its ownership and copyright. BSI reserves the right to withdraw or amend this document on receipt of authoritative advice that it is appropriate to do so. Once published, this PAS will be reviewed at intervals not exceeding two years, and any amendments arising from the review will be published as an amended Publicly Available Specification and publicized in *Update Standards*.

## Use of this document

It has been assumed in the preparation of this PAS that the execution of its provisions will be entrusted to a competent person or persons for whose use it has been produced.

## Presentational conventions

The provisions of this PAS are presented in roman (i.e. upright) type. Its requirements are expressed in sentences in which the principal auxiliary verb is “shall”. Its recommendations are expressed in sentences in which the principal auxiliary verb is “should”.

*Commentary, explanation and general informative material, e.g. Notes, are presented in italic type, and do not constitute a normative element.*

## Contractual and legal considerations

This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

Attention is drawn to the principle, applicable in British Standards generally, that they do not specifically require actions that are the subject of legal requirement. Therefore, this PAS does not include, for example, requirement to observe Health and Safety or Building Regulations, with which it is assumed users of this PAS will be in compliance.

**Compliance with this PAS does not in itself confer immunity from legal obligations.**

# Introduction

BSI PAS 91 is a publicly available specification (PAS) that sets out the content, format and use of questions that are widely applicable to prequalification for construction tendering.

To be eligible for prequalification, it is necessary that suppliers demonstrate that they possess or have access to the governance, qualifications and references, expertise, competence, health and safety/ environmental/financial and other essential capabilities to the extent necessary for them to be considered appropriate to undertake work and deliver services for potential buyers.

The use of this set of common criteria by those who undertake prequalification activity or provide prequalification services, will help to streamline tendering processes by:

- reducing the need for unproductive, repetitive completion of multiple prequalification processes;
- facilitating the identification of suitably qualified and experienced suppliers;
- increasing consistency between various prequalification databases;
- clarifying the distinction between criteria at the prequalification and contract award stages of the procurement process.

Throughout the construction supply chain, many suppliers seeking to demonstrate their suitability for delivering construction projects are required to submit to frequent prequalification processes involving many different questionnaire forms. This leads to considerable unnecessary effort and wastes time and money, not only for those suppliers but also for the buyers and assessment providers who have to read and evaluate the varied information provided in many different formats.

This proliferation of questions and question formats is exacerbated by the many procurement offices that choose for whatever reason, to undertake their own prequalification activity.

For suppliers seeking to establish themselves as prequalified to deliver construction projects the sheer number and variety of the questionnaires that they are presented with can be a continual drain on resources.

The consistent use of a set of common questions in all construction related prequalification activity would not only significantly reduce the resources invested by suppliers in such activity but would also enable assessment providers and procurement officers to more reliably source suppliers solely on the basis of the level of assurance they provide (i.e. the extent to which the answers to the questions given by the suppliers are checked and evaluated), and facilitate suppliers access to work where the risk levels are appropriate.



This PAS therefore specifies a set of questions that will enable the acquisition of the essential information required in all prequalification processes in a uniform and commonly usable, manner

**The benefits to buyers** of the introduction of PAS 91 to procurement prequalification processes can include considerable saving in time and money when compiling, using and comparing prequalification questionnaires, more supply chain certainty about basic prequalification requirements and that more suppliers (notably SME's) can be encouraged to take part, giving wider choice to clients. In addition, the universal use of this PAS could also help to raise the overall standard of communication, understanding and supplier capability across the construction sector.

**The benefits to suppliers** will include not only reduced cost of prequalification and an increase in the possibility of participating in additional prequalification processes but also freeing up often scarce resources to invest in potentially more profitable activity.

**For assessment providers**, the use of PAS 91 reduces the time spent developing and refining the question themselves and makes available more time to focus on developing and selling added value services to a better informed procurement client base which understands the benefits of applying PAS 91

**It is important to recognise that** the information obtained from applying PAS 91 does not remove a buyer's legal or other requirements to make further enquiries about the supplier's capabilities, beyond the questions in these modules, to satisfy specific requirements for projects, services or other activities. Provision is therefore made in PAS 91 for the inclusion of supplementary questions if necessary, subject to certain restrictions.

It is the intention that through the application of PAS 91 to prequalification services and processes, suppliers may have more control over the timing and extent of their prequalification activity and that meeting widely accepted prequalification criteria can and will be recognized by all potential buyers.

Inclusion on a prequalification database will not necessarily guarantee an invitation to tender or an engagement of services. It is recognized that those seeking to have work done may choose to select pre-qualified tenderers or may decide to advertise for tenders or expressions of interest for particular projects. However, with the prevalence of prequalification activity, it is suggested that by applying for prequalification through a scheme that conforms to PAS 91, those seeking to tender for construction contracts can access the tendering processes in a resource efficient manner. For those seeking to have contracts fulfilled, the use of PAS 91 can enhance the effectiveness and efficiency of construction tendering processes, whether it is used directly or through an external prequalification assessment provider. The use of PAS 91 is therefore recommended wherever construction-related prequalification is undertaken.

**The significant benefits from uniform application of the PAS 91:2013 question sets can only be fully realised with the availability of a single, universally shared electronic data base in which those seeking prequalification can securely store and manage their prequalification data and from which those seeking to build a list of suitable suppliers can draw the information they require upon submission of appropriate qualification.**

**Such a development is beyond the remit of the PAS 91 development but the question sets it provides have been prepared with the intention of facilitating such a data-base in due course.**



# 1 Scope

This publicly available specification (PAS) provides a set of questions to be asked by buyers of potential suppliers to enable prequalification for construction projects. This PAS also specifies requirements for the consistent use of those questions across projects of varying sizes and types including in respect of the OJEU procurement thresholds for public sector procurement. It is intended that the questions also be used by assessment providers in their intermediary role between buyers and suppliers.

It is widely recognised that excessive prequalification activity adds unacceptable cost, bureaucracy and confusion to the construction supply chain. Unnecessary bureaucracy associated with prequalification diverts both buyers' and suppliers' resources and attention away from proportionate and effective risk management. Buyers and assessment providers should therefore only require suppliers to provide the minimum evidence necessary to demonstrate the required capabilities.

This PAS provides construction sector stakeholders with prequalification questions that:

- are typical of the common questions that are relevant to construction-related procurement' and
- increase the scope for cross-recognition between various types of prequalification activity
- help to significantly reduce duplication, unnecessary paperwork and cost for both buyers and suppliers.

The question modules are presented in Clause 4 as a series of tables each containing questions relating to a particular aspect of supplier capability'. These questions are already widely asked across a range of commonly applied construction related prequalification processes. This PAS collates them and provides for their use in a uniform manner.

This PAS does not cover project-specific questions to suppliers, but does make provision for buyers or assessment providers to insert additional project-specific questions into the question modules if necessary, subject to certain restrictions and it provides a suggested format for their inclusion.

This PAS specifies what is to be asked in prequalification processes for construction-related procurement but not how the enquiry process is to be undertaken. The PAS aims to underpin widely accepted good practice in the construction sector. It is not intended to add to or 'gold plate' prequalification activity or to raise requirements or standards beyond those which are already widely accepted as good practice in the sector.



## 2 Terms and definitions

For the purposes of this PAS, the following definitions shall apply to the terms used in this specification.

### 2.1 area of capability

prequalification topic that enquires about the capability of suppliers and their supply chains – as defined by the relevant question module e.g. health and safety

### 2.2 assessment provider

entity undertaking prequalification of suppliers as a service to both buyers and suppliers

### 2.3 buyer

client or other entity procuring the services of supplier(s) contributing to the fulfilment of a construction related contract

### 2.4 client

entity (individual, company or organization) seeking or accepting the services of one or more suppliers as the first tier of a construction project supply chain

### 2.5 consortium

association of two or more entities (individuals, companies or organizations) pooling resources to participate in a common construction related project

### 2.6 construction

building, civil engineering or other structural engineering work

**NOTE** *The Construction (Design and Management) Regulations 2007, establish that construction work includes:*

- a) *the construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure or the use of corrosive or toxic substances), decommissioning, demolition or dismantling of a structure;*
- b) *the preparation for an intended structure, including site clearance, exploration, investigation*

*(but not site survey) and excavation, and the clearance or preparation of the site or structure for use or occupation at its conclusion;*

- c) *the assembly on site of fabricated elements to form a structure or the disassembly on site of prefabricated elements which, immediately before such disassembly, formed a structure;*
- d) *the removal of a structure or of any product or waste resulting from demolition or dismantling of a structure or from disassembly of prefabricated elements which, immediately before such disassembly, formed a structure and*
- e) *the installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure, but does not include the exploration for or extraction of mineral resources or activities preparatory thereto carried out at a place where such exploration or extraction is carried out.*

### 2.7 construction organization

group of individuals acting together in a structured, coordinated manner to achieve a common construction objective

**NOTE** *In PAS 91 this term is used generically to encompass firms, companies or other entities functioning as one element of a supply chain.*

### 2.8 consultant

entity providing expert advice or other services in relation to a construction project e.g. a designer

### 2.9 sub-consultant

entity engaged on consultancy work, directly under the control of a consultant

### 2.10 contractor

entity undertaking physical construction related activity at one or more construction sites in accordance with a formal arrangement made in advance

**NOTE** *A contractor is a supplier but a supplier is not necessarily a contractor.*

## 2.11 sub-contractor

entity engaged to undertake work for a contractor as part of a larger project being undertaken by that second entity

## 2.12 procurement [construction related]

commissioning of goods, works and services in relation to a construction related project

