European Single Procurement Document – ESPD (SCOTLAND)

STATEMENTS IN RELATION TO THE ESPD (SCOTLAND) QUESTIONS

Version 1.10

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Terms Used

**Throughout this document, 'public bodies' are referred to as short-hand for all organisations/contracting authorities/contracting entities which are subject to public procurement laws. This includes government, councils, universities and colleges, the NHS, registered social landlords and other bodies.**

**This document refers to 'bidders' as short-hand for all organisations which might bid for and win public contracts. This includes public corporations, private companies, sole traders, the third sector, supported businesses, consortia and joint ventures. These are known as economic operators in The Public Contracts (Scotland) Regulations 2015 and as candidates in The Utilities Contracts (Scotland) Regulations 2016.**

**Please note that a ‘contract’ in this guidance may mean a contract, a Framework Agreement or a Dynamic Purchasing System.**

**Where you see the term ‘Contract Notice’ this also refers to a Prior Information Notice (PIN) when that is used as a Call for Competition. Introduction to the European Single Procurement Document (Scotland)**

The European Single Procurement Document (Scotland) or ESPD (Scotland) replaces the standard Pre-Qualification Questionnaire (sPQQ).

The ESPD (Scotland) removes the requirement for bidders to provide up-front evidence or certificates by allowing them to self-declare that they:

* do not fall within a ground for exclusion (or, if they do, they can demonstrate that they have taken self-cleansing measures);
* meet the relevant selection criteria.
* (where applicable) fulfil the objective rules and criteria for reduction of candidates

**For all procurements**  where the estimated value is equal to or greater than [OJEU threshold](https://www.procurementjourney.scot/route-3/route-3-develop-strategy-procurement-route), it is mandatory to use the ESPD (Scotland). It is also best practice to use the ESPD (Scotland) document for all regulated procurements below the EU threshold.

The introduction of the ESPD is intended by the European Commission to remove some of the barriers to participation in public procurement, especially for small to medium-sized enterprises (SMEs).

The generic ESPD is used across all Member States of the EU and formed the basis from which the ESPD (Scotland) was developed. The ESPD (Scotland)contains the standard set of questions in line with the ESPD requirements, and this means that the questions in the ESPD (Scotland) cannot be amended and new questions cannot be added. **Procurement Officers must set out the specific requirements and minimum standards that are relevant for the procurement exercise in the Contract Notice where they are using PCS-T or the word version of the ESPD (Scotland) . This is not necessary if using the online ESPD (Scotland) module on PCS as the specific requirements and minimum standards are contained within the module.**

Bidders will use their ESPD response to indicate whether or not they have complied with the minimum standards and any other requirements set out in the contract notice.

**Further Information**

When using the ESPD (Scotland) Word document, (Procurement Officers should download the ESPD (Scotland) template from the [Procurement Journey](http://www.procurementjourney.scot). More information on the ESPD (Scotland) document can be found at the [ESPD (Scotland) station](https://www.procurementjourney.scot/route-3/route-3-develop-documents-espd-scotland) on the Procurement Journey. Please ensure you always use the ESPD (Scotland) document from this source to ensure you always use the most up-to-date version.

**GUIDANCE ON STANDARDISED STATEMENTS**

These statements have been developed in order to assist Procurement Officers in setting out selection criteria and minimum standards in a consistent way, providing a clear link between any selection criteria set out the Contract Notice and the questions which bidders will be required to respond to in the ESPD (Scotland) when PCS-T or the ESPD (Scotland) Word version is being used.

If you are using the ESPD (Scotland) Module on PCS, please make sure that the selection criteria relevant to your procurement exercise is detailed in the ESPD Module and not in the Contract Notice.

These statements are not intended to be a definitive list of all potential section criteria that individual Procurement Officers may require, and as such professional judgment must be used on a case-by case basis when selecting which, if any, of these statements are relevant and proportionate to a particular procurement exercise. When selected, some of the statements require further editing to make them meaningful and relevant to your procurement exercise; for example, the types and values of insurance required for a particular contract.

Unlike the ESPD (Scotland), Procurement Officers can amend and/or add additional, procurement exercise specific statement(s). These must reflect the selection criteria and minimum standards of the particular procurement exercise and need to be included in the Contract Notice. However, they should only do so if the relevant Standardised Statement(s) are not suitable. However, Procurement Officers must ensure that any statements used relate to a specific question in the ESPD (Scotland).

