

Common Assessment Standard – Question Set

Contents

<u>Introduction</u>	p.2
<u>Completing the Question Set</u>	p.2
<u>Audit</u>	p.3
<u>Exemptions List</u>	p.4
<u>Documents List</u>	p.5
<u>Section 1: Identity</u>	p.6
<u>Section 2: Financial</u>	p.13
<u>Section 3: Corporate and Professional Standing</u>	p.18
<u>Section 4: Health and Safety</u>	p.34
<u>Section 5: Environmental</u>	p.50
<u>Section 6: Quality</u>	p.56
<u>Section 7: Building Safety</u>	p.61
<u>Section 8: Fairness, Inclusion and Respect (FIR)</u>	p.74
<u>Section 9: Information Security</u>	p.77
<u>Section 10: Information Management (IM)</u>	p.80

Introduction

The Common Assessment Standard, developed by Build UK, has transformed the construction pre-qualification (PQ) process, improving efficiency, reducing cost and raising quality standards.

Companies that have the Common Assessment Standard are certified once a year by a Recognised Assessment Body and this is accepted by a [growing list of Contractors and Clients](#) who no longer specify a particular assessment body.

Central Government departments and wider public sector bodies should also use the Common Assessment Standard to pre-qualify suppliers in accordance with [PPN 03/24](#), and the question set can be used to demonstrate companies have the organisational capability to fulfil their roles under the [Building Safety Act](#).

This guide to the question set is designed to help companies prepare for an audit by a [Recognised Assessment Body](#).

Completing the Question Set

The Common Assessment Standard comprises an industry-agreed question set, and desktop and site-based assessment standards, divided into 10 sections for ease of completion. It is based on UK legislation and designed for use by construction companies in the UK.

Advisory Questions

The majority of questions are mandatory and failure to successfully complete them will result in a company not obtaining the Common Assessment Standard.

There a number of questions which have been designated as 'advisory' questions and these are identified within the final column of the question set. This currently includes the questions in the Building Safety section whilst the industry gets up to speed with the new requirements.

A company does not have to complete advisory questions to achieve the Common Assessment Standard but any question which is not successfully completed may be flagged when the company's verified PQ data is shared with Contractors and Clients.

Exemptions

A company may be exempt from answering certain questions if:

- It holds other third-party audited certifications, such as ISO standards; or
- The questions are not relevant to the nature of its business (e.g. the company does not employ sub-contractors).

A complete list of possible exemptions can be found on page 4 and all exemptions are identified within the final column of the question set, with those questions that are not required if third-party audited certifications are held shaded grey as shown below.

83	Does your company have arrangements in place to ensure that your H&S measures are effective in reducing and/or preventing work-related incidents, occupational ill-health and accidents?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide evidence of the arrangements which the company has made for putting its H&S policy into effect and for discharging its duties under current relevant H&S legislation.	Exemption if ISO 45001/ SSIP Certificate
----	--	---	--

Companies undergoing a site-based audit will be required to demonstrate how they implement the policies and procedures covered by third-party audited certifications.

Documents

A company may be required to upload documents when responding to certain questions and these are identified in the final column of the question set.

A complete list of the documents that may be required, depending on the nature of a company's business and the other third-party audited certifications it holds, can be found on page 5.

Once companies have achieved the Common Assessment Standard, they will be required to ensure that they update key documents when they expire in order to maintain their certification. These 'time-critical' documents are identified in the list on page 5.

Micro-Businesses

To ensure that the Common Assessment Standard is accessible to all companies regardless of size, the assessment standards for certain questions have been revised for micro-businesses that meet the following criteria:

- Less than ten employees, **and**
- Turnover below £1.8 million **or** balance Sheet total less than £1.8 million.

Micro-businesses can still choose to complete the relevant questions to the full standard if they wish.

Audit

Once a company has completed the question set, its chosen Recognised Assessment Body will audit the information it has provided.

A **desktop audit** will involve the Recognised Assessment Body verifying the information against the relevant assessment standard remotely.

A **site-based audit** will involve an auditor from the Recognised Assessment Body visiting the company's premises to verify the implementation of the policies and procedures submitted against the relevant assessment standard.

Successful completion of an audit will result in the company achieving certification to the Common Assessment Standard. It will receive a certificate which will be valid for one year from the date of issue, provided that any 'time-critical' documents are updated when they expire. The company may also display the appropriate version of the Common Assessment Standard logo which can be requested from the Recognised Assessment Body that carried out the audit.

It remains the responsibility of the company to declare to any potential Contractor or Client that no material breaches (legal or enforcement) have occurred since achieving certification to the Common Assessment Standard.

Exemptions List

Exemptions
Where company holds the following certifications: <ul style="list-style-type: none"> • ISO 9001 • ISO 14001 / EMAS • ISO 27001 / Cyber Essentials Plus • ISO 45001 / SSIP • BS 99001 • ISO 19650-2
Where company does not employ sub-contractors
Where company does not work on or intend to work on: <ul style="list-style-type: none"> • any projects in-scope of the Building Safety Act • any Higher-Risk Buildings as defined under the Building Safety Act
Where company does not undertake the following dutyholder roles under the Building Safety Act: <ul style="list-style-type: none"> • Principal Designer • Designer • Principal Contractor • Contractor
Where company does not undertake the following dutyholder roles under the CDM Regulations: <ul style="list-style-type: none"> • Principal Designer • Designer • Principal Contractor • Contractor
Where company does not work on, or intend to work on, any projects involving Information Management (IM) work
Where company has already completed a Single Procurement Document (SPD)
Where company is not a sheltered workshop or a social enterprise, or does not provide sheltered employment programmes