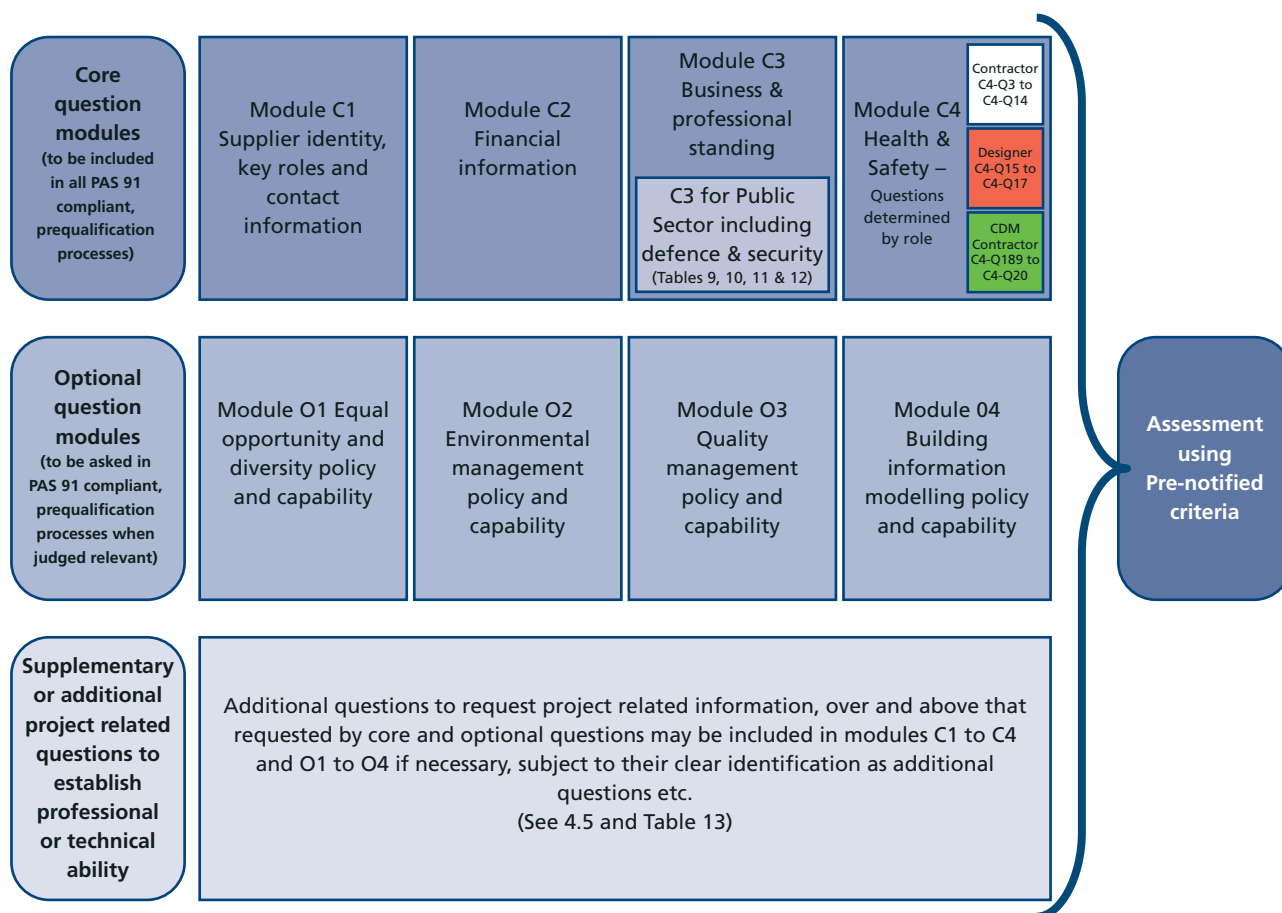
## 2.13 supplier

entity intending to provide goods, works or services for all or part of a construction related project.

## 2.14 supply chain

sequence of all entities engaged directly or indirectly, by a client to contribute goods, works and services to a construction related project

Figure 1 – PAS 91 compliant prequalification



### NOTES to Figure 1

A PAS compliant prequalification questionnaire (see Figure 1) will:

- make the criteria to be used in assessment of responses available to question respondents prior to their completion of the questionnaire (3.3).
- ask all the core questions set out in Tables 1 to 4 of Clause 4.1 (as required in 3.1.1.1);
- where the module topic is relevant use optional question modules selected from Tables 5 to 8 of Clause 4.2, (as required in 3.1.1.2);
- ask additional questions, but only if they are essential to projects likely to be undertaken, in accordance with 3.2;
- be designed to obtain only information that can be shown to be essential to demonstrate supplier suitability (as required in 3.1.1.3);
- provide for public sector or defence and security buyers, to use questions alternative to those in C3 in order to meet regulatory requirements (Tables 9 & 10 of 4.3 and Tables 11 & 12 of 4.4 (as required in 3.1.2)).

## 3 Rules for use of the question modules

### 3.1 Application of question modules

#### 3.1.1 General application

Prequalification processes claimed to be compliant with this PAS, shall:

**3.1.1.1** ask all the (core) questions set out in **Tables 1 to 4 of Clause 4.1**, without modification of the individual questions, only permitting exemption as shown in the module Table;

**3.1.1.2** at their discretion and where the module topic is relevant, use (optional) question modules selected from **Tables 5 to 8 of Clause 4.2**, asking all the questions included in the selected module(s) without modification and only permitting exemption as shown in the module Table;

**3.1.1.3** require from suppliers only that documentary evidence that they consider essential for assessing supplier compliance with the prequalification questions, having particular regard to reducing unnecessary documentation requirements for businesses.

#### 3.1.2 Application for Public Sector or Defence and Security Public Contract, procurement

Prequalification processes for projects in the Public Sector or in Defence and Security Public Contract procurement, claimed to be compliant with this PAS shall follow the requirements of **3.1.1** with the exception that the questions provided in **Table 3 of Clause 4.1** can be replaced by those in **Tables 9 and 10 of Clause 4.3** or **11 and 12 of Clause 4.4**, as necessary to meet legislative requirements.

### 3.2 Supplementary questions

PAS 91 recognises that beyond the scope of the questions included in PAS 91 a buyer may need to ask a supplier supplementary or additional questions notably for professional or technical reasons that relate to the type of project or other specific services likely to be undertaken. PAS 91 therefore permits the inclusion of questions in existing modules to accommodate this, subject to the requirements below.

Prequalification processes claimed to be compliant with this PAS shall only incorporate such supplementary or additional questions within the question modules provided in **4.1** and **4.2** if those questions are:

- designed to obtain information that can be shown to be necessary to prequalify for projects that are likely to be undertaken and that is clearly additional to that already addressed by the PAS 91 questions provided in the core and optional modules and
- numbered in a sequence that does not break the number sequence of the PAS 91 question module in which they are inserted.

### 3.3 Assessment criteria

The criteria used to assess supplier responses shall be derived solely from the information required from suppliers in their response to questions from the question modules in **4.1** and **4.2** (or in **4.3** or **4.4** where substituted) and to any supplementary questions that may be asked (**4.5**). This shall include responses obtained from referees nominated by suppliers. Buyers or assessment providers applying this PAS to their prequalification processes shall inform suppliers of any weighting or ranking given to the assessment criteria to be applied, prior to their responding to the questions.

**NOTE** *Ranking of questions should be avoided unless required by the particular circumstances of a contract. Any ranking of question modules considered necessary should be transparent, fair and equitable and not be used as a means to reserve contracts for those suppliers that may be preferred for reasons other than those provided for in this PAS.*

## 4 Core and optional questions

### 4.1 Application of core question modules

The questions provided in Tables 1 to 4 are core questions and shall be included as specified in Clause 3,

in every prequalification questionnaire for which compliance with this PAS is claimed.

**Table 1** – Core Question Module C1:Supplier identity, key roles and contact information

Q Ref.	Information required	Description of supporting information expected, which will be taken into account in assessment
C1-Q1	Name of legal entity or sole-trader	Unique name of legal entity or name of individual <i>(please see note re involvement of consortia)</i>
C1-Q2	Registered office address	C1-Q2-1 Address line 1 (Property name/number)
		C1-Q2-2 Address line 2
		C1-Q2-3 Address line 3
		C1-Q2-4 Town
		C1-Q2-5 County
		C1-Q2-6 Post code
C1-Q3	Contact Details for enquiries <i>(include address where projects would be administered from at C1-Q3-8 to 13, if different from that of the registered office (C1-Q2))</i>	C1-Q3-1 Title (Mr, Mrs, Ms etc)
		C1-Q3-2 Forename
		C1-Q3-3 Family name
		C1-Q3-4 Job title
		C1-Q3-5 e-mail
		C1-Q3-6 telephone number
		C1-Q3-7 fax number
		C1-Q3-8 Address line 1 (Property name/number)
		C1-Q3-9 Address line 2
		C1-Q3-10 Address line 3
		C1-Q3-11 Town
		C1-Q3-12 County
		C1-Q3-13 Post Code
C1-Q4	Registration number if registered with Companies House or equivalent	C1-Q4-1 Registration number with Companies House.
		C1-Q4-2 Registration number with equivalent body.
C1-Q5	Charity registration number	
C1-Q6	VAT registration number	

Table 1 – Core Question Module C1 – Supplier identity, key roles and contact information (*continued*)

Q Ref.	Information required	Description of supporting information expected, which will be taken into account in assessment
C1-Q7	Name of immediate parent company	
C1-Q8	Name of ultimate parent company	
C1-Q9	Type of organisation  Please see note below	<i>e.g. PLC; limited company; LLP, Other partnership; Sole trader; Other (please specify)</i>

**NOTE** Where prequalification is being made in the expectation that activity will be undertaken by a consortium, the applicant should identify the organization type and details, relevant to its own situation in addition to making reference to the fact that it expects to be supplying as part of a consortium and including cross reference to the likely consortium members. A prequalification application will be required for each consortium member.