**Please make sure that you have the most up to date version of this Standardised Statements document which can be found in the Procurement Journey.**.

Procurement Officers may add and/or amend the statements in the standardised statements document and copy them over to the Contract Notice section in PCS if they are using the PCS-T module or the downloaded word document. If you are using the online ESPD (Scotland) module on PCS you may wish to use these statements as a guide when detailing criterion within the module. . In any case,the statements must reflect the selection criteria and minimum standards of the procurement exercise

Procurement Officers should use this Standardised Statements document to guide them in determining what statements are appropriate and relevant for their procurement exercise.

At this stage of the procurement process (the [selection stage](https://www.procurementjourney.scot/route-3/route-3-develop-documents-selection-award-and-exclusion-criteria)) the Procurement Officer will state any specific requirements in order to assess a bidder’s capacity and capability to carry out the contract and, where appropriate, shortlist the bidders to invite to tender.

The exclusion grounds detailed below must be included in all Contract Notices (unless the online ESPD (Scotland) module on PCS is being used).

Statements have been provided for Part IV of the ESPD (Scotland): Selection Criteria.

* Section **A: Suitability**
* Section **B: Economic and Financial Standing**
* Section **C: Technical and Professional Ability (this is where bidders can be shortlisted)**
* Section **D: Quality Assurance Schemes and Environmental Management Standards**

**Contract Notices**

Procurement Officers can use these statements as part of the notice creation process in PCS or when completing their online ESPD (Scotland) Module input. Procurement Officers must select and edit statements as appropriate, depending on the requirements of the specific procurement exercise being undertaken.

**The fields in the Contract Notice have character limits. If the Procurement Officer has more information than the field allows, the field VI.3 Additional Information can be used for further information. If further space is required the Procurement Officer can add an attachment to the Contract Notice, however if PCS-Tender is being used an attachment cannot be added to the Contract Notice and must instead be added to PCS-Tender.**

**In any instance where a further field or attachment is required this should be specified in the relevant field of the Contract Notice to ensure bidders are informed where all information resides.**

**If sections within the ESPD (Scotland) are not relevant and appropriate to the procurement exercise, the Procurement Officer should specify this in the Contract Notice to ensure bidders understand this has been a deliberate omission to the Contract Notice.**

**The numbering of the questions and statements in this document are the same as the numbering of the questions in the ESPD (Scotland), to make it easier for the Procurement Officer to insert them into the correct section.**

EXCLUSION GROUNDS

The following guidance does not apply if using the online ESPD (Scotland) module on PCS as the relevant information is contained within the module and therefore does not need to be added to the Contract Notice.

Procurement Officers must include a statement in the Contract Notice regarding the exclusions that may apply

There are circumstances in which bidders must be excluded and other circumstances in which they may be excluded from the procurement process. It is therefore essential that the following statement is added to the Contract Notice.

In the Contract Notice the Procurement Officer must select the relevant statement (as listed below) to be added to II.2.14 ‘Additional Information’.

For further information regarding regulated procurements of OJEU threshold and above, please refer to [Regulations 58 and 59 of The Public Contracts (Scotland) Regulations 2015](http://www.legislation.gov.uk/ssi/2015/446/pdfs/ssi_20150446_en.pdf), Regulation 78 of [the Utilities Contracts (Scotland) Regulations 2016](http://www.legislation.gov.uk/ssi/2016/49/contents/made).

Regarding regulated procurements which are between £50k and OJEU threshold, please refer to Regulations 8, 9 and 10 of [The Procurement (Scotland) Regulations 2016](http://legislation.data.gov.uk/sdsi/2016/9780111030868/data.html).

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| .  The statement for an OJEU notice:  Economic operators may be excluded from this competition if they are in any of the situations referred to in regulation 58 of the Public Contracts (Scotland) Regulations 2015.  The statement for sub-threshold (Site) notices:  Economic operators may be excluded from this competition if they are in any of the situations referred to in regulation 8 and 9 of the Procurement (Scotland) Regulations 2016. |

SELECTION CRITERIA

A: Suitability

section iii.1.1 (max. 4k characters) of the contract notice or III.1.4 (Max. 1k Characters) of the Social and Specific Services Contract Notice

**GUIDANCE FOR PROCUREMENT OFFICER**

**If the Procurement Officer uses Suitability Criteria questions from the ESPD (Scotland – Part IV, A), the Procurement Officer should add the relevant Suitability statements to Section III.1.1 of the Contract Notice Or III.1.4 of the Social and Specific Services Contract Notice.**

