

**Works Contract**

**PRE-QUALIFICATION QUESTIONNAIRE**

ONLY ECONOMIC OPERATORS WHO HAVE COMPLETED **OPTION 2** OR **OPTION 3** OF **PQQ1** OR **PQQ1C, SECTION B, QUESTION [B-02]** SHOULD COMPLETE THIS QUESTIONNAIRE

**DOCUMENT REFERENCE: PQQ1A**

**economic operator Financial Addendum**

**PIERPONT PLAZA BUILDING 1**

**REFERENCE 1939/16**

|  |  |
| --- | --- |
| **Name of Company completing this form:** | **[Insert Company Name Here]** |
| **Insert Group of Economic Operators name and Indicate designation if applicable:** | **[Insert Group of Economic Operators/Lead Enterprise Name Here]**  **(If Consortium Name is not known enter the Lead Enterprise Name)** |
| **[ ]**  **Select Designation - as stated in PQQ1 - [A-02]** |
| **Indicate an Other Entity designation if applicable :** | **[ ]**  **Select Designation - as stated in PQQ1 - [A-06]** |

**Catalyst**

**Queens Road**

**Queens Island**

**Belfast BT3 9DT**

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# GUIDANCE FOR Completion of PQQ1A

1. This addendum to **PQQ1** (and **PQQ1C** if applicable) should be read in conjunction with the accompanying MoI-Part A and MoI-Part B. All defined terms within this document are explained within the glossary of MoI-Part A.
2. Economic Operators (including all members of a Group of Economic Operators, and Other Entities where applicable) who have completed **Option 2** or **Option 3** of **PQQ1** and/or **PQQ1C**, **Section B**, Question [**B-02**] must complete this document in full. This document and all associated attachments will be passed by the Contracting Authority to Constructionline for assessment.
   * 1. Constructionline will calculate the Economic Operator’s Category Value for the relevant Work Category(s) applied for.
     2. The Contracting Authority will determine if the Category Value calculated in (a) meets the Minimum Category Value required by the Contracting Authority as set out in MoI-Part B, Section 7.10 Table 1 in at least one of the work categories set out in MoI-Part B, Section 7.10 Table 1a.
3. Where the Contracting Authority determines that the Economic Operator’s Category Value obtained in 2(a) does not meet the requirements in 2(b) then the Economic Operator will be rejected from the Procurement.
4. This document is arranged in 4 Sections as described below and all information sought in all parts must be provided and all questions answered.

|  |  |  |
| --- | --- | --- |
| **Section** | **Content** | |
| **A** | **General Information about the Economic Operator Team** | **Compliance/ Minimum Standards** (These sections do not contribute to the scored evaluation) |
| **B** | **Information as to: past performance; economic and financial standing and compliance with EU/UK procurement legislation** |
| **C** | **Not used** |  |
| **D** | **Not used** |  |
| **E** | **Declarations** |  |
| **F** | **Document Return Register** | **Used in support of other sections** |

1. **Failure by an Economic Operator (member of a Group of Economic Operators and/or other Entities where applicable) to complete all questions fully and in accordance with all requirements therein and to return the PQQ1A by the PQQP Submission Deadline may result in the Economic Operator’s PQQP Submission being rejected as set out in MoI-Part A, Section 10.**
2. Where the role of an Economic Operator is to be fulfilled by a Group of Economic Operators or Other Entities, any of those organisations who have completed Option 2 or Option 3 of PQQ1 and/or PQQ1C, Section B, Question [B-02] must complete a copy of PQQ1A as if each organisation was a single Economic Operator.
3. Members of a Group of Economic Operators and Other Entities must maintain the ‘**Member Designation**’ given in response to question [**A-02**] and **[A-06]** respectively of **PQQ1** document throughout the whole PQQP Submission.