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 if provided	Supplier's unique reference to relevant supporting information
C2-Q1	<i>Please select the one organization description that most closely matches your organization and provide information accordingly.</i>			
	<b>C2-Q1-1 Financial information for a start-up business that has not reported accounts to the Revenue or Companies House.</b>	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)	<input type="checkbox"/>	
	<b>C2-Q1-2 Accounts for an unincorporated business (sole traders and partnerships).</b>	Copy of the most recent accounts that contain turnover, profit before tax, and balance sheet (if prepared) covering either the most recent two year period of trading or if trading for less than two years, the period that is available. If accounts are not prepared, provide the relevant pages from the latest tax returns (self employment pages for sole traders, partnership pages for partnerships) together with the tax assessment.	<input type="checkbox"/>	
	<b>C2-Q1-3 Accounts for a small company or limited liability partnership with a turnover of below the audit threshold (currently £6.5 million) that is not required to prepare audited accounts.</b>	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.	<input type="checkbox"/>	

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

Q Ref.	Information required	Description of information expected, which will be taken into account in assessment	Tick if provided	Supplier's unique reference to relevant supporting information
	<p><b>C2-Q1-4 Accounts for a medium to large incorporated entity and all other organisations that are required to prepare audited accounts.</b></p> <p><b>C2-Q1-5 Accounts for other organisation types (e.g. not for profit entities, local authorities, housing associations, charities)</b></p>	<p>Copy of the most recent audited accounts for your organization covering either the most recent three year period of trading, or if trading for less than three years, the period that is available.</p> <p>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 not the case, an unaudited copy of the most recent accounts as described in C2-Q1-2 above should be provided.</p>	<input type="checkbox"/>          <input type="checkbox"/>	
C2-Q2	Insurance statement and Certificates	<b>Please provide the requested information in the response column</b>		<b>Response</b>
		C2-Q2-1 Employers liability insurance	C2-Q2-1-1 Policy No.	
			C2-Q2-1-2 Limit of indemnity	
			C2-Q2-1-3 Excess	
			C2-Q2-1-4 Limit for a single event	
			C2-Q2-1-5 Expiry date	
		C2-Q2-2 Public liability insurance	C2-Q2-2-1 Policy No	
			C2-Q2-2-2 Limit of indemnity	
			C2-Q2-2-3 Excess	
			C2-Q2-2-4 Limit for a single event	
			C2-Q2-2-5 Expiry date	
		C2-Q2-3 Professional Indemnity insurance (Where consultancy input involved)	C2-Q2-3-1 Policy No.	
			C2-Q2-3-2 Limit of indemnity	
			C2-Q2-3-3 Excess	
			C2-Q2-3-4 Expiry date	

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

C2-Q2	Insurance statement and Certificates	Please provide the requested information in the response column		Response
		C2-Q2-4 Product liability insurance (Where product is to be supplied)	C2-Q2-4-1 Policy No.	
C2-Q2-4-2 Limit of indemnity				
C2-Q2-4-3 Excess				
C2-Q2-4-4 Expiry date				

**NOTE 1 to Table 2** Where an Insurance type is claimed to be 'not in scope', it is essential that explanation supporting that claim be provided e.g. the explanation could support the fact that a particular type of insurance was not required for the work undertaken.

**NOTE 2 to Table 2** At the discretion of the buyer a minimum level of turnover may be asked for, however buyers should avoid insisting on requirements which may not be proportionate or relevant to the procurement, or which may discriminate against or be burdensome for SMEs or new providers It is acknowledged that the nature and extent of the accounts provided will be commensurate with the business requirements and legal obligations of the supplier.

Table 3 – Core Question Module C3: Business and professional standing

**There is no provision for exemption from answering these questions.** For all procurement situations other than that for the public sector including defence and security, procurement buyers shall require that suppliers in their responses to the questions in module C3, make known all pertinent information in respect of business related, criminal or civil court judgements against them and identify any ongoing or pending cases. For public sector procurement the process for obtaining this information is prescribed in regulation and Clause 4.3 of this PAS provides alternative questions aligned to the requirements of that regulation. For procurement in the scope of the Defence and Security Public Contract Regulations 2011, Clause 4.4 of this PAS provides the necessary alternative questions (see also **Annex B**).



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

Q Ref.	Core 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
C3-Q1	Has your company or any of its Directors and 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?	<i>Please provide 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.</i>	<input type="checkbox"/>	<input type="checkbox"/>	
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 the suppliers Product Liability Insurance policy requirements and been accepted by insurers?	<i>Please provide details of action and confirmation, with references of the relevant notification and insurer acceptance. Responses will be taken into account as part of the assessment process.</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C3-Q3	Has your company or any of its Directors and 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?	<i>Please provide details, including the status of the required action Responses will be taken into account as part of the assessment process.</i>	<input type="checkbox"/>	<input type="checkbox"/>	

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

C4-Q1	<b>C4-Q1-1 Exemptions and pertinent question selection:</b> If your organization meets the criteria identified in one of C4-Q1-1a) to C4-Q1-1c) below and you can provide the supporting evidence required, you do not need to complete questions C4-Q2 to C4-Q17 of this question module. If exemption is not claimed, please move to C4-Q2		<b>Exemption Claimed</b> <i>(Please tick as appropriate)</i>		Please provide copy of certificates or other supporting information
	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 conforms to PAS 91.		<input type="checkbox"/>		
	C4-Q1-1b) you have within the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum (see Annex C).		<input type="checkbox"/>		
	C4-Q1-1c) You hold a UKAS or equivalent, accredited independent third party certificate of compliance with BS OHSAS 18001.		<input type="checkbox"/>		
C4-Q2	<b>Role related question selection:</b> The questions asked in C4-Q3 to C4-Q17 are appropriate for particular construction roles and have been colour coded accordingly to assist identification. Please indicate below which role(s) best describes your organizations activity and then only provide responses to the questions colour coded to the role(s) you have selected. <b>NOTE</b> If your organization will potentially fill more than one role (e.g. Design and Build), please provide responses to the questions applying to all relevant roles (e.g. Designer and Contractor)		<input type="checkbox"/>		None required
	<b>ROLE IDENTIFIED</b>		YES	NO	
	C4-Q2-a) Contractor or Sub-Contractor (respond to unshaded questions C4-Q3 to C4-Q14)		<input type="checkbox"/>	<input type="checkbox"/>	
	C4-Q2-b) Designer (respond to red shaded question C4-Q15 to C4-Q17)		<input type="checkbox"/>	<input type="checkbox"/>	
	C4-Q2-c) CDM–Coordinator (respond to green shaded questions V4-Q17 to C4-Q20)		<input type="checkbox"/>	<input type="checkbox"/>	
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 demonstrate that you have a policy and organization for health and safety (H&S) management?	Please provide evidence of a periodically reviewed H&S policy, endorsed by the chief executive officer The policy should be relevant to the anticipated nature and scale of activity to be undertaken and set out responsibilities for H&S management at all levels in the organization  <i>(Organizations with fewer than 5 employees, please see Note 2 to this Table)</i>	<input type="checkbox"/>	<input type="checkbox"/>	

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-Q4	Are you able to describe your arrangements for ensuring that your H&S measures are effective in reducing/ preventing incidents, occupational ill-health and accidents?	Please provide details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken and show clearly how these arrangements are communicated to the workforce.  <i>(Organizations with fewer than 5 employees, please see Note 2 to this Table)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q5	Do you have access to competent H&S advice/assistance – both general and construction/sector related?	Please provide evidence of how your organization obtains access to competent H&S advice.  <i>NOTE Access to competent in-house advice, in whole or part, is preferred. It is essential that H&amp;S advisor(s) are able to provide general H&amp;S advice and that (from the same source or elsewhere) advice relating to construction H&amp;S issues is accessible as required.</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q6	Do you have a policy and process for providing your staff/ workforce with training and information appropriate to the types of activity that your organization is likely to undertake?	Provide evidence that your organization has in place and implements, training arrangements to ensure that its staff/ workforce has sufficient skills and understanding to discharge their various duties. This should include refresher training (e.g. a CPD programme) that will keep the workforce updated on good H&S practice applicable throughout the company.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q7	Does your staff/ workforce have H&S or other relevant qualifications and experience sufficient to implement your H&S policy to a standard appropriate to the activity that your organization is likely to undertake.	You will be expected to demonstrate and provide evidence on request, that your staff/ workforce possesses suitable qualifications and experience for the tasks assigned to them, unless there are specific situations where they need to work under controlled and competent supervision e.g trainees.	<input type="checkbox"/>	<input type="checkbox"/>	

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-Q8	Do you check, review and where necessary improve your H&S performance?	Please provide evidence that your organization has in place and implements, an ongoing system for monitoring H&S procedures on an ongoing basis and for periodically reviewing and updating that system as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q9	Do you have procedures in place to involve your staff/ workforce in the planning and implementation of H&S measures?	Please provide evidence that your organization has in place and implements a means of consulting with its staff/ workforce on H&S matters and show how staff/ workforce comments, including complaints are taken into account.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q10	Do you routinely record and review accidents/ incidents and undertake follow-up action?	Please provide access to records of accident rates and frequency for all RIDDOR reportable (see note 5 to this Table)- events for at least the last three years. Demonstrate that your organization has in place a system for reviewing significant incidents, and recording action taken as a result including action taken in response to any enforcement.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q11	Do you have arrangements for ensuring that your suppliers apply H&S measures to a standard appropriate to the activity for which they are being engaged?	You will be expected to demonstrate and provide evidence on request, that your organization has and implements, arrangements for ensuring that H&S performance throughout the whole of your organization's supply chain is appropriate to the work likely to be undertaken.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q12	Do you operate a process of risk assessment capable of supporting safe methods of work and reliable project delivery where necessary?	You will be expected to demonstrate and provide evidence on request that your organization has in place and implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work ('method statements'). You should be able to provide indicative examples. The identification and control of any significant occupational health (not just safety) issues should be prominent.	<input type="checkbox"/>	<input type="checkbox"/>	