**Questions 4A.1 to 4A.2.3 below**

**Certain member states have specific bodies from which bidders are required to obtain membership or receive authorisation for them to provide particular services. All requests should allow for “or equivalent” responses from bidders. If relevant documentation is available via electronic means, then the organisation should request access information e.g. the website address.**

**If relevant documentation for any question is available via electronic means, then the Procurement Officer should request access to this information e.g. the website address.**

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| **Question Reference** | **Question from ESPD (Scotland)** | **Related Statements for ESPD (Scotland)** |
| 4A.1  4A.1.1 | **The bidder is enrolled in the relevant professional or trade registers** kept in the Member State of its establishment (as described in Schedule 5 of the Public Contracts (Scotland) Regulations 2015):  If the relevant documentation is available electronically, please indicate: | If required by the member state, bidders are required to be enrolled in the relevant professional or trade registers within the country in which they are established. |
| 4A.2  4A.2.1  4A.2.2  4A.2.3 | **For service contracts:** Is it a requirement in the bidder’s country of establishment to hold a particular authorisation or membershipof a particular organisation needed in order to be able to perform the service in question:  If **yes**, please specify which authorisation or membership is required:  Please indicate whether the bidder has the required authorisation or membership (as named above):  If the relevant documentation is available electronically, please indicate: | Where it is required, within a bidder’s country of establishment they must confirm which authorisation or memberships of the relevant organisation(s) are required in order to perform this service.  Bidders must confirm if they hold the particular authorisation or memberships. |

B: economic and financial standing

section iii.1.2 (the two text boxes have max. 4k characters each) of the contract notice or III.1.4 (Max. 1k Characters) of the Social and other Specific Services Contract Notice

**GUIDANCE FOR PROCUREMENT OFFICER**

**If the Procurement Officer requires minimum standards for Economic and Financial Standing and uses Section B of Part IV of the ESPD (Scotland), then the Procurement Officer must determine how they will assess bidders’ economic and financial standing and detail this clearly in Section III.1.2 of the Contract Notice or III.1.4 of the Social and other Specific Services Contract Notice.**

**If the Procurement Officer does not use Section B of Part IV of the ESPD (Scotland) then the Procurement Officer should insert wording (and not leave it blank) in Section III.1.2 of the Contract Notice or III.1.4 of the Social and other Specific Services Contract Notice stating that Economic and Financial Standing statements are not applicable for the procurement exercise.**

[**Guidance under the Procurement Reform (Scotland) Act 2014**](http://www.gov.scot/publications/2016/03/8410) **provides more detailed guidance on evaluating bidders’ economic and financial standing, and the type and level of insurance required by the winning bidder.**

**When using questions from this section, Procurement Officers should state the exact level of turnover and/or the ratio range, and/or insurance required from bidders.**

**For further guidance please see the OJEU Contract Notice examples provided on the** [**Contract Notice and Advertising**](https://www.procurementjourney.scot/route-3/route-3-develop-documents-contract-notice-and-advertising) **station.**

**If relevant documentation for any question is available via electronic means, then the Procurement Officer should request access to this information e.g. the website address.**

**Questions 4B.4 to 4B.4.1 below**

For financial ratios Procurement Officers should state the value and/or range of the ratio(s) required and how the ratio(s) should be calculated.

**Questions 4B.1.1 to 4B.2.3 below**

Procurement Officers may, if appropriate, select 4B.1.1 or 4B.1.2 and/or 4B.2.1 or 4B.2.2. Procurement Officers should note that 4B.2.1 and 4B.2.2 request turnover information relating to the business area specified in the contract notice.

Procurement Officers can only ask for information on turnover for a maximum of three financial years prior to the date of proposed contract award,

AND

the yearly turnover a Procurement Officer can require from a bidder must be a maximum of twice the estimated contract value, except in duly justified cases (link to Regs).

**Question 4B.4 below**

The Procurement Officer must specify the financial ratio(s) name, ratio value and/or ratio range. The ratio range will be used to determine the financial stability of bidders. and specify this in the statement in the Contract Notice. The Procurement Officer must also specify in the statement the range of values acceptable for the financial ratio(s).

**Question 4B.5.1 below**

The Procurement Officer must specify the insurance requirements that are relevant and proportionate to the procurement exercise.