# SECTION A- GENERAL economic OPERATOR/Group of Economic Operators/OTHER ENTITIES information

Where the Economic Operator is a Group of Economic Operators and/or is relying on the capacity of Other Entities, then the information in this document will represent each individual member of that Group of Economic Operators and Other Entities. Each member of the Group of Economic Operators and Other Entities that have completed:

* Question **[B-02]** Constructionline Details **Option 2** or **Option 3** of **PQQ1, Section B;** or
* Question **[B-02]** Constructionline Details **Option 2** or **Option 3** of **PQQ1C, Section B**.

is confirming that its ‘Company does not have verified status with Constructionline and / or the required Category Value and must also complete their own copy of this document (PQQ1A) and submit it as part of the PQQP.

### ECONOMIC OPERATOR’S ADMINISTRATIVE INFORMATION

**Complete the table below.**

|  |  |  |
| --- | --- | --- |
| **Trading name of the Economic Operator / member of a Group of Economic Operators / Other Entity** | [Enter name here] | |
| **Registered name of the Economic Operator / member of a Group of Economic Operators / Other Entity** | [Enter name here] | |
| **Main address** | [Enter address here] | |
| **Registered Address**  **(if different from above)** | [Enter address here] | |
| **Status**  **(e.g. Partnership, Ltd Company, Group of Economic Operators)** | [Enter text here] | |
| **If Limited Company** | Date of Incorporation | [Enter date here] |
| Registration Number | [Enter number here] |
| **VAT registration** | [Enter number here] | |
| **Telephone** | [Enter number here] | |
| **Constructionline Registration Nr. (if applicable)** | [Enter number here] | |

### 

### inFORMATION on OTHER OFFICES

1. Does your office have a head office with an address that is different to your trade address? [Select from drop down box]
2. Does your business have any other companies in your group, including ultimate and associated companies (for example, parent, or totally or partly under common control?) [Select from drop down box]
3. Does your business have any other addresses (for example, branch offices)?

[Select from drop down box]

1. Is the person responsible for financial matters within your business different to the contact person named in the contact details on your initial application form?

[Select from drop down box]

1. Is the person responsible for paying invoices different from the contact person named in the contact details on your initial application form?

[Select from drop down box]

If you have answered “**Yes**” to any of these questions then please complete a copy of the “Other Offices” template and attach it with your submission. The template is available from: <https://www.finance-ni.gov.uk/publications/over-threshold-pre-qualification-documents-construction-services>

Please confirm that the “**Other Offices**” template is attached with your submission at **Appendix 1** [Select from drop down box]

### DUN AND BRADSTREET NUMBER

|  |  |
| --- | --- |
| **Does your firm have a Dun and Bradstreet Number?:** | [Select from drop down box] |
| **Dun and Bradstreet Number:** | **[Enter number here]** |

# SECTION B- INFORMATION as to economic and financial standing and compliance with EU/UK procurement legislation

### [B-01] GENERAL INFORMATION (ANNUAL ACCOUNTS)

Please submit copies of the following documents specified in **paragraphs (a), (b) or (c) below**

1. **New Businesses**

Applications from new firms trading for **less than two years**, who are not yet able to meet the normal Constructionline registration requirements shall provide the following information:

**Financial**

If full audited or formal accounts are unavailable for a full first year of trading, at least **one** item from **each** of the two categories below will be required:

**Category 1**

A “trading and cash flow forecast” as prepared for a bank or investor, preferably analysed month by month. This must demonstrate that the firm is forecast to trade profitably and generate funds.

**OR**

Management accounts for an initial period of trading up to 12 months. These must comprise at least a detailed trading and profit and loss account and, if possible, a balance sheet and notes thereon.

**Category 2**

An opening balance sheet setting out initial funding of the business when it commenced trading. This must demonstrate that funds available including any loan and overdraft facilities, are adequate to support initial requirements for fixed assets and working capital (current assets less current liabilities).

**OR**

A “status enquiry” or reference from the firm’s bank and/or accountant.

**Also**

**If applicable**,

A letter of support from an ultimate holding company, which holds the controlling interest in its applicant’s start up supplier subsidiary company, and which itself can meet Constructionline’s financial criteria. The “ultimate holding company” itself must be able to meet Constructionline’s financial criteria. The letter must be signed by a director, on headed notepaper, and state that the full and financial and technical resources of the group will be available to the start up supplier.