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
		<p>(Organizations with fewer than 5 employees, See Note 2 to this Table)</p> <p><b>NOTE</b> Risk assessments should focus on the needs of the particular job and should be proportionate to the risks arising from the work to be undertaken. In addition to ensuring risk management, the need to reduce documentary requirements on micro-businesses in particular should be taken into account by buyers and assessment providers.</p> <p>Excessive bureaucracy associated with competency assessment can obscure the real risk issues and divert effort away from them.</p>			
C4-Q13	Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?	Please provide explanation of how co-operation and co-ordination of the work is achieved in practice, and how other organizations are involved in drawing up method statements/safe systems of work etc. including arrangements for response to emergency situations. This should include details of how comments and input from your suppliers will be taken into account and how external comments including any complaints, will be responded to.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q14	Do you have arrangements for ensuring that on-site welfare provision meets legal requirements and the needs/expectations of your employees?	You will be expected to demonstrate and provide evidence on request about how you ensure suitable welfare facilities will be in place before starting work on site, whether provided by a site-specific arrangement or your own organizational measures.	<input type="checkbox"/>	<input type="checkbox"/>	

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-Q15 Designers only	Do you ensure that you and your workforce have the appropriate capabilities to enable you and them to discharge your / their legal duties under health and safety legislation?	Provide evidence of your CPD programme and / or examples of training and development plans (which may include in-house training) Please provide evidence of how your organization obtains H & S information, including how you maintain your technical knowledge and understanding of developments in construction . Provide commentary on how you match individual capabilities with the work undertaken	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q16 Designers only	Do you have and implement, arrangements for meeting the designer duties under the Construction Design and Management Regulations?	<p>Please provide evidence showing how you address <b>C4-Q16-1</b> to <b>C4-Q16-4</b> below. Please provide examples for each showing how risk was reduced through design.</p> <p><i>NOTE Emphasis should be on practical measures that reduce particular risks arising from the design, not on lengthy procedural documentation highlighting generic risks.</i></p> <p><b>C4-Q16-1</b> ensure co-operation and co-ordination of design work within the design team and with other designers/contractors;</p> <p><b>C4-Q16-2</b> ensure hazards are eliminated and show how remaining risks are managed, (with reference to buildability, maintainability and use);</p> <p><b>C4-Q16-3</b> ensure that any structure that will be used as a workplace will meet relevant requirements of the Workplace (Health, Safety and Welfare) Regulations 1992;</p> <p><b>C4-Q16-4</b> manage design changes.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q17 Designers only	Do you check, review and where necessary improve your H & S performance?	Please provide evidence that your organization has in place and implements, an ongoing system for monitoring H&S procedures and for periodically reviewing and updating that system as necessary for example through project design review (during and post-completion).	<input type="checkbox"/>	<input type="checkbox"/>	

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 CDM coordinators only	Are you able to provide evidence of your field of knowledge and experience in the design and construction process?	Please provide evidence, in the form of real examples rather than by generic documents, of actual attainments which should indicate competence as in the case of: <ul style="list-style-type: none"> <li>• Professionally Qualified to Chartered level (Note 6);</li> <li>• Membership of a relevant construction institution, e.g. CIAT; CIBSE; CIOB; ICE; IET; IMechE; IStructE; RIBA; RICS.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q19 CDM coordinators only	Are you able to provide evidence of your knowledge and experience of H&S in construction?	Please provide examples of actual attainments which should indicate competence as in the case of validated CPD in this field, and typical additional qualifications e.g. NEBOSH Construction Certificate; Member of health and safety register administered by the ICE (Note 7); Membership of Association for Project Safety; Membership of Institution of Construction Safety.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q20 CDM coordinators only	Do you review and develop your effectiveness at delivering the coordination role?	Please provide evidence that your organization has in place and implements, an ongoing system for monitoring performance including post project review.	<input type="checkbox"/>	<input type="checkbox"/>	

**NOTE 1 Compatibility with Approved Code of Practice (ACoP) and the Construction (Design and Management) Regulations 2007**

The core questions in module 4 are compatible with the questions on supplier capability as shown in the 'Stage 1' core criteria of the HSE's Approved Code of Practice (ACoP) to the Construction (Design and Management) Regulations 2007 (CDM 2007). The HSE CDM 2007 ACoP recommends that health and safety competency assessments of suppliers should be carried out as a two stage process:

- **Stage 1:** An assessment of the supplier's organization and arrangements for health and safety, to determine whether these are sufficient to enable the supplier to carry out the activity safely and without risk to health. Stage 1 assessments are within the scope of PAS 91.

- **Stage 2:** An assessment of the supplier's experience and track record, to establish that it is capable of carrying out the activity required (i.e. project, activity or service-specific enquiries), that it recognises its limitations and how these should be overcome, and it appreciates the risks associated with the activity and how these should be effectively controlled. Stage 2 assessments are outside the scope of PAS 91, although in the public sector only stage 2 questions relating to previous experience will be asked in the PQQ if required by law.

**NOTE 2** Organizations with fewer than five employees are not legally required to have a documented policy statement. If a supplier is in this category it does not have to write down its policy, organisation or arrangements. However, it does need to be able to demonstrate that its policy and arrangements are adequate in relation to the type of activity likely to be

*undertaken and assessments of competence will be made easier if when procedures are clear and accessible.*

**NOTE 3** *Assessors should not necessarily require evidence of all the examples cited in column 3 of the Table. Suppliers should only be required to produce enough evidence to show that they meet the criteria described, taking account of the nature of projects likely to be involved and the risks which the activity entails. This requires assessors to make a judgement as to whether the evidence provided meets the standard to be achieved. If that judgement is reasonable, and clearly based on the evidence requested assessors cannot be criticised if the supplier appointed subsequently proves not to be competent when carrying out the activity.*

**NOTE 4** *Asking the questions in the module above does not remove the buyer's requirement to make further enquiries about the supplier's health and safety capability, as required for specific projects, services or other activities. These may include, for example, an assessment of the supplier's experience to establish that it:*

- *is capable of carrying out the activity;*
- *recognises its limitations and how these should be overcome;*
- *and it appreciates the risks involved and how these should be reduced.*

**NOTE 5** *RIDDOR: the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995.*

**NOTE 6** *The terms 'Designer' and 'CDM co-ordinator' relate to the professional function to be provided by the supplier, not to the type of organization. These questions align with the requirements for evidence in the ACoP to the CDM Regulations 2007. They cover the Stage 1 assessment of capability only (CDM 2007).*

**NOTE 7** *Chartered membership of a recognised construction-related institution.*

**NOTE 8** *Open to any member of a construction-related institution.*



## 4.2 Application of optional question modules

The questions provided in Tables 5 to 8 constitute optional modules that can be included where relevant but where included they shall be applied as specified in Clause 3 in every prequalification questionnaire for which compliance with this PAS is claimed.



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

Q. No.	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	<p>As an Employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010?</p> <p>Applies to both public and private procurement</p>	Please provide copies of:	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1-1 relevant instructions or written statement/evidence of relevant actions	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1-2 relevant guidance or written statement/evidence of relevant actions.	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1-3 relevant policies/literature or written statement/evidence of relevant actions	<input type="checkbox"/>	<input type="checkbox"/>	
		O1-Q1 4 evidence of where you believe these policies have made a difference	<input type="checkbox"/>	<input type="checkbox"/>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	
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?	Please provide details of any findings.	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q4	In the last three years has your organization been the subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination?	Please provide details of any investigations.	<input type="checkbox"/>	<input type="checkbox"/>	

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

Q. No.	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-Q5	If the answer to question 3 and / or 4 is "Yes", what steps did your organization take as a result of that finding or investigation?	Please provide details/evidence of remedial action.	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q6	What does your organization do to ensure that equality and diversity is embedded within your organization?	Please provide copies of any relevant policies or written statement/evidence of relevant actions.	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q7	Do you actively promote good practice in terms of eliminating discrimination in all forms through:  O1-Q7-1 guidance to your employees/ suppliers concerned with recruitment, training and promotion?  O1-Q7-2 making guidance or policy documents concerning how the organization embeds equality and diversity available to employees/ sub-contractors, recognised trade unions or other representative groups of employees?  O1-Q7-3 appropriate recruitment advertisements or other literature?	Please provide:  In respect of O1-Q7-1, copies of any relevant instructions or written statement/evidence of relevant actions.  In respect of O1-Q7-2, copies of any relevant guidance or written statement/evidence of relevant actions.  In respect of O1-Q7-3, copies of any relevant policies/literature or written statement/evidence of relevant actions.	<input type="checkbox"/>	<input type="checkbox"/>	

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

Q. No.	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-Q1	<p><b>Exemption:</b> The questions in this module need not be completed if your organization holds a UKAS (or equivalent) accredited independent third party certificate of compliance with BS EN ISO 14001 or a valid EMAS certificate, and can provide the supporting evidence requested.</p>	<p><b>Exemption Claimed</b></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<p><i>If yes, please provide copy of certificate.</i></p>		
O2-Q2	<p><b>Do you have a documented policy and organization for the management of construction-related environmental issues?</b></p>	<p>Please provide evidence that you or your organization has an environmental management policy authorized by the Chief executive or equivalent and 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</p>	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q3	<p><b>Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment?</b></p>	<p>Please provide evidence that your organization's environmental policy implementation plan provides information as to 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:</p> <ul style="list-style-type: none"> <li>• sustainable materials procurement;</li> <li>• waste management;</li> <li>• energy management.</li> </ul> <p>This should include the arrangements for responding to, monitoring and recording environmental incidents and emergencies and complaints.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q4	<p><b>Do you have arrangements for providing employees who will engage in construction, with training and information on construction-related environmental issues?</b></p>	<p>Please provide evidence that your organization has in 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 the workforce updated on relevant legal requirements and good environmental management practice.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