Please note it is a legal requirement that all bidders hold a minimum of £5 million Employers (Compulsory) Liability Insurance except those companies which are exempt in specific circumstances. For further guidance see: [**http://www.hse.gov.uk/pubns/hse40.pdf**](http://www.hse.gov.uk/pubns/hse40.pdf)

**Question 4B.6 below**

The Procurement Officer should specify in this statement any other economic or financial requirements, if required. If no additional requirements are needed, these statements should not be inserted into the notice.

**Procurement Officers may select the statements relevant to their procurement exercise from the following options.**

**Where “or” is listed, please select only one of the statements.**

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| **Question Reference** | **Question from ESPD (Scotland)** | **Related Statements for ESPD (Scotland)** |
| 4B.1.1  4B.1.2  4B.1.3 | The bidder should provide its (“general”) yearly turnover for the number of financial years specified in the relevant Contract Notice: Or,  The bidder should provide its average yearly turnover for the number of years specified in the relevant Contract Notice:  If the relevant documentation is available electronically, please indicate: | Bidders will be required to have a minimum “general” yearly turnover of **[xx] GBP** for the last **[xx]** years:    Or,  Bidders will be required to have an average yearly turnover of a minimum of **[xx]GBP** for the last **[xx]** years. |
| 4B.2.1  4B.2.2  4B.2.3 | The bidder should provide its yearly (“specific”) turnover in the business area(s) covered by the contract and specified in the relevant Contract Notice:  Or,  The bidder should provide its average yearly turnover in the area and for the number of years specified in the relevant Contract Notice:  If the relevant documentation is available electronically, please indicate: | Bidders will be required to have a minimum yearly “specific” turnover of **[xx]GBP** for the last **[xx]** years in the business area covered by the contract.  Or,  Bidders will be required to have an average yearly turnover of a minimum of **[xx]GBP** in the business area covered by the contract for the last **[xx]** years. |
| 4B.3 | In case the information concerning turnover (general or specific) is not available for the entire period required, please state the date on which the bidder was set up or started trading: | Where turnover information is not available for the time period requested, the bidder will be required to state the date which they were set up or started trading. |
| 4B.4  4B.4.1 | The bidder confirms the name, value and/or range of the financial ratios specified in the relevant Contract Notice are as follows:  If the relevant documentation is available electronically, please indicate: | Bidders will be required to state the value(s) for the following financial ratio(s):  **[ratio name]**  **[ratio value]**  The acceptable range for each financial ratio is:  **[ratio range]**  The ratio will be calculated as follows:  **[ratio calculation]** |
| 4B.5.1  4B.5.2  4B.5.3 | The bidder confirms they already have or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated in the relevant Contract Notice (Employer’s (Compulsory) Liability Insurance):  The bidder confirms they already have or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated in the relevant Contract Notice (For other insurances):  If this information is available electronically, please indicate: | It is a requirement of this contract that bidders hold, or can commit to obtain prior to the commence of any subsequently awarded contract, the types and levels of insurance indicated below:  Employer’s (Compulsory) Liability Insurance  **= [x]GBP**  Public Liability Insurance **= [x]GBP** Professional Indemnity Insurance **= [x]GBP** Product Liability Insurance **= [x]GBP**  [**http://www.hse.gov.uk/pubns/hse40.pdf**](http://www.hse.gov.uk/pubns/hse40.pdf) |
| 4B.6  4B.6.1 | Concerning any other economic or financial requirements, that may have been specified in the relevant Contract Notice, the bidder declares that:  If the relevant documentation that may have been specified in the relevant Contract Notice is available electronically, please indicate: | **[please insert any other economic or financial requirement here]** |

**C: TECHNICAL AND PROFESSIONAL ABILITY(SECTION III.1.3 (the two text boxes have max. 4k characters each) OF THE CONTRACT NOTICE OR III.1.4 (MAX. 1K CHARACTERS) OF THE SOCIAL AND OTHER SPECIFIC SERVICES CONTRACT NOTICE**

**GUIDANCE FOR PROCUREMENT OFFICER**

**This section (III.1.3 of the Contract Notice or III.1.4 of the Social and other Specific Services Contract Notice) in the ESPD (Scotland) is where the Procurement Officer provides the statements on technical and professional ability where appropriate to the procurement exercise (some procurement exercises may not require minimum technical and professional ability requirements e.g. some open procedures).**