Documents List

Document	Question(s)	Time Critical
Accounts for last two years	27	
Anti-Bribery and Corruption Policy	57	
Anti-Bullying Policy	72	
Anti-Slavery and Human Trafficking Statement	68	
Behavioural Management Programme	78	
Carbon Emissions Report	122	
Carbon Emissions Reduction Plan	123	
Corporate Governance Statement	53	
Corporate Social Responsibility Policy (CSR) or Environmental, Social and Governance (ESG) Policy	67	
Cyber Essentials Plus Certificate	166	Yes
Cyber Security Policy	168	
Data Protection Policy and Privacy Notice	169	
Drugs and Alcohol Policy	77	
EMAS Certificate	114	
Environmental Management Policy	115, 119	
Fairness, Inclusion and Respect (FIR) Policy or Equality, Diversity and Inclusion (EDI) Policy	160, 161, 162	
Factory Production Control (FPC) Certificate	135	Yes
Fleet Management Scheme Certificate	80	
Gender Pay Gap Report	73	
Health and Safety Policy	76, 96	
Information Management Policy	176, 177, 178	
Insurance Certificate – Contractors All Risk	32	Yes
Insurance Certificate – Employers’ Liability	28	Yes
Insurance Certificate – Fleet	33	Yes
Insurance Certificate – Product Liability	31	Yes
Insurance Certificate – Professional Indemnity	30	Yes
Insurance Certificate – Public Liability	29	Yes
ISO 9001 Certificate	126	Yes
ISO 14001 Certificate	114	Yes
ISO 19650-2 Certificate	175	Yes
ISO 27001 Certificate	166	Yes
ISO 45001 Certificate	74	Yes
BS 99001 Certificate	125	Yes
Occupational Health Policy	79	
Quality Management Policy	128	
Risk Management Policy	129	
Single Procurement Document (SPD)	43	
SSIP Certificate	74	Yes
Sub-Contractor Selection Policy	38, 119, 133, 142	
Trade-specific licences/certifications (e.g. Asbestos Licence)	21	
Waste Carrier Licence	121	
Whistleblowing Policy	63	

Section 1: Identity

Question Number	Question	Guidance	Information
1	What is your company's legal name?	Please provide your company's legal name.	
2	What is your company's trading name?	Please provide your company's trading name.	
3	What is your company's registered office address?	<p>Please provide the following:</p> <ul style="list-style-type: none"> • Address line 1 (including property name/number) • Address line 2 • Address line 3 • Town • County • Postcode • Website (if applicable). 	
4	What is your company's trading address?	<p>Please provide your company trading address, if different from your company's registered office address, and the addresses of any branch offices (if applicable).</p> <p>If your company's trading address is the same as your registered office address, please answer <i>N/A</i>.</p>	
5	Is your company registered, based and active in the UK, Channel Islands and/or Republic of Ireland? <i>If yes, you do not need to complete questions 25 and 26.</i>	Please answer <i>yes</i> or <i>no</i> .	
6	What is your company's geographical area of operation?	Please provide the geographic areas where your company operates.	
7	What are your company's contact details for enquiries about pre-qualification?	<p>Please provide the following:</p> <ul style="list-style-type: none"> • Title (Mr, Mrs, Ms, etc.) • Forename • Surname • Job title • E-mail • Company e-mail • Telephone number • Address line 1 (including property name/number) • Address line 2 • Address line 3 	

		<ul style="list-style-type: none"> • Town • County • Postcode. 	
8	What is your company type?	<p>Please select the applicable option from the list below:</p> <ul style="list-style-type: none"> • Public Limited Company • Private Limited Company • Limited Liability Partnership • Other partnership • Sole trader • Third Sector • Other (please specify your organisation) 	
9	What is your Companies House registration number or equivalent?	<p>Please provide your company's Companies House registration number or equivalent.</p> <p>If you are a company based outside the UK and registered with Companies House, please ensure that your registration number includes the prefix FC.</p> <p>If you are a sole trader or not registered on Companies House, please answer N/A.</p> <p>If your company is a charity, please provide your charity registration number.</p>	
10	What is your company's VAT registration number?	<p>Please provide your company's VAT registration number.</p> <p>If your company is not VAT registered, please answer N/A.</p>	
11	What is your company's unique tax reference (UTR)?	<p>Please provide your company's unique tax reference (UTR).</p> <p>If your company does not have a UTR, please answer N/A.</p>	
12	When was your company incorporated?	<p>Please provide the date your company was incorporated.</p> <p>If your company is not incorporated, please provide the date the business was started.</p>	
13	Is your company part of a group?	<p>If no, please answer no.</p> <p>If yes, please provide details of the group structure and legal ownership, including the following as applicable:</p> <ul style="list-style-type: none"> • Name of ultimate parent company 	

		<ul style="list-style-type: none"> • Name of immediate parent company • Names of associated or group companies. 	
14	Can you provide details of your company's Proprietors/Partners/Directors and Company Secretary?	Please provide names and roles.	
15	Is your company a micro, small, or a medium-sized enterprise?	<p>If your company is not a large company, please select the applicable option from the list below:</p> <ul style="list-style-type: none"> • Micro: <ul style="list-style-type: none"> 1) Fewer than 10 employees, and 2) Turnover below £1.8m or balance sheet total less than £1.8m. • Small: <ul style="list-style-type: none"> 1) Fewer than 50 employees, and 2) Turnover below £9m or balance sheet total less than £9m. • Medium: <ul style="list-style-type: none"> 1) Fewer than 250 employees, and 2) Turnover below £45m or balance sheet total less than £38.5m. <p>If your company is a large company, please answer <i>no</i>.</p> <p>Where an enterprise is not autonomous (e.g. it is a partner enterprise or a linked enterprise) it may be necessary to take account of the headcount, turnover and balance sheet totals of other enterprises to which it has connection.</p>	
16	How many personnel does your company have in its workforce?	<p>Please provide two figures for the last 12 months:</p> <ol style="list-style-type: none"> 1) Total number of <i>direct employees</i> (PAYE) 2) Total number of <i>indirect personnel</i> (non-PAYE) <p>Direct employment is an employment status for tax and employment law purposes which generally involves the following:</p> <ul style="list-style-type: none"> • A contract of employment • Full statutory rights as an 'employee' • Payment to HMRC of PAYE income tax and employer and employee Class 1 NICs. 	