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

Q. No.	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-Q5	Do you check, review and where necessary improve your environmental management performance?	Please provide evidence that your organization has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval.	<input type="checkbox"/>	<input type="checkbox"/>	
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	Please provide 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.	<input type="checkbox"/>	<input type="checkbox"/>	

*NOTE EMAS is the European Eco-management and Audit Scheme, sponsored by the European Commission (see [http://ec.europa.eu/environment/emas/index\\_EN.htm](http://ec.europa.eu/environment/emas/index_EN.htm))*



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

Q. No.	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
O3-Q1	<b>Exemption:</b> The questions O3-Q2 to O3-Q6, need not be completed if your organization holds a UKAS (or equivalent) accredited independent third party certificate of compliance with BS EN ISO 9001 and can provide the supporting evidence requested.	<p><b>Exemption Claimed</b></p> <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>	<i>If yes, please provide copy of certificate.</i>		
O3-Q2	<b>Do you have a policy and organization for quality management?</b>	Please provide evidence that your organization has and implements a quality management policy that is authorised by the Chief Executive or equivalent and 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	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q3	<b>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?</b>	Please provide 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 the workforce.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q4	<b>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?</b>	Please provide evidence that your organization has in place and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to discharge their various responsibilities. These arrangements should include a programme of training that will keep the workforce up to date with required knowledge about quality related issues, including copies of job profiles; training manuals and training records.	<input type="checkbox"/>	<input type="checkbox"/>	

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

Q. No.	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
O3-Q5	<b>Do you have procedures for periodically reviewing, correcting and improving quality performance?</b>	Please provide 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.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q6	<b>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?</b>	Please provide 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.	<input type="checkbox"/>	<input type="checkbox"/>	



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

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

<b>Exemptions</b>		<b>Exemption Claimed</b>	<b>Please provide copy of certificates or other supporting information.</b>		
<p>The questions in this module need not be completed if your organization holds a third party certificate of compliance with BS PAS 1192:2:2013 (<i>due for publication in 2013</i>) from an organisation with a related UKAS accreditation, or equivalent.</p> <p><i>NOTE Such accrediting organizations will be required to have specialized design management competences.</i></p>		<p><b>Yes</b> <input type="checkbox"/></p> <p><b>No</b> <input type="checkbox"/></p>			
<b>Q. No.</b>	<b>Question</b>	<b>Description of information in support of response, which will be taken into account in assessment</b>	<b>YES</b>	<b>NO</b>	<b>Supplier's unique reference to relevant supporting information</b>
<b>O4-Q1</b>	<p><b>Do you have the capability of working with a project using a "Common Data Environment" as described in PAS 1192:2:2013?</b></p>	<p>You will be expected to demonstrate 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.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O4-Q2</b>	<p><b>Do you have documented policy, systems and procedures to achieve "Level 2 BIM" maturity as defined in the government's BIM Strategy?</b></p> <p>(see note to this Table)</p>	<p>You will be expected to provide evidence that you or your organization has a policy authorized by the Chief Executive or equivalent and regularly reviewed. The policy and procedures should be able to be applied to both large and small projects efficiently.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

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

Q. No.	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
O4-Q3	<b>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?</b>	You will be expected to demonstrate 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 (EG 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.	<input type="checkbox"/>	<input type="checkbox"/>	
O4-Q4	<b>Do you have arrangements for training employees in BIM related skills and do you assess their capabilities?</b>	You will be expected to demonstrate 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 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.	<input type="checkbox"/>	<input type="checkbox"/>	

**NOTE** Level 2 BIM describes a specific range of BIM capabilities (see PAS 1192-2:2013). These involve developing and sharing 3D construction project-related data, via an electronic 'BIM environment', with others involved in a project. This includes an as-built 'Data Drop' for use by the Client. The electronic BIM environment allows design models (digital objects and supporting information about these objects) to be shared. Each model requires platform software and a database of object information.



### 4.3 Application of C3 (business and professional standing) in Public Sector procurement

The questions provided in Tables 9 and 10 shall be used in place of those in Table 3 for public sector procurement in the scope of the Public Contract Regulations 2006. Procurements in scope of the Defence and Security Public Contract Regulations 2011 shall substitute Tables 11 and 12 for Table 3.

**Table 9** – Core Question Module C3 for Public Sector procurement – Mandatory exclusion

Q Ref.	Information required, <i>which will be taken into account in assessment</i>	Answer	
C3-QP1	Do any of the circumstances as set out in Part 4 Regulation 23(1) of the Public Contracts Regulations 2006 (SI 2006 No:5) as amended by the Public Contracts (Amendment) Regulations 2009 (SI 2009/2992), apply to you as the applicant or to members of any applicant Group or any envisaged sub-contractor? If yes, please supply details in response to relevant question(s) below.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
		<b>Response</b>	
	<b>C3-QP1-1</b> If your organisation or any directors or partner or any other person who has powers of representation, decision or control has been convicted of any of the following offences, please provide information.		
	<b>C3-QP1-1a) conspiracy:</b> within the meaning of section 1 or 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983 where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA.		
	<b>C3-QP1-1b) corruption:</b> within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906; where the offence relates to active corruption;		
	<b>C3-QP1-1c) bribery:</b> the offence of bribery, where the offence relates to active corruption;		
	<b>C3-QP1-1d) bribery:</b> within the meaning of section 1 or 6 of the Bribery Act 2010.		

Table 9 – Core Question Module C3 for Public Sector procurement – Mandatory exclusion (*continued*)

	Response
<b>C3-QP1-1e) fraud:</b> where the offence relates to fraud affecting the European Communities' financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Union, within the meaning of:	
<b>C3-QP1-1e)(i)</b> the offence of cheating the Revenue;	
<b>C3-QP1-1e)(ii)</b> the offence of conspiracy to defraud;	
<b>C3-QP1-1e)(iii)</b> fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) Order 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;	
<b>C3-QP1-1e)(iv)</b> fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;	
<b>C3-QP1-1e)(v)</b> fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;	
<b>C3-QP1-1e)(vi)</b> an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;	
<b>C3-QP1-1e)(vii)</b> destroying, defacing or concealing of documents or procuring the extension 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;?	
<b>C3-QP1-1e)(viii)</b> fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or	

**Table 9** – Core Question Module C3 for Public Sector procurement – Mandatory exclusion (*continued*)

	Response
<b>C3-QP1-1e)(ix)</b> making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of the Fraud Act 2006;	
<b>C3-QP1-1f)</b> money laundering within the meaning of the Proceeds of Crime Act 2002:	
<b>C3-QP1-1f)(i)</b> an offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996; or	
<b>C3-QP1-1f)(ii)</b> an offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994; or	
<b>C3-QP1-1-g)</b> any other offence within the meaning of Article 45(1) of Directive 2004/18/EC as defined by the national law of any relevant state.	

**NOTE to Table 9** Regulation requires that public sector procurers exclude any applicant from the tender process who satisfies any of the criteria for rejection set out in Part 4 Regulation 23(1) of the Public Contracts Regulations 2006. It is therefore essential that entities applying for prequalification are required to confirm that none of the circumstances set out in Part 4 Regulation 23(1) of the Public Contracts Regulations 2006 apply to them or any member of an applicant group that they represent.

Table 10 – Core Question Module C3 for Public Sector procurement – Discretionary exclusion

Q Ref.	Information required and <i>description of information expected, which will be taken into account in assessment</i>	Answer	
C3-QP2	Do any of the circumstances as set out in Part 4 Regulation 23(4) of the Public Contracts Regulations 2006 (SI 2006 No:5) as amended by the Public Contracts (Amendment) Regulations 2009 (SI 2009/2992), apply to the Applicant, members of the Applicant Group or any envisaged sub-contractor? If yes, please supply details below.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	<b>C3-QP2-1</b> Is any of the following true of your organisation?	Response	
	<b>C3-QP2 1(a)</b> 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 debt relief restrictions order made against him 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 unable to pay or to have no reasonable prospect of being able to pay, a debt within 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 creditors or 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;		
	<b>C3-QP2 1(b)</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; or		

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

	<p><b>C3-QP2 1(c)</b> 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 otherwise than 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?</p>	
	<p><b>C3-QP2-2</b> Has your organisation</p>	<p>Response</p>
	<p><b>C3-QP2-2(a)</b> been convicted of a criminal offence relating to the conduct of its business or profession.</p>	
	<p><b>C3-QP2-2(b)</b> committed an act of grave misconduct in the course of its business</p>	
	<p><b>C3-QP2-2(c)</b> 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 relevant State in which you are established; or</p>	
	<p><b>C3-QP2-2(d)</b> 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 you are established;</p>	

**NOTE to Table 10** *The Authority is entitled to exclude applicants from participating in this procurement if any of the above apply but it may decide to allow the applicant to proceed further. If the applicant cannot answer 'No' to every question it is possible that its application might not be accepted. In the event that any of the following do apply, the applicant should set out (in a separate Annex) full details of the relevant incident and any remedial action taken subsequently. The information provided will be taken into account by the Authority in considering whether or not to allow the applicant to proceed further.*

#### 4.4 Application of C3 (business and professional standing) in Defence and Security Public 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 <i>description of information expected, which will be taken into account in assessment</i>	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), apply to you as the Applicant or to members of any Applicant Group? If yes, please supply details below.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
		<b>Response</b>	
	<b>C3-QD1-1</b> If your organisation or any directors or partner or any other person who has powers of representation, decision or control has been convicted of any of the following offences, please provide information.		
	<b>C3-QD1-1(a)</b> 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 (Northern Ireland) Order 1983, or in Scotland the Offence of conspiracy, where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA;		
	<b>C3-QD1-1(b)</b> involvement in serious organised crime or directing serious organised crime within the meaning of section 28 or 30 of the Criminal Justice and Licensing (Scotland) Act 2010;		
	<b>C3-QD1-1(c)</b> corruption within the meaning of section 1 of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906*;		
	<b>C3-QD1-1(d)</b> the offence of bribery;		
	<b>C3-QD1-1(e)</b> bribery within the meaning of section 1, 2 or 6 of the Bribery Act 2010;		
	<b>C3-Q1-1(f)</b> bribery or corruption within the meaning of section 68 and 69 of the Criminal Justice (Scotland) Act 2003;		