**If the Procurement exercise merits weighting and scoring of the selection criteria this can most easily be applied in Section III.1.3 of the Contract Notice or III.1.4 of the Social and other Specific Services Contract Notice. These should be stated under Section II.2.9 the Contract Notice or II.2.14 of the Social and other Specific Services Contract Notice. The Procurement Officer must ensure any weighting detailed in the Contract Notice matches the weighting detailed in the ESPD (Scotland).**

**In Section II.2.9 of the Contract Notice or II.2.14 of the Social and other Specific Services Contract Notice the Procurement Officer should record information about the limits on the number of candidates to be invited. This should include the envisaged number of candidates to be taken forward to the next stage of the procurement process (if applicable), and the objective criteria for choosing the limited number of candidates.**

**The Procurement Officer must be specific in the Contract Notice about the selection criteria and specify any minimum requirements.**

**Questions 4C.1 to 4C.1.2 below**

In order to give bidders an opportunity of providing the most relevant examples in response to these questions, Procurement Officers should provide as much detail as possible in the requirements in the Contract Notice.

Regarding question 4.C.1, public bodies may require bidders to provide relevant examples of works from up to five years and allow experience dating from more than five years, and for question 4C.1.2 public supply and service contracts, public bodies may require relevant examples from up to three years and allow experience dating from more than three years.

**Question 4C.4 below**

Requires some examples of the supply chain management and tracking systems required e.g. stock/IT systems utilised, logistics arrangements, average lead times.

**Question 4C.5 below**

The check should be performed by the public body or, in case the latter consents to this, on its behalf by a competent official body of the country in which the bidder or service provider is established.

**Question 4C.6 below**

The Procurement Officer should list any specific requirements regarding educational and professional qualifications.

**Question 4C.9 below**

The Procurement Officer should specify any specific tools, plant or technical equipment.

**Question 4C.10 below**

If the bidder **has** decided to subcontract a part of the contract **and** relies on the subcontractor’s capacities and capabilities to perform that part then a separate ESPD for such subcontractors must be completed. This question should not be scored.

**Question 4C.11 to 4C.11.2 below**

The Procurement Officer must detail whether photographs, samples or descriptions are required and their requirements of product checking – separately listing those where certification is required and those where other means of verification (e.g. sampling) would be acceptable.