		Indirect personnel includes individuals working as or via labour-only sub-contractors, or engaged via other intermediaries, including employment businesses, umbrella companies, personal service companies etc. It does not include individuals who work as or for a bona-fide trade contractor (i.e. a company that contracts to perform a defined sub-contract work package for which it carries commercial risk).	
17	What percentage of your company's directly employed workforce are in 'earn and learn' positions?	<p>Please provide the percentage of your directly employed workforce who are in 'earn and learn' positions including:</p> <ul style="list-style-type: none"> • Apprenticeships at all levels • Formalised graduate training programmes • Sponsored students <p>This does not include those workers that are on:</p> <ul style="list-style-type: none"> • Single instance/short-term training • Internships • Work experience (freestanding or related to qualifications). 	Advisory
18	<p>Is your company a sheltered workshop or a social enterprise, or will it provide for the performance of the contract in the context of sheltered employment programmes?</p> <p><i>If no, you do not need to complete question 19.</i></p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/set-up-a-social-enterprise • https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/31677/11-1400-guide-legal-forms-for-social-enterprise.pdf • https://www.socialenterprise.org.uk/get-involved/start-a-social-enterprise/ <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please select the applicable option from the list below:</p> <ul style="list-style-type: none"> • Sheltered workshop • Social enterprise. <p>Sheltered workshop: An organisation or environment that employs people with disabilities separately from others.</p>	

		<p>Social enterprise: An organisation with primarily social objectives whose surpluses are principally reinvested for that purpose in the business or in the community, rather than being driven by the need to maximise profit for shareholders and owners. This may include:</p> <ul style="list-style-type: none"> • They have a social mission written into their company governing documents • They make more than 50% of their money from trading • They reinvest or give away more than 50% of their profits to further their social mission • They are independent: owned and controlled in the interests of the social mission • They are transparent in how they report their social impact and how they operate. 	
19	What is the corresponding percentage of disabled or disadvantaged workers?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/government/publications/see-potential-case-studies-and-employer-information-pack/see-potential-a-step-by-step-guide-to-open-recruitment <p>Please provide percentage of disabled or disadvantaged workers and specify which of the following categories they belong to.</p> <p>Disabled worker:</p> <ul style="list-style-type: none"> • Is recognised as worker with disabilities under national law; or • Has long-term physical, mental, intellectual or sensory impairment(s) which, in interaction with various barriers, may hinder their full and effective participation in a work environment on an equal basis with other workers. <p>Disadvantaged worker:</p> <ul style="list-style-type: none"> • Has not been in regular paid employment for the previous 6 months • Is between 15 and 24 years of age • Has not attained an upper secondary educational or vocational qualification (International Standard 	Exemption if answered <i>no</i> to question 18 and is not a sheltered workshop or a social enterprise, or provides sheltered employment programmes

		<p>Classification of Education 3) or is within two years of completing full-time education and who has not previously obtained their first regular paid employment</p> <ul style="list-style-type: none"> • Is over 50 years of age • Lives as a single adult with one or more dependants • Works in a sector or profession in a Member State where the gender imbalance is at least 25% higher than the average gender imbalance across all economic sectors in that Member State, and belongs to that under-represented gender group • Is a member of an ethnic minority within a Member State including those who require development of their linguistic, vocational training or work experience profile to enhance prospects of gaining access to stable employment • Is a care-leaver • Is an ex-offender • Is a recovering addict • Has experience of homelessness • Is a single parent • Is a veteran • Other (please specify). 	
20	What types of construction trades/work does your company undertake?	Please provide a list of the construction trades/work that your company carries out. For each trade/work your company undertakes, please provide copies of any mandatory licences/certificates (e.g. Asbestos Licence).	Document: Mandatory licences/ accreditations
21	Does your company employ sub-contractors? <i>If no, you do not need to complete questions 38, 119, 133, 142, 165, 170 and 171.</i>	Please answer yes or no.	
22	Does your company work on, or intend to work on, any projects in-scope of the Building Safety Act? <i>If no, you do not need to complete any of the questions in Section 7: Building Safety (138 – 159).</i>	<p>Guidance can be found here: https://builduk.org/wp-content/uploads/2023/01/Building-Safety-Regime.pdf#page=3</p> <p>Please answer yes or no.</p>	