*Please note: you may be contacted by Experian, who are an industry recognised credit checking agency. It may phone or write to you to verify the status of your company and to obtain additional information to ensure that your company is authentic. It also works closely with Constructionline to financially monitor suppliers.*

These documents will need to show that a newly established Economic Operator will be able to support a contract to the Category Value (see meaning below) awarded.

**Technical**

If two references for any one of the work categories set out in **MoI-Part B, Section 7.10, Table 1a - Relevant Work Categories**, are not available, you will need to meet the following:

For the Work Category you select in question [B-02] you will need two relevant references for contracts. These should be for completed work which has been carried out.

**Category Values**

A Category Value is the maximum recommended annual financial limit that applies to each category of work for any one contract. Constructionline will calculate the Category Value for new firms, on behalf of the Contracting Authority, in line with their current Category Value calculation rules, from turnover, net assets and references. However, Constructionline may decide to take account of incomplete or unavailable financial information and references and shall then set the final Category Value for new Economic Operators at 75% of the normal figure. Refer to [B-02] for further information on references.

**All information required is attached at Appendix 2** [Select from drop down box]

1. **Sole Traders, partnerships and Unlimited Companies (Annual Accounts)**

You must send us the business’ **full annual accounts** (as prepared for the owners and the HM Revenue and Customs) for the latest accounting period. The owners must sign and date them as a true representation of the business’ financial affairs. You must also send us a signed and dated audit or accountant’s report and:

* a profit and loss account;
* a balance sheet; and
* notes on these.

If you are a small firm or a Limited Liability Partnership and send abbreviated accounts to Companies House, you must give us a fully detailed trading and profit and loss account that includes turnover.

Constructionline shall use the information firstly to assess your firm for financial stability so that it can recommend you as acceptable to participate in this competition. Accounts must meet minimum financial standards. These standards assume you have assets, shareholders’ funds and profits (with debts, borrowings and any losses within acceptable limits).

Constructionline shall also use this information to assess the financial strength of your firm so that they can work out a suitable Category Value (using the agreed formula) for the category of work for which you are applying for in this competition. The formula Constructionline shall use to calculate the Category Value takes account of a firm’s turnover, net assets and track record (as shown through the two relevant references).

**All information required is attached at Appendix 2**  [Select from drop down box]

1. **Ltd and Plc Companies and Limited Liability Partnerships**

Constructionline on behalf of the Contracting Authority shall need to see the company’s full annual accounts as prepared for shareholders and Companies House including an audit report (if needed) or an accountant’s report (if you don’t need an audit). The directors, partners and auditors or accountants must sign and date these where necessary.

If you are a group or an ultimate holding firm that is not able to send us consolidated accounts, you may have to send us accounts of other group firms that are relevant to the application or continued registration. Please make sure you include the following:

* Directors’ report;
* Auditor’s or accountant’s report;
* Profit and loss account;
* Balance sheet;
* Notes to the accounts;
* Any supplementary trading account; and
* Consolidated or group accounts of any ultimate holding company (if these apply).

The Contracting Authority cannot accept draft or amended accounts. If you are a small business, you must send us abbreviated accounts (as sent to Companies House) and a more detailed trading or profit and loss account that includes turnover.

The Contracting Authority also needs to see the consolidated or group accounts of any ultimate holding company for the latest accounting period.

This cannot be later than the Companies House latest due dates for filing (currently seven months for PLCs and 10 months for others).

Accounts must meet minimum financial standards. These standards assume you have assets, shareholders’ funds and profits (with debts, borrowings and any losses within acceptable limits).

Constructionline shall also use this information to assess the financial strength of your firm so that it can work out a suitable Category Value/Notation (using the agreed formula) for the Category of work for which you are applying for in this competition. The formula Constructionline shall use to calculate the Category Value takes account of a firm’s turnover, net assets and track record (as shown through the two relevant references).