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| **Question Reference** | **Question from ESPD (Scotland)** | **Related Statements for ESPD (Scotland)** |
| 4C.1  4C.1.1 | For **public works contracts** only, please provide relevant examples of works carried out in the past five years as specified in the Contract Notice:  If the relevant documentation concerning satisfactory execution and outcome for the most important works is available electronically, please indicate: | Bidders will be required to provide examples of works carried out in the past five years that demonstrate that they have the relevant experience to deliver the work as described in part II.2.4 of the OJEU Contract Notice or the relevant section of the Site Notice. |
| 4C.1.2 | For **public supply and public service contracts** only, please provide relevant examples of supplies and/or services carried out during the last three years as specified in the Contract Notice:  (Examples from both public and/or private sector customers and clients may be provided): | Bidders will be required to provide examples that demonstrate that they have the relevant experience to deliver the services/supplies as described in part II.2.4 of the OJEU Contract Notice or the relevant section of the Site Notice. |
| 4C.2  4C.2.1 | Please provide details of the technicians or technical bodies the bidder can call upon, especially those responsible for quality control in relation to this procurement exercise:  In the case of **public works contracts**, the bidder will be able to call on the following technicians or technical bodies to carry out the work: | Bidders will be required to confirm details of the technicians or technical bodies who they can call upon, especially those responsible for quality control. |
| 4C.3 | Please provide details of the technical facilities and measures for ensuring quality and the study and research facilities used: | Bidders will be required to demonstrate that they have (or have access to) the appropriate technical facilities, study and research facilities and quality measures to deliver the types of requirements detailed in II.2.4 in the OJEU Contract Notice or the relevant section of the Site Notice. |
| 4C.4 | Please provide a statement of the relevant supply chain management and/or tracking systems used: | Bidders will be required to confirm that they have (or have access to) the relevant supply chain management and tracking systems used by them to deliver the types of requirements detailed in II.2.4 in the OJEU Contract Notice or the relevant section of the Site Notice. |
| 4C.5 | **For complex products or services to be supplied or, exceptionally, for products or services which are required for a special purpose:** Will the bidder allow checks by the public body or any competent official body from their country, to be conducted on the production capacities or the technical capacity of the bidder and, where necessary, on the means of study and research which are available to it and on the quality control measures? | **[Procurement Officers please read and delete: this statement should only be applied to procurement exercises to source complex products or services or, exceptionally, for products or services which are required for a special purpose. PLEASE DELETE ]**  Bidders will be required to confirm that they will allow checks to be conducted on their production and technical capacities and where necessary on the means of study and research facilities available to it and on the quality control measures employed. |
| 4C.6  4C.6.1 | The following educational and professional qualifications are held by:  The service provider or the contractor itself,    And/Or (depending on the requirements set out in the relevant Contract Notice)Its managerial staff: | Bidders will be required to confirm that they and/or the service provider have the following relevant educational and professional qualifications:  **[Insert minimum requirements for educational and professional qualifications]**  And/Or:  Bidders will be required to confirm that their managerial staff have the following relevant educational and professional qualifications:  **[Insert minimum requirements for educational and professional qualifications]** |
| 4C.7 | Please provide details of the environmental management measures which the bidder will be able to use when performing the contract: | Bidders will be required to confirm that they will employ environmental management measures that meet the following requirements:  **[Insert minimum requirements for environmental management measures]** |
| 4C.8.1  4C.8.2 | Please provide details of the average annual manpower for the last three years:  Please provide details of the number of managerial staff for the last three years: | Bidders will be required to confirm their average annual manpower for the last three years.  Bidders will be required to confirm their and the number of managerial staff for the last three years. |
| 4C.9 | Please provide details of relevant tools, plant or technical equipmentavailable to you in relation to this procurement exercise: | Bidders will be required to demonstrate that they have (or have access to) the relevant tools, plant or technical equipment to deliver the types of requirements detailed in II.2.4 in the OJEU Contract Notice or the relevant section of the Site Notice. |
| 4C.10 | Please provide details ofthe proportion (i.e. percentage) of the contract that you intend to subcontract: | Bidders will be required to confirm whether they intend to subcontract and, if so, for what proportion of the contract. |
| 4C.11  4C.11.1  4C.11.2 | **For public supply contracts:** the bidder will supply the required samples, descriptions or photographs of the products to be supplied, which do not need to be accompanied by certifications of authenticity:  Where applicable, the bidder furthermore declares that it will provide the required certificates of authenticity:  If the relevant documentation is available electronically, please indicate: | Bidders must confirm that they will provide samples, descriptions and/or photographs of the products to be supplied which do not require a certificate of authenticity:  The bidder must confirm that they will provide certificates of authenticity where required. |
| 4C.12  4.C.12.1  4C.12.2 | **For public supply contracts:** Can the bidder provide the required certificates drawn up by official quality control institutes or agencies of recognised competence attesting the conformity of products clearly identified by references to the technical specifications or standards, which are set out in the relevant Contract Notice?  **If not**, please explain why and state which other means of proof can be provided:  If the relevant documentation is available electronically, please indicate: | Bidders will be required to confirm that they have the required quality control institute certificates (or from agencies of recognised competence) confirming that products meet the following technical specifications or standards:  **[Procurement Offer to detail the required certificates]**  If this cannot be provided, bidders will be required to explain why, and to confirm details of other means of proof that can be provided (issuing authority, address, reference of documentation). |

D: Quality assurance schemes and environmental management standards

**SECTION III.1.3 (the two text boxes have max. 4k characters each) OF THE CONTRACT NOTICE OR III.1.4 (MAX. 1K CHARACTERS) OF THE SOCIAL CARE AND OTHER SPECIFIC SERVICES CONTRACT NOTICE**

**GUIDANCE FOR PROCUREMENT OFFICER**

**The Procurement Officer should only request this information where quality assurance schemes and/or environmental management standards are proportionate and relevant to the contract.**

**If the Procurement Officer is intending to include these statements in their Contract Notice as minimum requirements, they must decide whether a formal third party certification is necessary, or whether any alternative means of proof, that bidders meet the minimum required standard, will be acceptable. Where Procurement Officers will accept alternative means of proof, they should only choose the combination of statements which are proportionate and relevant to their contract.**

**Procurement Officers may select any or all statements from the list of statements below, or may provide their own information as required.**

**Procurement Officers must accept any accredited independent third party certificate of compliance in accordance with the relevant requirements.**

**Procurement Officers must also accept other evidence of equivalent measures where the bidder could not obtain such certificates within the relevant time limits for reasons that are not attributable to it, provided that the bidder proves that the proposed measures comply with the required standards.**