23	<p>Does your company work on, or intend to work on, any projects involving a Higher-Risk Building?</p> <p><i>If no, you do not need to complete questions 155 – 159.</i></p>	<p>Guidance can be found here: https://builduk.org/wp-content/uploads/2023/01/Building-Safety-Regime.pdf#page=3</p> <p>Please answer yes or no.</p>	
24	<p>Does your company work on, or intend to work on, any projects with a defined requirement for organised and digitised structured Information Management (IM)?</p> <p><i>If no, you do not need to complete any of the questions in Section 10: Information Management (IM) (175 - 181).</i></p>	<p>Please answer yes or no.</p> <p>IM is defined as the process by which an organisation, with appropriate security controls, specifies (including provisions for data quality and provenance), procures, assures, stores, presents, and exploits its data to perform its core business.</p>	
25	<p>Is your company registered on an official list of approved economic operators or does it have an equivalent certificate (e.g. under a national (pre)qualification system) that covers all of the required criteria in Tables 2, 3, 4, 5, 6, 8 and 10?</p>	<p>If your company is UK-based, please respond with <i>N/A</i>.</p> <p>If your company is not UK-based, please answer yes or no.</p> <p>If yes, please provide further details of the list or certificate:</p> <ul style="list-style-type: none"> • Name of list or certificate • Registration or certification number <p>If the registration or certification is available electronically, please also state:</p> <ul style="list-style-type: none"> • The web address • Issuing authority or body • Precise reference of the documentation • The references on which the registration or certification is based • The classification obtained in the official list (if applicable). 	Exemption if UK-based company
26	<p>Is your company able to provide a certificate with regard to the payment of social security contributions and taxes or provide information enabling the contracting authority or contracting entity to obtain it directly by accessing a national database in any EU Member State that is available free of charge?</p>	<p>Please answer yes or no.</p> <p>If yes, please provide the following:</p> <ul style="list-style-type: none"> • The web address • Issuing authority or body • Precise reference of the documentation. 	Exemption if UK-based company

Section 2: Financial

Question Number	Question	Guidance	Information
27	Can you provide a copy of your company's accounts for the last two years?	<p>If your company is a small company or limited liability partnership with a turnover below the audit threshold at which the preparation of audited accounts is not required, please provide a copy of the most recent accounts as submitted to HMRC 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. A company may qualify for an audit exemption if it has at least two of the following:</p> <ul style="list-style-type: none"> • An annual turnover of no more than £10.2 million • Assets worth no more than £5.1 million • 50 or fewer employees on average. <p>If your company is a medium to large incorporated entity or other company that is required to prepare audited accounts, please provide a copy of the most recent audited accounts covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available.</p> <p>If your company is an unincorporated business (sole traders and partnerships), please provide a 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.</p> <p>If your company is a start-up business that has not reported accounts to HMRC or Companies House, please provide a forecast of turnover for the current year and a</p>	Document: Accounts for last two years

		<p>statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status.</p> <p>If your company is another company type, please provide a copy of your company's audited accounts. If your company does not have any audited accounts, an unaudited copy of the most recent accounts should be provided.</p>	
28	Does your company hold Employers' Liability Insurance?	<p>Please provide a copy of your company's Employers' Liability Insurance details, such as a certificate, broker letter, or schedule, which must include the following:</p> <ul style="list-style-type: none"> • Policy number • Limit • Excess • Expiry date. <p>Please note that the company name on your insurance policies must match the name of the company provided in question 1.</p> <p>If your company does not have any employees, please answer N/A.</p>	Document: Employers' Liability Insurance Certificate
29	Does your company hold Public Liability Insurance?	<p>Please provide a copy of your company's Public Liability Insurance details, such as a certificate, broker letter, or schedule, which must include the following:</p> <ul style="list-style-type: none"> • Policy number • Limit • Excess • Expiry date. <p>Please note that the company name on your insurance policies must match the name of the company provided in question 1.</p>	Document: Public Liability Insurance Certificate
30	Does your company hold Professional Indemnity Insurance?	<p>Please provide a copy of your company's Professional Indemnity Insurance details, such as a certificate, broker letter, or schedule, which must include the following:</p> <ul style="list-style-type: none"> • Policy number • Limit 	Exemption if did not indicate in question 92 that are a Principal

		<ul style="list-style-type: none"> • Excess • Expiry date. <p>Please note that the company name on your insurance policies must match the name of the company provided in question 1.</p>	Designer or Designer Exemption if did not indicate in question 145 that are a Principal Designer or Designer Document: Professional Indemnity Insurance Certificate
31	Does your company hold Product Liability Insurance?	<p>Please provide a copy of your company's Product Liability Insurance details, such as a certificate, broker letter, or schedule, which must include the following:</p> <ul style="list-style-type: none"> • Policy number • Limit • Excess • Expiry date. <p>Please note that the company name on your insurance policies must match the name of the company provided in question 1.</p> <p>If your company does not supply products or materials, please answer N/A.</p>	Document: Product Liability Insurance Certificate
32	Does your company hold Contractors All Risk Insurance?	<p>Please provide a copy of your company's Contractors All Risk Insurance details, such as a certificate, broker letter, or schedule, which must include the following:</p> <ul style="list-style-type: none"> • Policy number • Limit • Excess • Expiry date. 	Document: Contractors All Risk Insurance Certificate

		<p>Please note that the company name on your insurance policies must match the name of the company provided in question 7.</p> <p>If your company does not have Contractors All Risk Insurance, please answer N/A.</p>	
33	Does your company hold Fleet Insurance?	<p>Please provide a copy of your company's Fleet Insurance details, such as a certificate, broker letter, or schedule, which must include the following:</p> <ul style="list-style-type: none"> • Policy number • Limit • Excess • Expiry date. <p>Please note that the company name on your insurance policies must match the name of the company provided in question 7.</p> <p>If your company does not operate a fleet, please answer N/A.</p>	Document: Fleet Insurance Certificate
34	Can you provide details of your company's insurance broker(s)?	Please provide name of your company's insurance broker(s) and contact details.	
35	Can you provide the address of your company's principal banker?	Please provide the following: <ul style="list-style-type: none"> • Address line 1 (including property name/number) • Address line 2 • Address line 3 • Town • County • Postcode • Website (if applicable). 	
36	Has your company signed up to a code of conduct or standards on payment practices?	<p>Please answer yes or no.</p> <p>If yes, please confirm which code/standards which may include: Prompt Payment Code: https://www.smallbusinesscommissioner.gov.uk/ppc </p>	Advisory
37	Is your company legally required to report under the Reporting on Payment Practices and Performance Regulations?	Guidance can be found here: https://www.gov.uk/government/publications/business-payment-practices-and-performance-reporting-requirements	