Accounts should be signed and dated by directors, partners or sole traders, and auditors or accountants (if this applies).

If you are a group or an ultimate holding firm that is not able to send the Contracting Authority consolidated accounts, you may have to send us accounts of other group firms that are relevant to your application.

**We cannot accept draft or amended accounts.**

**All information required is attached at Appendix 2**  [Select from drop down box]

### [B-02] References for work category

In order for an Economic Operator to be eligible to participate in this competition they must have a Constructionline Category Value equal to or greater than the **value set out in MoI-Part B, Section 7.10** **Table 1 – Category Value** in at least one of the Work Categories set out in **Table 1a - Relevant Work Categories.**

In order to calculate the Category Value Constructionline will use an agreed formula. The formula considers the financial positions of the company and previous contract references.

In the table below please specify the one Work Category from **MoI-Part B, Section 7.10 – Table 1a** - **Relevant Work Categories** you wish Constructionline to assess your Category Value against.

|  |  |
| --- | --- |
| **Economic Operator Category Value** | |
| **Sector** | **Work Category** |
| **[Enter text here]** | **[Enter text here]** |

For this Work Category you will need to provide two references. References should be from buyers/clients you have worked with in the **last three years**. The references do not need to be for the same projects referred to in your response to the relevant question in PQQ1 Section D ‘Technical and/or Professional Ability.

The references must be recent and for work completed within the last three years. If there is not a value on the references then recent written proof (e.g. an invoice) must be supplied to show that your business has completed the works. This must include the value of the works provided.

Your reference must confirm the total value of the work you carried out and the approximate value of each type of work covered by the Work Category.

**Economic Operators should bear in mind, when submitting references, that the value of work from those references is used by Constructionline when calculating Category Values and is only applicable to this PQQ submission.**

In the document ‘Contractor notation calculation’ Constructionline sets out an example calculation of Category Value using an agreed formula. This document can be accessed from the Constructionline Website:

<https://www.constructionline.co.uk/media/1396/suppliernotationcalculation.pdf>

For further information on the ‘Reference factor’ that the agreed calculation uses, you should contact Constructionline (contact details available from the link above).

**General reference conditions**

1. The reference form is obtainable at:

<https://www.finance-ni.gov.uk/publications/how-request-reference-contracting-authority>

**This form must be filled in by the referee/s and should be returned with your PQQP Submission. It should be signed and dated in ink (not electronically typed). Failure to comply with this may result in references being rejected.**

1. The reference must list the work category you have entered at [B-02] and the contract value for that category of work shall be filled in, with the referee confirming the Work Category and the contract value for the category of work the business has fulfilled.
2. The performance rating entered by your referee for the criteria - ‘Overall quality of works or services through to ‘Safety’ must be scored at 7 or higher to be acceptable for onward submission to Constructionline.
3. The business must have carried out satisfactory contracts for the referee within the last three years. The references must not be more than three years old.

**Please confirm that TWO references for Work Category are attached with your PQQP Submission at Appendix 3** [Select from drop down box]

**SECTION C – NOT USED**

**SECTION D – NOT USED**

# SECTION E – DECLARATIONS

I confirm that I have read and accept the disclaimers set out in MoI-Part A, Section 6.

I certify that the information supplied is accurate, to the best of my knowledge and completed and submitted with due diligence. I understand and accept that false information could result in exclusion from the Procurement.

I undertake to notify the Contracting Authority of any changes to the information given in answer to questions in this PQQP Submission that may arise during the Procurement. I also understand that it is a criminal offence, punishable by imprisonment, to give or offer any gift or consideration whatsoever as an inducement or reward to any servant or representative of a public body, or any Minister of the NI Assembly. I also understand that any such action will empower the Contracting Authority to cancel any contract currently in force and will result in exclusion from the Procurement.

I confirm that I have not canvassed or solicited any officer, employee or representative, of the Contracting Authority or CoPE, or any Minister of the NI Assembly, in connection with the Procurement and that no person employed by me or acting on my/our behalf has done any such act.