**Procurement Officers should insert the Quality Assurance Schemes and Environmental Management Standards statement(s) under Section III.1.3 of the Notice (or III.1.4 of the Social and other Specific Services Contract Notice) as the Contract Notice does not have a specific field for Quality Assurance Schemes and Environmental Management Standards statements which relate to Section D of Part IV of ESPD (Scotland).**

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| **Question Reference** | **Questions from ESPD (Scotland)** | **Related Statements for ESPD (Scotland)** |
| 4D.1  4D.1.1  4D.1.2 | Will the bidder be able to produce certificates drawn up by independent bodies attesting that the bidder complies with the required quality assurance standards, including accessibility for disabled persons?  **If not**, please explain why and specify which other means of proof concerning the quality assurance scheme can be provided:  If the relevant documentation is available electronically, please indicate: | **Quality Management Procedures**  1. The bidder must hold a UKAS (or equivalent) accredited independent third party certificate of compliance in accordance with BS EN ISO 9001 (or equivalent),  OR  2. The bidder must have the following:  a. A documented policy regarding quality management. The policy must set out responsibilities for quality management demonstrating that the bidder has, and continues to implement, a quality management policy that is authorised by their Chief Executive, or equivalent, which is periodically reviewed at a senior management level. The policy must be relevant to the nature and scale of the work to be undertaken and set out responsibilities for quality management throughout the organisation.  b. Documented procedures for periodically reviewing, correcting and improving quality performance including processes for ensuring that the bidder’s quality management is effective in reducing/preventing incidents of sub-standard delivery. This must include the quality of output and general performance.  c. A documented process for ensuring that quality management is effective in reducing/preventing incidents of sub-standard delivery. This must include the quality of output and general performance. The bidder must be able to provide copies of their organisation’s documentation procedures that meet current agreed good practice. These must include the arrangements for quality management throughout the bidder’s organisation. They must set out how the bidder’s organisation will carry out its policy, with a clear indication of how the arrangements are communicated to the workforce.  d. Documented arrangements for providing the bidder’s workforce with quality related training and information appropriate to the type of work for which this organisation is likely to bid. This will demonstrate that the organisation has in place, and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to discharge their various responsibilities. These must 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 records.  e. Documented arrangements that the organisation has a system for monitoring quality management procedures on an on-going basis. The bidder’s organisation must be able to provide evidence of systematic, periodic review and improvement of quality in respect of output and general performance  f. Documented arrangements for ensuring that the bidders apply quality management measures that are appropriate to the work for which they are being engaged.  g. A documented process demonstrating how the bidder deals with complaints. The bidder must be able to provide details of how their organisation maintains records of any complaints received and how corrective measures are carried out to prevent reoccurrence.  **Health and Safety Procedures**  3. The bidder must hold a UKAS (or equivalent), accredited independent third party certificate of compliance in accordance with BS OHSAS 18001 (or equivalent) or have, within the last 12 months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum.  OR,  4a The bidder must have a regularly reviewed and documented policy for Health and Safety (H&S) management, endorsed by the Chief Executive Officer, or equivalent. The policy must be relevant to the nature and scale of the work and set out responsibilities for H&S management at all levels within the organisation. The policy must be relevant to the nature and scale of your operations and set out your company’s responsibilities of health and safety management and compliance with legislation.  **Note** - Organisations with fewer than five employees are not required by law to have a documented policy statement.  4b. A documented process demonstrating the bidder’s arrangements for ensuring that H&S measures are effective in reducing/preventing incidents, occupational ill-health and accidents. This must provide details of the arrangements for H&S management that are relevant to the nature and scales of the requirement.  4c. A documented procedure how the bidder obtains access to competent Health and Safety advice and assistance. This must demonstrate evidence of how the bidder’s organisation obtains access to competent Health and Safety advice.  4d. Documented arrangements for providing the bidder’s workforce with training and information appropriate to the type of work of which the organisation is likely to bid. This must provide evidence that the bidder has in place, and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to discharge the various duties. This will provide details of staff health and safety training arrangements and how relevant information is communicated to staff. This must also include a description of arrangements for keeping the workforce updated on legislation and good H&S practice applicable throughout the organisation.  4e. A documented procedure describing what H&S or other relevant qualifications and experience the bidder’s workforce has, in order to implement the H&S policy to a standard appropriate for the work for which the organisation is likely to bid. This must demonstrate that the 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.  