		<p>If your company does not meet the legal reporting requirement which applies to companies and LLPs which exceed at least two of the following criteria, please answer <i>N/A</i>:</p> <ul style="list-style-type: none"> • £36 million annual turnover • £18 million balance sheet total • 250 employees. <p>If <i>yes</i>, please provide a link to your company's latest report on the Government portal.</p>	
38	Does your company check whether your sub-contractors are financially stable and have met all their obligations to HMRC?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide details of your company's arrangements. This information may be provided as part of a Sub-Contractor Selection Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months), or through another document.</p>	Exemption if answered <i>no</i> to question 21 and do not employ sub-contractors Advisory Document: Sub-Contractor Selection Policy

Section 3: Corporate and Professional Standing

Question Number	Question	Guidance	Information
39	Has your company or any of its Directors and/or Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgement against the company or the Directors and/or Executive Officers?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide information about the conviction including:</p> <ul style="list-style-type: none"> • Details of the circumstances • Whether the company has a remedial plan in place and what actions have been taken for remediation. <p>Please note minor offences can be excluded (such as speeding tickets or parking offences).</p>	
40	Is your company or any of its Directors and/or Executive Officers 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?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide information about the ongoing or pending criminal or civil court action including:</p> <ul style="list-style-type: none"> • Details of the circumstances • Whether claims been properly notified in accordance with relevant insurance policy requirements and been accepted by the insurers • Whether the company has a remedial plan and what actions have been taken for remediation. <p>Please note minor offences can be excluded (such as speeding tickets or parking offences).</p>	
41	Has your company or any of its Directors and/or Executive Officers received enforcement/remedial orders that are still unresolved (such as those in relation to the Environment Agency or Office of Rail and Road) in the last three years?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide information about the unresolved enforcement/remedial orders including:</p> <ul style="list-style-type: none"> • Details of the circumstances • Whether the company has a remedial plan and what actions have been taken for remediation. 	
42	Has your company or any of its Directors and/or Executive Officers been the subject of debarment or professional suspension?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, provide statement of reason why and remediation plan.</p>	

43	<p>Has your company submitted a completed Single Procurement Document (SPD)?</p> <p><i>If yes, you do not need to complete questions 44 - 49.</i></p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your company's submitted SPD but only if the information within it is still current.</p>	<p>Document: Single Procurement Document</p>
44	<p>In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, has your company, or any person who has powers of representation, decision or control in the company, been convicted of any of the following offences:</p> <ul style="list-style-type: none"> • Participation in a criminal organisation • Corruption • Terrorist offences or offences linked to terrorist activities • Money laundering or terrorist financing • Child labour and other forms of trafficking human beings • Any other offence within the meaning of Article 57(1) of the Directive as defined by the law of any jurisdiction outside England, Wales or Northern Ireland • Any other offence within the meaning of Article 57(1) of the Directive created after 26 February 2015 in England, Wales or Northern Ireland? 	<p>Guidance can be found here: List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130>List_of_Mandatory_and_Discretionary_Exclusions.pdf</p> <p>Please answer <i>yes</i> and indicate which offence or <i>no</i>.</p> <p>If <i>yes</i>, please provide:</p> <ul style="list-style-type: none"> • Date of conviction and the jurisdiction • Which of the grounds listed the conviction was for • The reasons for conviction • A remedial plan and what actions have been taken for remediation • A statement on what measures have been taken to demonstrate the reliability of the company despite the existence of relevant grounds for exclusion <p>If the relevant documentation is available electronically, please provide:</p> <ul style="list-style-type: none"> • The web address • Issuing authority • Precise reference of the documents. <p>Please do not provide the name or any other personal data of the company Director or shareholder.</p> <p>Participation offence as defined by section 45 of the Serious Crime Act 2015 or conspiracy within the meaning of:</p> <ul style="list-style-type: none"> • 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 on the fight against organised crime. 	<p>Exemption if Single Procurement Document</p>

		<p>Corruption 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; the common law offence of bribery; bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010, or section 113 of the Representation of the People Act 1983.</p> <p>Any offence:</p> <ul style="list-style-type: none"> • Listed in section 41 of the Counter Terrorism Act 2008 • Listed in schedule 2 to that Act where the court has determined that there is a terrorist connection • Under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by the previous two points. 	
45	Are all your company's tax return filings up to date for the last 6 years?	<p>Guidance can be found here:</p> <p>List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130>List_of_Mandatory_and_Discretionary_Exclusions.pdf</p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if Single Procurement Document
46	Has your company been under investigation or enquiry, or been served any fines or penalties, by HMRC or an overseas revenue authority in the last 6 years?	<p>Guidance can be found here:</p> <p>List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130>List_of_Mandatory_and_Discretionary_Exclusions.pdf</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further details:</p> <ul style="list-style-type: none"> • Details of the circumstances • The country or state concerned • The amount concerned • The date of the investigation, enquiry, conviction or decision • Copies of all correspondence • If the relevant documentation is available electronically indicate the web address, issuing authority or body and precise reference of the document 	Exemption if Single Procurement Document