I undertake that I will not in the future canvass or solicit any officer, employee or representative, of the Contracting Authority or CoPE or any Minister of the NI Assembly, in connection with the Procurement and that no person employed by me or acting on my/our behalf will do any such act.

I undertake that I will not offer or agree to pay or give any sum of money, inducement of valuable consideration directly or indirectly to any person or have done so or cause or have caused to be done in relation to any other response to the Procurement any act or omission.

I undertake that I will not enter into any agreement or arrangement with any other person that he/she shall refrain from participating in the Procurement.

I undertake that I will not at any time discuss with any other person any aspect of our PQQP Submission, save for the Subcontractors, members of my Group of Economic Operators and Other Entities being part of my PQQP Submission, and will procure this same undertaking from those Subcontractors, members of my Group of Economic Operators and Other Entities.

I undertake to assess the requirements of the Safeguarding Vulnerable Groups (Northern Ireland) Order 2007 as they relate to this project and to ensure that I will not employ a barred individual to work in regulated activity.

I confirm that I have read and understand all the documentation contained within the Procurement.

I confirm that I have highlighted any perceived shortcomings in the Procurement to the Contracting Authority. Any part of the documentation, or any other aspect of the Procurement, which I considered to be unclear, or not compliant with relevant legislation has been highlighted to the Contracting Authority in an mytenders.org message and has been clarified.

I confirm that I am aware that any proceedings relating to any perceived non-compliance with relevant law must be started within 30 days beginning with the date when the Economic Operator first knew, or ought to have known that grounds for starting the proceedings had arisen (and that only the Court may extend the time limits up to 3 months, where the Court considers that there is a good reason for doing so).

**Freedom of Information Declaration**

**Before completing the Freedom of Information Declaration below please read MoI-Part A, Section 9.5.2.**

I consider that the information in this Pre-Qualification Questionnaire is commercially

Sensitive: [Select from drop down box]

If the information supplied in this questionnaire is considered commercially sensitive, please state which information should not be disclosed and provide reasons.

|  |
| --- |
| **[Enter text here]** |

Period for which information should remain commercially sensitive.

|  |
| --- |
| **[Enter text here]** |

#### **Declaration for and on behalf of Economic Operator / member of a Group of Economic Operators / Other Entity:**

I, the under named hereby confirm that I have read and accept to abide by the terms of this PQQP Submission and that I have all requisite corporate authority to authorise this declaration.

|  |  |
| --- | --- |
| **Name:** | **[Enter name here]** |
| **Title:** | **[Enter title here]** |
| **Position in Company :** | **[Enter position here]** |

# SECTION F – DOCUMENT RETURN REGISTER

Economic Operatorswho have completed **Option 2** or **Option 3** of **PQQ1** or **PQQ1C**, **Section B**, Question [**B-02**] must ensure that all documents, as summarised below, are returned with this PQQ1A - Economic Operator Financial Addendum.

|  |  |  |  |
| --- | --- | --- | --- |
| **Document Return Register** | | | |
| **Appendix**  **No** | **Question Reference** | **Document File Naming Convention** | **Tick** the documents that have been submitted |
| **1** | **B-01(A, B or C)**  General Information details | Economic Operator Name-**PQQ1A-A1-B-01A-B** |  |
| **2** | **B-02**  2 x references for work category | Economic Operator Name-**PQQ1A-A2-B-02** |  |

It is the Economic Operator’s responsibility to ensure that the PQQP Submission and the requisite supporting information, are fully completed and returned as instructed using the **NAMING convention** outlined in the above table. Where it states “Economic Operator Name” the Economic Operator, member of a Group of Economic Operators or Other Entity shall insert its name. For example, if your company name was “AN Other Ltd” and you are returning **Appendix 2** the document should be saved as; **AN Other Ltd-PQQ1A-A2-B-02.**

***Note*** : the document file naming convention as set out above should also be labelled within the header of each document respectively.