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

	Response
<b>C3-QD1-1(g)</b> fraud, where the offence relates to 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:	
<b>C3-QD1-1(g) (i)</b> the offence of cheating the Revenue;	
<b>C3-QD1-1(g) (ii)</b> the offence of conspiracy to defraud;	
<b>C3-QD1-1(g) (iii)</b> fraud or theft within the meaning of the Theft Act 1968* the Theft Act (Northern Ireland) 1969*, the Theft Act 1978* or the Theft (Northern Ireland) Order 1978*;	
<b>C3-QD1-1(g) (iv)</b> fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006;	
<b>C3-QD1-1(g) (v)</b> in Scotland, the offence of fraud;	
<b>C3-QD1-1(g) (vi)</b> in Scotland, the offence of theft;	
<b>C3-QD1-1(g) (vii)</b> fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies Act (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;	
<b>C3-QD1-1(g) (viii)</b> fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994*;	
<b>C3-QD1-1(g) (ix)</b> an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;	

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

	Response
<b>C3-QD1-1(g) (x)</b> 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 within the meaning of section 7 of the Fraud Act 2006;	
<b>C3-QD1-1(g) (xi)</b> in Scotland the offence of uttering; or	
<b>C3-QD1-1(g) (xii)</b> in Scotland, the criminal offence of attempting to pervert the course of justice;	
<b>C3-QD1-1(h)</b> money laundering within the meaning of section 93A, 93B, or 93C of the Criminal Justice Act 1988, section 45, 46 or 47 of 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*;	
<b>C3-QD1-1(i)</b> terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Framework Decision 2002/475/JHA*;	
<b>C3-QD1-1(j)</b> 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	
<b>C3-QD1-1(k)</b> in Scotland, the offence of incitement to commit any of the crimes described in Regulation 23(1);	
<b>C3-QD1-1(l)</b> 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.	

\* including any amendments to the legislation identified.



**NOTE to Table 11** Regulation requires that Defence and Security Public Contracts procurers exclude any applicant from the tender process who satisfies any of the criteria for rejection set out in Part 4 Regulation 23(1) of the Public Contracts Regulations 2006. It is therefore essential that entities applying for prequalification are required to confirm that none of the circumstances set out in Part 4 Regulation 23(1) of the Public Contracts Regulations 2006 apply to them or any member of an applicant group that they represent.

**Table 12** – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Part 4 Regulation 23(1) – 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 <input type="checkbox"/>	NO <input type="checkbox"/>
	<b>C3-QD2-1</b> Is any of the following true of your organisation?	Response	
	<b>C3-QD2-1(a)</b> 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 debt relief restrictions order made against him 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 unable to pay or to have no reasonable prospect of being able to pay, a debt within 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 creditors or 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;		

**Table 12** – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Part 4 Regulation 23(1) – Discretionary exclusion (*continued*)

	<b>C3-QD2-1 Is any of the following true of your organisation?</b>	<b>Response</b>
	<b>C3-QD2-1(b)</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;	
	<b>C3-QD2-1(c)</b> 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 otherwise than 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?	
	<b>C3-QD2-2 Has your organisation</b>	<b>Response</b>
	<b>C3-QD2-2(a)</b> 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;	

**Table 12** – Core Question Module C3 for Defence and Security Public Contract Regulations 2011 Part 4 Regulation 23(1) – Discretionary exclusion (*continued*)

	<p><b>C3-QD2-2(b)</b> committed an act of grave misconduct in the course of its business or profession, including a 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;</p>	
	<p><b>C3-QD2-2(c)</b> been told by a contracting authority, that the Potential Provider does not to possess the reliability necessary to exclude risks to the security of the United Kingdom*;</p>	
	<p><b>C3-QD2-2</b> Has your organisation</p>	<p>Response</p>
	<p><b>C3-QD2-2(d)</b> 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;</p>	
	<p><b>C3-QD2-2(e)</b> 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;</p>	

**NOTE to Table 12** *The Authority is entitled to exclude applicants from participating in this procurement if any of the above apply but it may decide to allow the applicant to proceed further. If the applicant cannot answer 'No' to every question it is possible that its application might not be accepted. In the event that any of the following do apply, the applicant should set out (in a separate Annex) full details of the relevant incident and any remedial action taken subsequently. The information provided will be taken into account by the Authority in considering whether or not to allow the applicant to proceed further.*

## 4.5 Supplementary or additional questions

**Introduction:** Table 13 provides a format for asking supplementary or additional questions which, if necessary can be interpolated into the core and optional question modules presented in tables 1 to 8. In recognizing that supplementary or additional questions may need to be asked and providing for their inclusion in existing question modules, Clause 3.2 specifically requires that any supplementary or additional questions be referenced in a manner that clearly identifies the fact that they are supplementary or additional questions and numbered in a manner that does not change the number sequence of the original PAS 91 questions, in the module in which they are inserted.

This format and the example questions used for its demonstration in Table 13 may be used in prequalification processes that relate to specific projects or frameworks, where applicants are required to meet

minimum standards of technical and/or professional ability. Before choosing to use these example questions however, it is essential that buyers and assessment providers take account of the expectation that such project specific questions only request information that is essential in relation to projects likely to be undertaken (see Note to this Clause).

Whilst the use of this particular format and numbering system are not requirements of this PAS and users may adopt whatever method of presentation is best suited to the nature of the question(s) to be asked, the requirements of Clause 3.2 in respect of necessity, additionality and numbering, shall still be met for any supplementary or additional questions that may be asked.

**NOTE** *Where prequalification processes are required to be OJEU compliant, the allowable means of evaluating compliance with minimum standards of technical and professional ability are described in Public Contracts Regulations 2006 Clauses 25 and 26, and questions should be formulated to address such evaluation.*



**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 to supporting 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?	<p>Provide evidence of your company's capability of carrying out the activities described, by way of a completed project record, demonstrating the skills, efficiency, experience and reliability of your organisation.</p> <p>Responses will be evaluated with regard to provision of comprehensive information on the following:</p> <ul style="list-style-type: none"> <li>i) Description of the project including project value and Client details and Client brief.</li> <li>ii) Pre-construction services, including any pre-contract advice, surveys and design drawings undertaken by your company, pre-contract planning, construction phase programming and management plans.</li> <li>iii) Construction phase Health &amp; Safety services, including examples of Construction Phase Health &amp; Safety Project Plan and Health &amp; Safety Inspections.</li> <li>iv) Cost planning and management.</li> <li>v) Specific working methods for providing, maintaining and monitoring a high level of service delivery and customer satisfaction.</li> <li>vi) Details of meetings, communications and interactions between all parties to ensure efficient project completion.</li> <li>vii) Description of approach to handover, including awareness training of all relevant persons involved.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
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?	<p>Provide a list of relevant activities carried out over the past 5 years together with evidence of satisfactory completion for the most important of those activities indicating in each case:</p> <ul style="list-style-type: none"> <li>i) Indication of project size (e.g. by value) and</li> <li>ii) when and where the work or works were carried out.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 13** – Examples of supplementary/ additional questions including in respect of organizational technical and/or professional 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 to supporting information
S1-Q3	Have you and/or your company provided goods or services of the same or similar nature to that which is the subject of this prequalification questionnaire?	Provide a statement of the principal goods sold or services provided in the past 3 years including: <ul style="list-style-type: none"> <li>i) the dates on which the goods or services were provided;</li> <li>ii) the identity of the person to whom the goods were sold or the services were provided and</li> <li>iii) any certificate issued or countersigned by that person confirming the details of the contract for those goods sold or services provided.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	
S1-Q4	Do you and/or your company have the necessary technical facilities to fabricate, supply and deliver the goods and services that are the subject of this prequalification questionnaire?	Provide a statement the professional qualifications of 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.	<input type="checkbox"/>	<input type="checkbox"/>	
S1-Q5	Do you and/or your company have the necessary numbers of staff to fabricate, supply and deliver the activities, goods and/or services that are the subject of this prequalification questionnaire?	Provide a statement the average annual number of managerial staff and other workforce over the previous 3 years.	<input type="checkbox"/>	<input type="checkbox"/>	

**NOTE** In the question referencing above, the questions are numbered appropriately for inclusion in a separate set of supplementary or additional questions. If the supplementary or additional questions are to be interpolated into PAS 91 core or optional question modules, the letter in the first element will be C or O dependent upon whether the question is to be added to a core or optional module and the number of the first element will be determined by the particular module into which the question is being inserted. SUP is then added as a suffix to denote a supplementary or additional question.

## Annex A (informative)

### PAS 91 Overview (informative)

This Annex builds on the information provided in the introduction and includes:

- A.1 Introduction
- A.2 What are the buyer Benefits?
- A.3 What are the supplier Benefits?
- A.4 How should a buyer use the PAS?
- A.5 Use of Assessment providers
- A.6 How to use the PAS when looking at Projects with different levels of risk?
- A.7 Application of the PAS to additional cases

#### A.1 Introduction

**The Problem** – Across the construction supply chain suppliers wishing to prequalify for work are frequently required to complete a variety of different prequalification questionnaires. This leads to considerable duplication of supplier effort which costs both time and money. Often, particular questions are essentially seeking the same information but because they are presented in a different way and in a different order, suppliers can be placed under resource and other pressures due to confusion and the wasted money, time and effort required. There is also increased risk that responses will differ unnecessarily. On the other side of the process, buyers or their assessment providers may have to devote excessive time and effort to reading and evaluating this variety of responses, which adds yet more unnecessary cost to the overall process.