		<ul style="list-style-type: none"> • Whether the company has a remedial plan and what actions have been taken for remediation • Whether you believe there to be any overriding reasons for non-payment • Whether you have paid, or have entered into a binding arrangement with a view to paying, "the taxes or social security contributions due" including where applicable any interest accrued and/or fines 	
47	<p>In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, has your company or any person who has powers of representation, decision or control in the company:</p> <ul style="list-style-type: none"> • Committed a breach of obligations in the field of environment, social and/or labour law • Declared bankruptcy or insolvency • Been guilty of grave professional misconduct • Been convicted of distortion of competition • Been aware of any conflict of interest in any procurement • Been involved in the preparation of the procurement procedure • Been involved in performance deficiencies on a previous contract leading to early termination, damages or other sanctions? 	<p>Guidance can be found here: List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130>List_of_Mandatory_and_Discretionary_Exclusions.pdf</p> <p>Please answer <i>yes</i> and indicate which offence or <i>no</i>.</p> <p>Where an organisation has violated applicable obligations in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Directive (see copy below) as amended from time to time; including the following:</p> <ul style="list-style-type: none"> • Where the organisation or any of its Directors or Executive Officers has been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last three years • In the last three years, where the organisation has had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination • In the last three years, where any finding of unlawful discrimination has been made against the organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or incomparable proceedings in any jurisdiction other than the UK) 	Exemption if Single Procurement Document

		<ul style="list-style-type: none"> Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006; Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006 Where the organisation has been in breach of the National Minimum Wage Act 1998. <p>Bankrupt or is the subject of insolvency or winding-up proceedings, where the company's assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State.</p> <p>Distortion of competition is entering into agreements with other economic operators aimed at distorting competition.</p> <p>Aware of any conflict of interest is within the meaning of regulation 24 due to the participation in the procurement procedure.</p> <p>Shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions.</p>	
48	<p>In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, has your company or any person who has powers of representation, decision or control in the company been found guilty of grave professional misconduct or convicted of distortion of competition?</p>	<p>Guidance can be found here: List_of_Mandatory_and_Discretionary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130>List_of_Mandatory_and_Discretionary_Exclusions.pdf</p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if Single Procurement Document
49	<p>Has your company been found guilty of serious misrepresentation in any of the following ways:</p> <ul style="list-style-type: none"> Supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria 	<p>Please answer <i>yes</i> and indicate which offence or <i>no</i>.</p> <p>If you answered <i>yes</i> please:</p> <ul style="list-style-type: none"> Provide details of the circumstances, and 	Exemption if Single Procurement Document

	<ul style="list-style-type: none"> Withholding the above information Being unable to submit supporting documents required under Regulation 59 of the Public Contracts Regulations 2015 Influencing the decision-making process of the contracting authority to obtain confidential information that may confer upon the organisation undue advantages in the procurement procedure Providing misleading information that may have a material influence on decisions concerning exclusion, selection or award? 	<ul style="list-style-type: none"> Explain what measures have been taken to demonstrate the reliability of the company despite the existence of a relevant ground for exclusion such as a remediation plan <p>If relevant documentation is available electronically, please indicate the web address, issuing authority or body and precise reference of the document.</p>	
50	<p>In respect of Part 4 Regulation 23(1) of the Defence and Security Public Contracts Regulations 2011 (SI 1848), including any amendments to the legislation identified, anywhere in the world, has your company or any person who has powers of representation, decision or control in the company been convicted of:</p> <ul style="list-style-type: none"> 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 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 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 The offence of bribery Bribery within the meaning of section 1, 2 or 6 of the Bribery Act 2010 Bribery or corruption within the meaning of section 68 and 69 of the Criminal Justice (Scotland) Act 2003 The offence of cheating the Revenue The offence of conspiracy to defraud 	<p>Please answer <i>yes</i> and indicate which offence or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	

<ul style="list-style-type: none"> • The offence of 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 • The offence of fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006 • In Scotland, the offence of fraud • In Scotland, the offence of theft • The offence of 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 • The offence of 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 • An offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993 • 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 • In Scotland, the offence of uttering • In Scotland, the criminal offence of attempting to pervert the course of justice • 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 • Terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Framework Decision 2002/475/JHA 		
--	--	--

	<ul style="list-style-type: none"> • An offence in connection with proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994 • In Scotland, the offence of incitement to commit any of the crimes described in Regulation 23(1) • 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? 		
51	<p>In respect of Part 4 Regulation 23(4) of the Defence and Security Public Contracts Regulations 2011 (SI 1848), anywhere in the world, have the following circumstances applied to your company or any person who has powers of representation, decision or control in the company:</p> <ul style="list-style-type: none"> • 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 them 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 their estate, or is the subject of any similar procedure under the law of any other Member State • 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 • 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, 	<p>Please answer <i>yes</i> and indicate which offence or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	

	<p>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>Or in respect of Part 4 Regulation 23(4) of the Defence and Security Public Contracts Regulations 2011 (SI 1848), anywhere in the world, has your company:</p> <ul style="list-style-type: none"> • 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 • 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 • Been told by a contracting authority, that the Potential Provider does not possess the reliability necessary to exclude risks to the security of the United Kingdom • 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 • 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? 		
52	<p>Does your company trade directly, or knowingly have direct association, with any regimes, entities or individuals subject to any sanctions detailed in the UK Sanctions List?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://ofsistorage.blob.core.windows.net/publishlive/2022format/ConList.html • https://sanctionssearchapp.ofsi.hmtreasury.gov.uk/ <p>Please answer <i>yes</i> or <i>no</i>.</p>	