4f. Documented arrangements for checking, reviewing and where necessary, improving the bidders H&S performance. This must demonstrate that the bidder’s organisation has in place, and implements, a system of monitoring H&S procedures on an on-going basis and for periodically reviewing and updating that system as necessary.  4g. Documented arrangements for involving the bidder’s workforce in the planning and implementation of H&S measures. This must demonstrate that the bidder has in place, and implements, a means of consulting its workforce on H&S matters and show how workforce comments, including complaints, are taken into account.  4h. Documented procedures for recording accidents/incidents and undertaking follow-up action. This will include records of accident rates and frequency for all RIDDOR reportable events for at least the last 3 years. It must demonstrate a system for reviewing significant incidents, and recording action taken as a result including action taken in response to enforcement.  4i. Documented arrangements for ensuring that the bidder’s suppliers apply H&S measures to a standard appropriate to the work for which they are being engaged. This must demonstrate that the bidder’s organisation has, and implements, arrangements for monitoring suppliers’ H&S procedures, and for ensuring that H&S performance appropriate for the work undertaken is delivered throughout the whole of your organisation’s supply chain.  4j. Documented arrangements for carrying out risk assessments capable of supporting safe methods of work and reliable contract delivery where necessary. This must demonstrate that the bidder has in place, and implements, procedures for carrying out risk assessments and for developing and implementing safe systems of work (“method statements”), and be able to provide relevant indicative examples. The identification and control of any significant occupational health issues must be prominent.  **Note** - Organisations with fewer than five employees are not required by law to record risk assessments.  4k. Documented arrangements for co-operating and co-ordinating the bidder’s work with other suppliers. This must provide an explanation of how co-operation and co-ordinating of the work is achieved in practice, and how other organisations are involved in drawing up method statements/safe systems of work etc. including arrangements for response to emergency situations. This must 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.  4l. FOR CONSTRUCTION/WORKS CONTRACTS ONLY  Documented arrangements for ensuring that on-site welfare provision meets legal requirements and the needs/expectations of the bidder’s employees. This must demonstrate that suitable welfare facilities will be in place before starting work on site, whether provided by site specific arrangements or the bidder’s own organisational measures.  4m. You must meet any health and safety requirements placed upon you by law. |
| 4D.2  4D.2.1  4D2.2 | Will the bidder be able to produce certificates drawn up by independent bodies attesting that the bidder complies with the required environmental management systems or standards?  **If not**, please explain why and specify which other means of proof concerning the environmental management systems or standards can be provided:  If the relevant documentation is available electronically, please indicate: | 1 The Bidder must hold a UKAS (or equivalent) accredited independent third party certificate of compliance with  BS EN ISO 14001 (or equivalent) or a valid EMAS (or equivalent) certificate,  OR  2. The bidder must have the following:  a. A regularly reviewed documented policy regarding environmental management, authorised by the Chief Executive, or equivalent. This policy must include and describe the bidder’s environmental emergency response procedures, including the preparedness and response procedures for potential accidents and emergency response situations that give rise to significant environmental impacts (for example hazardous substances spill control).  b. Documented arrangements for ensuring that the bidder’s environmental management procedures are effective in reducing / preventing significant impacts on the environment. This should   evidence that the bidder’s organisation’s environmental policy implementation plan provides information as to how the organisation 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: sustainable materials procurement;  waste management; energy management. This should include the arrangements for responding to, monitoring and recording environmental incidents and emergencies and complaints.  c. Documented arrangements for providing employees with training and information on environmental issues, including evidence that the bidder 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.  d. Documented arrangements for checking, reviewing and where necessary improving, the bidder’s environmental management performance and the environmental impact of this organisation, demonstrating that it 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.  e. Documented arrangements checking, reviewing and where necessary improving, the bidder’s environmental management performance and the environmental impact of this organisation, demonstrating that it has a system for monitoring environmental management procedures on an on-going basis and for updating them at periodic intervals. These must include details of the procedures in place to access and deal with environmental risks.  f. Procedures for dealing with waste (e.g. waste management plans, waste segregation, recycling etc.).  g. Documented arrangements for ensuring that any suppliers the bidder engages apply environmental protection measures that are appropriate to the work for which they are being engaged, including procedures for monitoring supplier’s environmental management arrangements and ensuring that environmental performance appropriate for the work to be undertaken is delivered throughout the whole of the bidder’s supply chain. |