**The Solution** – This PAS provides a standard wording and order for a set of questions that will enable the acquisition of the essential information required in all prequalification processes in a uniform and commonly usable, manner. The intention is that buyers should use these “core” questions, either directly or through an assessment provider that complies with this PAS to obtain the information they require. A supplier can then efficiently complete a prequalification questionnaire, referring to their pre-prepared answers.

Further standard questions, which may be relevant to some but not all construction procurements, are provided in optional modules that can be used as required.

It is important to recognize that prequalification is an initial filter of interested suppliers who can then be short listed for the tender stage. So the questions should be kept to a minimum and only include those that will help with this stage of the buying decision. However, if prequalification is in respect of a specific project, additional project-specific questions can also be used to filter out those companies that do not have the technical capability to successfully complete an invitation to tender.

#### A2 What are the Buyer Benefits?

Less time spent on routine tasks, more confidence that they are following good practice, more sustainable processes, more time to focus on significant parts of the tendering process, more suppliers willing to apply for work, giving more choice.

By utilizing this PAS greater clarity is provided bringing more certainty that buyers are prequalifying suppliers correctly whilst simultaneously saving time and resources. By using a set of questions with which potential suppliers will be familiar the cost and uncertainty surrounding basic prequalification will be reduced for suppliers, so that more suppliers should feel able to take part, bringing greater choice to clients. In addition, the use of this PAS should also enable buyers to devote more time to developing any necessary project-specific questions.

**Use of this PAS can be of benefit to an organization in relation to Corporate Responsibility, as it is part of the common agenda to reduce burdens on buyers and suppliers alike, and to increase the understanding and application of widely applicable standards in the construction industry.**

**Occasional buyers** – This PAS gives a clear guide and structure to the prequalification process which can be of considerable help to the occasional buyer. Use of the PAS gives assurance to Buyers that they are following good practice without needing to invest a lot of time researching processes and experiencing delay as a result. They can also have confidence that they will have greater opportunity for response from better prepared and informed suppliers.

### A3 What are the Supplier Benefits?

Less confusion, less possibility of misunderstanding what information is required, less time taken to prepare responses, less cost and paperwork, more confidence in the process bringing greater certainty that questionnaires have been completed correctly, and more time to spend on other business activity.

A supplier should be able to devote time to developing an authoritative set of standard answers to the “core” questions which will then be a resource that they can then use, update and adapt as necessary in response to any Buyer using PAS 91 in its prequalification processes. In this situation, answering a prequalification questionnaire becomes a routine process, saving both time and money with the result that a supplier is likely to feel more confident about applying for more contracts. It is important to recognize however that suppliers will need to maintain the currency, content and relevance of their pre-prepared answers to ensure that they are up to date and fit for purpose, at any given time.

**Use of this PAS is in line with public sector policy in that it will help to open more opportunities to small and medium sized organizations. This is achieved not only through its standardization of the questions, but also by its encouragement that the information being asked for should be kept to a minimum.**



### A.4 How should a buyer use the PAS?

PAS 91 takes a modular approach to its set of questions and is structured to enable buyers to include the minimum number of modules necessary to cover the areas of capability that are relevant to the procurement process being undertaken.

Clause 4.1 contains modules that constitute the “core” questions that are to be asked in all prequalification activity. These core modules are:

- C1:Supplier identity; key roles and contact information
- C2:Financial information
- C3:Business and professional standing
- C4:Health and safety policy and capability

For public sector or defence and security buyers, Tables 9 and 10 or 11 and 12, provide alternative questions to C3.

In addition, where it is necessary to assess supplier capability in the areas of equal opportunity, environmental management and quality management, optional question modules are provided in Clause 4.2, as follows:

- O1:Equal opportunity and diversity policy and capability;
- O2:Environmental management policy and capability;
- O3:Quality management policy and capability;
- O4:Building information management policy and capability.

Although the optional questions in 4.2 need not be asked by all construction buyers, it is vital that if they are asked, then they should be consistent. Adopting the Clause 4.2 questions will increase consistency in prequalification activity across the industry.

**Can I ask additional questions beyond those listed in 4.1 and 4.2?** Yes, if the answers will help with the procurement in question. Although the PAS sets out the essential ‘core’ questions and common ‘optional’ questions, it is recognized that a buyer can require additional project related information and may therefore need to ask questions about professional or technical ability or other ‘project specific’ issues, to obtain it. The PAS makes provision for this (see 3.3 and 4.5) but users of this PAS should be aware of the specific provisions for their use and are strongly recommended to limit these to topics that are necessary and directly relevant, to the procurement process.



## A.5 Use of Assessment providers

**Types of providers** – Various organizations provide third party prequalification assessment services to Buyers and many of them only provide assessment in the area of Health and Safety (notably SSIP, see [www.SSIP.org.uk](http://www.SSIP.org.uk)).

Some assessment providers operate a single register of prequalified construction suppliers; from which lists of potential suppliers can be selected according to preferred criteria, e.g. size of company/ turnover, geographic location etc. Some assessment providers maintain lists by industry sector (e.g. a trade association) whilst others maintain local lists. The use of the 'core' questions in PAS 91 is not affected by these different approaches. Assessment providers are therefore encouraged to use this PAS, and Buyers are encouraged to select assessment providers who comply with the PAS and its principles.

**Capability of assessment providers** – The scope of this PAS does not address the capability of assessment providers, whether by UKAS accreditation or other means. Accordingly, it is a matter for buyers to satisfy themselves that the assessment provider(s) whose members they accept through the prequalification services provided, are sufficiently able to carry out a reliable assessment of suppliers.

**Additional Questions** – Assessment providers often ask additional questions to provide the functionality that Buyers require. Assessment providers and their clients are however encouraged to keep such additional questions to an absolute minimum commensurate with providing the assurance required and complying with this PAS and its principles. Such additional questions should be clearly shown to be supplementary to (and beyond the scope of) this PAS.

**Transitional Adoption of the PAS** – It may not be practical or cost effective for all assessment providers to fully adopt PAS 91 immediately. Wholesale modification of existing question sets to comply with this PAS together with requirement that all members should resubmit applications at that point could be unhelpful to buyers and suppliers. It is therefore reasonable to 'migrate' to the full adoption of this PAS over a practical time frame but the intention to do so should be made clear to existing and new buyers and suppliers at the earliest opportunity.

## A.6 How to use the PAS when looking at Projects with different levels of risk

**Types of project 'risk'** – For any given project there will be a number of 'risks' to its successful completion, and these will depend on the nature of the individual project and the environment in which it is being undertaken. The same prequalification questions can still be used however, for the core and optional requirements but buyers may need to apply different types of assessment to the evaluation of supplier responses, depending on the risk levels involved. For example with projects which are not likely to go wrong or for which there will not be serious consequence if upsets occur, buyers may be satisfied with not assessing the prequalification information supplied by suppliers, in any degree of detail

At the other end of the spectrum, for 'mission critical' projects, buyers may wish to know that the suppliers' answers have been thoroughly checked.

Where a third party assessment provider is used by a Buyer, the buyer's choice of assessment provider(s) should take account of the processes the assessment provider follows, and whether this is likely to provide the assurance that they require for their projects in respect of a potential supplier's capability.



**The three assurance level model** – Although this paragraph models assessment by reference to three types of assessment, this should be seen as a simplified framework – there is in fact a continuous spectrum from high to low.

### Verification and assessment of supplier – Level 1

The assessment includes an audit typically involving on-site verification and outcome assessment, before accepting the supplier as meeting the requirements:

- Most expensive for suppliers, most certain for buyers. Preferable for where high levels of assurance are essential or sought
- Limited choice of suppliers

### Validated assessment – Level 2

The assessment includes for example obtaining copies of certificates, details of company procedures etc. This commonly includes so-called ‘desktop’ assessment.

Medium cost for suppliers, more certainty for buyers:

- Wider choice of suppliers

### Self assessment – Level 3

The supplier fills in a questionnaire and makes statements about their work and certifications, minimal verification activity is carried out:

- Cheapest for suppliers, least certain for buyers
- Widest choice of suppliers

Various approaches to assessment may be suitable throughout the supply chain. Equally the buyer may choose to carry out a higher level of verification during the tender stage so it can be very project specific.

## A.7 Application of the PAS to additional cases

**A.7.1 Supplier cannot answer a question** – In some circumstances, a question in the PAS may not be answerable by suppliers. For example:

- a start-up company would not be able to supply a financial history.
- a self employed supplier may not need to show evidence of employee communication.

Assessment providers may already have “exception procedures” in place to deal with these and similar issues and they may continue to do so. Again, it is for the buyers to satisfy themselves that acceptable assessment procedures are in place.

**A.7.2 Use of PAS 91 with unincorporated Joint Ventures or Consortia** – these are often temporary entities that combine to pool resources and/or capability to bid for a specific project, although more permanent relationships also exist.

For the temporary situation, this PAS assumes that for prequalification purposes the responses to questions will be provided by the individual members of Joint Ventures or Consortia and that any assessment of the capability of the combined entity will be undertaken at the tender stage. Where the association is more permanent and all of the required information can be provided for the combined entity, PAS 91 can be used but in either circumstance the Buyer will seek assurance that the entity meets the standard required for the projects likely to be undertaken.



## Annex B (informative)

### Public sector buyers (informative)

This Annex covers:

- **B.1 General**
- **B.2 Procurement policy**
- **B.3 Mandatory and discretionary exclusion**
- **B.4 Scoring mechanism**
- **B.5 Use of equivalent standards**

In relation to public-sector procurement.