		Guidance can be found here: https://www.gov.uk/government/publications/corporate-governance-new-reporting-regulations Please answer <i>yes</i> or <i>N/A</i> . If your company employs fewer than 2,000 employees, or does not have a turnover of more than £200 million and a balance sheet total of more than £2 billion, please answer <i>N/A</i> . If your company employs more than 2,000 employees, or has a global turnover of more than £200 million and a global balance sheet total of more than £2 billion, your company is legally required to publish which corporate governance code, if any, has been applied and how. If your company has departed from the code you must set out the respects in which it did so, and the reasons. If your company has not applied any corporate governance code, the statement must explain why that is the case and what arrangements for corporate governance were applied. Please provide a copy of your company's Corporate Governance Statement.	Advisory Document: Corporate Governance Statement
53	Is your company legally required to publish a Corporate Governance Statement?	Guidance can be found here: https://www.gov.uk/government/publications/blacklisting-of-trade-unionists-guidance Please answer <i>yes</i> or <i>no</i> .	
54	Has your company ever been found to be in breach of, or the subject of ongoing or pending court action in relation to, the Employment Relations Act 1999 (Blacklists) Regulations 2010?	Guidance can be found here: https://www.gov.uk/government/publications/bribery-act-2010-guidance Please answer <i>yes</i> or <i>no</i> .	
55	Is any Government entity, public official or relevant person a Director and/or Executive Officer of your company or do they exert any control over your company?	Guidance can be found here: https://www.gov.uk/government/publications/bribery-act-2010-guidance Please answer <i>yes</i> or <i>no</i> .	
56	Does any Public Official or Relevant Person stand to benefit in any way as a result of your company being awarded work?	Guidance can be found here: https://www.gov.uk/government/publications/bribery-act-2010-guidance Please answer <i>yes</i> or <i>no</i> .	

57	<p>Does your company have an Anti-Bribery and Corruption Policy?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=423&modtype=url • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=883&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10393&modtype=resource <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a copy of your company's Anti-Bribery and Corruption Policy approved by the appropriate company Director that is regularly reviewed (within the last 12 months).</p> <p>If your company is a micro-business, you may provide a written statement rather than a policy.</p>	Advisory Document: Anti-Bribery and Corruption Policy
58	<p>Does your company communicate its Anti-Bribery and Corruption Policy to its workforce?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10366&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10415&modtype=url <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence, such as workforce inductions, workforce documentation or training, of how your company communicates your policy/ statement.</p>	Advisory
59	<p>Does your company have procedures in place in respect of the corporate criminal offences of failing to prevent those acting on its behalf from the criminal facilitation of tax evasion under the Criminal Finance Act 2017?</p>	<p>Guidance can be found here:</p> <p>https://www.gov.uk/government/publications/corporate-offences-for-failing-to-prevent-criminal-facilitation-of-tax-evasion</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence, such as:</p> <ul style="list-style-type: none"> • Risk assessments • Procedures • Communication to staff 	

		<ul style="list-style-type: none"> • Training • Monitoring and reviewing arrangements. 	
60	Does your company have any involvement with any tax avoidance schemes on the Government's list of named tax avoidance schemes, promoters, enablers and suppliers?	<p>Guidance can be found here:</p> <p>https://www.gov.uk/government/publications/named-tax-avoidance-schemes-promoters-enablers-and-suppliers/current-list-of-named-tax-avoidance-schemes-promoters-enablers-and-suppliers#if-youre-involved-in-a-tax-avoidance-scheme</p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	
61	How does your company check that its workforce, including any supplied from external employment agencies or its supply chain, is legally entitled to work in the UK?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://builduk.wpengine.com/wp-content/uploads/2017/02/Build-UK-Illegal-Workers-Guidance-Note-February-2017.pdf • https://www.gov.uk/government/publications/right-to-work-checklist • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=8359&modtype=resource • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=10343&modtype=page • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=7367&modtype=url <p>Please provide information on how you check that your workforce, and any supplied from external employment agencies or your supply chain, is legally entitled to work in the UK. If you have a written policy or procedure, please provide a copy.</p> <p>If you are a micro-business, you may provide a written statement rather than a policy or procedure.</p>	
62	Have any allegations or complaints about the company infringing competition law been made which has led to an internal investigation within the last five years?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide details of any written allegations or complaints as well as the outcome of the investigation and what actions have been taken for remediation.</p>	
63	Does your company have a Whistleblowing Policy?	Guidance can be found here:	Advisory

		<ul style="list-style-type: none"> https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/415175/bis-15-200-whistleblowing-guidance-for-employers-and-code-of-practice.pdf https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=3424&modtype=url https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=422&modtype=resource https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=9599&modtype=url <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a copy of your company's Whistleblowing Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p>	Document: Whistleblowing Policy
64	Is your company in-scope to CITB?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide your company's CITB registration number.</p>	Advisory
65	Does your company hold membership of any industry trade body, certification scheme or other organisation?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence of relevant membership(s)/certificate(s) which may include:</p> <ul style="list-style-type: none"> • Trade Associations • Professional Bodies • Competent Person Schemes • TrustMark • Other relevant organisations such as the Considerate Constructors Scheme or Supply Chain Sustainability School 	Advisory
66	Has your company been suspended or expelled from membership of any industry trade body, certification scheme or other organisation in the last three years?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide statement of reason why and a remediation plan.</p>	
67	Does your company have a Corporate Social Responsibility (CSR) or Environmental, Social and Governance (ESG) Policy?	Guidance can be found here:	Advisory