#### B.1 General

*This Annex briefly explains for public sector buyers how the PAS enables compliance with regulations.*

Public sector and certain other buyers (e.g. some utilities) are subject to EU treaties and directives regarding procurement of works, supplies and services contracts or frameworks. For projects or frameworks the value of which exceeds EU declared thresholds, EU Directive 2004/18/EC is implemented in the UK by the Public Contracts Regulations. Although broadly similar, the regulations for Scotland contain some significant differences from those applicable in England and Wales, and Scottish procurers should ensure that these differences are accounted for when conducting procurement exercises. Both the English/Welsh and Scottish regulations require procurers to act in an open, transparent and non-discriminatory way when selecting companies to receive tender enquiries, and so place certain restrictions on what public sector buyers can ask of contractors, suppliers and consultants during the procurement process.

A prequalification process is often, but not always, used at the selection stage of a 'restricted procedure', where a candidate's capability of performing the contract or framework is evaluated. Information requested at prequalification stage that is intended to be used to evaluate a candidate's capability must be consistent with Regulations 23-26 of the Public Contracts Regulations 2006, and must be capable of being evaluated objectively and proportionately. Contracting authorities should therefore ensure that the questions asked of candidates are relevant to the procurement contract or framework and proportionate.

It is important to distinguish between the Prequalification Questionnaire (PQQ) and Invitation To Tender (ITT) and decide at this stage what information you need to enable you to identify which candidates are capable of delivering the contract or framework and can therefore be invited to submit a tender. Questions asked in the PQQ must be in respect of the organization's legal status, economic and financial standing and technical or professional ability to perform the contract only and must not be based on criteria that examine quality. Questions asked at PQQ stage must not be repeated in the ITT, and they must not be expressed in such a way that would discriminate against non UK candidates. Specific questions about how suppliers would deliver the contract or framework should be dealt with within the ITT.

Where project-specific contract or framework tenders are being sought, for which questions in respect of technical and professional ability are necessary in accordance with Regulation 25 of the Public Contracts Regulations 2006, appropriate additional questions may be included in a PAS 91 compliant questionnaire. Table 13 provides example of how such questions can be included.

The questions in 4.1 and 4.2 of this PAS are all allowable at prequalification stage under the above Regulations. Users should ensure that any additional questions inserted in the modules, are also allowable.

#### B.2 Procurement policy

Public sector buyers are also often committed to promoting certain policy objectives in their procurements, such as local employment, apprenticeships and training, SME-friendly, social and environmental matters etc., and will wish to confirm that candidates are capable of complying with such objectives. In these cases it is unlikely that questions regarding information that is intended to be used to evaluate a candidate's capability are allowable at prequalification stage.

In some cases it may be appropriate to ask additional 'policy delivery' questions at the prequalification stage for evaluation purposes if they are directly related to the subject matter of the contract or framework. In these cases, such questions should be treated in exactly the same way as any additional 'project specific'

questions. In any case, buyers should ensure that these policy questions are acceptable under the Regulations.

Following the key tenet of this PAS, if policy-related prequalification questions are to be asked, it is strongly recommended that all buyers that ask such questions are consistent, i.e. they use the same questions to the maximum practical extent. Policy makers are therefore encouraged to provide clear guidance on the questions and/or contract clauses relevant to the particular policy aim.

To fulfil buyers' policy objectives, there may be a requirement to agree in the awarded contract or framework to work to certain standards or agree to other conditions not directly associated with the delivery of the work. These requirements should be made clear to candidates at the prequalification stage to avoid them expending effort in prequalifying if they do not find the additional policy requirements acceptable.

### B.3 Mandatory and discretionary exclusion

The procurement directives and regulations include mandatory and discretionary requirements for buyers to exclude candidates from public contracts and frameworks where they have been convicted of certain offences, including participation in criminal organizations, corruption, money laundering and fraud.

Clause 4.3 (Tables 9 & 10) of this PAS includes questions and references to grounds for mandatory and discretionary exclusion in accordance with Regulation 23 of the Public Contracts Regulations 2006 (as amended). These can also be found at [www.opsi.gov.uk/si/si2006/uksi\\_20060005\\_EN.pdf](http://www.opsi.gov.uk/si/si2006/uksi_20060005_EN.pdf)

Clause 4.4 (Tables 11 & 12) of this PAS include questions relating to mandatory and discretionary exclusion in accordance with regulation 23 of the Defence and Security Public Contract Regulations 2011. These can also be found at:

- The Defence and Security Public Contracts Regulations 2011

### B.4 Scoring mechanism

As with all selection processes, PQQs should be evaluated consistently and objectively according to a defined scoring model. The scoring model *should* be formulated prior to inviting expressions of interest but *must* be finalized and candidates informed prior to completing the PQQ.

The Regulations require that where a scoring model is used, candidates must be advised of:

- the scoring model, including the weightings and maximum marks assigned to each question
- if and where an unsatisfactory answer to one or more questions may of itself lead to exclusion from further consideration (irrespective of the quality of the remainder of the responses) and
- the criteria to be applied where the buyer elects to limit the number of candidates to be invited to tender. <sup>1)</sup>

### B.5 Use of equivalent standards

Contracting authorities may lay down technical specifications which are required to be met, but must ensure that such technical specifications do not create barriers to open competition. Where PQQs require compliance with British, European or International standards, technical approvals or technical specifications or other technical reference systems, each reference must be accompanied by "or equivalent". Public Sector Buyers must therefore consider offers which claim to satisfy the requirements in an equivalent manner even though they do not conform to the standard in question. Tenders must be examined to establish whether they satisfy the contracting authority's requirements in an equivalent manner and under no circumstances may contracting authorities reject offers solely on the grounds that they are not based on a specified standard or technology. The burden of proving technical equivalence will fall on the bidder in the absence of certification of conformity with the standard. <sup>2)</sup>

<sup>1)</sup> See former OGC *Procurement Policy Note*, (PDF) Dec 2008 for comments on Lianakis ECJ [http://webarchive.nationalarchives.gov.uk/20081211183800/http://www.ogc.gov.uk/documents/PPN\\_Update\\_Dec\\_08\(1\).pdf](http://webarchive.nationalarchives.gov.uk/20081211183800/http://www.ogc.gov.uk/documents/PPN_Update_Dec_08(1).pdf)

<sup>2)</sup> See the former OGC *Procurement Policy Note* (PDF) 10/09 for Policy on Standards and References at: [http://webarchive.nationalarchives.gov.uk/20110601212617/http://www.ogc.gov.uk/documents/PPN\\_10\\_09\\_Policy\\_on\\_Standards\\_and\\_References.pdf](http://webarchive.nationalarchives.gov.uk/20110601212617/http://www.ogc.gov.uk/documents/PPN_10_09_Policy_on_Standards_and_References.pdf)

## Annex C (informative)

### Health and safety:SSIP and supplier capability (informative)

Buyers may choose to prequalify suppliers who have been successfully assessed by registered members of the Safety Schemes in Procurement Forum (SSIP) against Module A-4.

SSIP and Module A-4, cover health and safety questions only.

To ensure general health and safety capability, and to help reduce cost and bureaucracy for the buyer and supplier, buyers may choose to accept an 'SSIP member-assessed' supplier without requiring separate responses from the supplier to the general health and safety questions in PAS 91, and to refer to the acceptability of 'SSIP registered member-assessment' as part of their PQQ process.

Furthermore, accepting an SSIP registered member-assessed supplier as part of general PQQs can allow buyers to give additional attention to project-specific health and safety questions and can make a significant contribution to 'mutual recognition' of core health and safety prequalification requirements.

SSIP registered member schemes apply core health and safety questions for prequalification assessment that are aligned with PAS 91 and the Health and Safety Executive's (HSE) Approved Code of Practice (ACoP) to CDM 2007. The HSE actively supports SSIP, noting that suitable assessment of a supplier by an SSIP member assessor meets the buyer's general requirement to exercise 'reasonable judgment' based on the evidence provided<sup>1)</sup>. However, using a SSIP member-assessed scheme, or adopting PAS 91, does not remove the buyer's responsibility to:

- ensure that a supplier is indeed 'SSIP member-assessed';
- further enquire, as necessary, about the supplier's health and safety capability to carry out specific projects, services or other activities.

SSIP member schemes are subjected annually to independent third party audit.

For more on SSIP- and the prequalification assessment schemes in the SSIP Forum – go to:[www.ssip.org.uk/](http://www.ssip.org.uk/)



<sup>1)</sup> \*HSE's ACoP to CDM 2007 says that if a buyer's "judgement is reasonable and clearly based on the evidence...asked for and...provided", the buyer "will not be criticised" if the supplier it appoints subsequently proves not to be competent when carrying out the work.

## Annex D (informative)

# Building Information Modelling and PAS 91

Building Information Modelling (BIM) involves the creation, collation and exchange of shared 3D models throughout the asset lifecycle, including the intelligent, structured data attached to the models. Effective use of BIM is underpinned by collaborative working and effective information exchange.

The Government's BIM Strategy, promoted by The Department for Business Innovation and Skills (BIS) and the Efficiency and Reform Group of the Cabinet Office (ERG), prepared by industry representatives and originally published in March 2011, set out the route map by which widespread adoption of BIM to Level 2 will be achieved, aimed at delivering benefits during construction and post-occupancy.

Following the publication of the strategy, the BIM Task Group has been established to bring together expertise from industry, government, public sector, institutes and academia in the development of standards and ways of working. The work of the Task Group can be accessed on the website <http://www.bimtaskgroup.org/>

Widespread adoption of Building Information Modelling (BIM) was a key recommendation of the Government Construction Strategy, published in May 2011. The Government Construction Strategy (GCS) requires fully collaborative 3D BIM (with all project and asset information, documentation and data being electronic) as a minimum by 2016 on all centrally procured Government projects as outlined in the GCS including new build and retained estate, vertical and linear.

In preparation for the Government BIM mandate, optional questions have been included within PAS 91 examining competence in BIM and collaborative information exchange.



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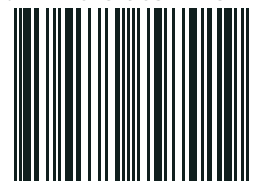
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ISBN 978-0-580-79701-9



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