		<p>https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1513&modtype=page</p> <p>If yes, please upload a copy your CSR or ESG policy, or relevant documents, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy or relevant documents should include examples of your company's approach to environmental and social sustainability, business ethics, stakeholder engagement and supporting the community etc.</p> <p>If you are a micro-business, you may answer N/A.</p>	Document: Corporate Social Responsibility Policy (CSR) or Environmental, Social and Governance (ESG) Policy
68	Does your company have an Anti-Slavery and Human Trafficking Statement or Policy?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> https://www.gov.uk/government/publications/transparency-in-supply-chains-a-practical-guide https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1637&modtype=scorm <p>If your company's annual turnover is less than £36 million, please answer N/A.</p> <p>If your company's annual turnover is more than £36 million, you are legally required to have an Anti-Slavery and Human Trafficking Statement and this question is mandatory.</p> <p>Please provide a copy of your company's statement or policy, which should have the correct level of approval and regularly reviewed (within the last 12 months). The policy or statement must define the steps the company has taken during the financial year to ensure that slavery and human trafficking is not taking place in any part of its own business or supply chain.</p>	Advisory if annual turnover is less than £36m Document: Anti-Slavery and Human Trafficking Statement or Policy
69	Does your company ensure that your supply chain is aware of, and abides by, the Modern Slavery Act?	<p>Guidance can be found here:</p> <p>https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=2235&modtype=scorm</p> <p>If yes, please upload copies of relevant documents. The documents could include examples of questions you ask</p>	Advisory

		your supply chain, how you evaluate their responses to the questions and what further information you provide to your supply chain on the Modern Slavery Act.	
70	Does your company pay your workforce, including labour agency workers, at least the National Minimum Wage or National Living Wage (as applicable)?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/national-minimum-wage-rates • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=1716&modtype=url <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Individuals must be:</p> <ul style="list-style-type: none"> • School leaving age to be entitled to be paid the National Minimum Wage • Aged 21 and over to be entitled to be paid the National Living Wage. 	
71	Does your company pay your workforce the real Living Wage?	<p>Guidance can be found here:</p> <p>https://www.livingwage.org.uk/what-real-living-wage</p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Advisory
72	Does your company have an Anti-Bullying Policy?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/workplace-bullying-and-harassment • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=7425&modtype=page <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide details or a copy of your Anti-Bullying Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	Advisory Document: Anti-Bullying Policy
73	Is your company legally required to publish a Gender Pay Gap Report?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://gender-pay-gap.service.gov.uk/ • https://www.acas.org.uk/gender-pay-gap-reporting • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=1921&modtype=url 	Document: Gender Pay Gap Report

		<p>If your company has fewer than 250 employees, please answer <i>N/A</i>.</p> <p>If your company has more than 250 employees, you are legally required to publish a Gender Pay Gap Report.</p> <p>Please provide a copy of your Gender Pay Gap Report and a link to where it can be found on the Government portal.</p>	
--	--	--	--

Section 4: Health and Safety

Question Number	Question	Guidance	Information
74	<p>Does your company hold a valid Safety Schemes in Procurement (SSIP) Certificate or ISO 45001 by a UKAS (or mutually recognised by UKAS) accredited certification body?</p> <p>If yes, you do not need to complete questions 76 – 88 and 90 - 113.</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://ssip.org.uk/ • https://www.bsigroup.com/en-GB/Occupational-Health-and-Safety-ISO-45001/ <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please confirm which certification you hold, provide a copy of your certificate and state whether it is for general Health and Safety (H&S) or specific to one of the CDM dutyholder roles to reflect your company's activity:</p> <ul style="list-style-type: none"> • Principal Contractor • Contractor • Principal Designer • Designer. 	<p>Document: ISO 45001/SSIP Certificate</p>
75	Who is ultimately responsible for Health and Safety (H&S) within your company?	Please provide details of the person with responsibility for H&S, who should be a Director of the company or equivalent.	
76	Does your company have a H&S Policy?	<p>Guidance can be found here:</p> <p>http://www.hse.gov.uk/simple-health-safety/policy/index.htm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a copy of your H&S Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>The policy should set out the responsibilities for effective H&S management throughout the company.</p>	<p>Exemption if ISO 45001 / SSIP Certificate</p> <p>Document: H&S Policy</p>

		If you have fewer than 5 employees, you may provide a written statement rather than a policy.	
77	Does your company have a Drugs and Alcohol Policy?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://builduk.org/wp-content/uploads/2022/09/Drugs-and-Alcohol-Policy.pdf • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=9213&modtype=url <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your Drugs and Alcohol Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Alternatively, this information may be provided as part of your H&S Policy or through another document. The policy must include as a minimum:</p> <ul style="list-style-type: none"> • The preventative measures your company takes to ensure members of your workforce do not attend site under the influence of alcohol and/or drugs • Testing requirements, including frequency, substances tested for, and management of results • Post-incident and/or reasonable cause drug and alcohol testing • Return-to-duty testing process and unannounced testing programmes for workers following a policy violation and/or substance abuse treatment. <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	Exemption if ISO 45001 / SSIP Certificate Advisory Document: Drugs and Alcohol Policy
78	Does your company have a Behavioural Safety Programme?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.hse.gov.uk/humanfactors/topics/behaviouralintor.htm • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=106&modtype=scorm <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if ISO 45001 / SSIP Certificate Advisory Document:

		If yes, please provide details or a copy of your Behavioural Safety Programme. If you are a micro-business, you may answer N/A.	Behavioural Management Programme
79	Does your company have arrangements in place for the management of occupational health issues, including mental health and fatigue?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.hse.gov.uk/humanfactors/topics/fatigue.htm • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=5212&modtype=page <p>Please answer yes or no.</p> <p>If yes, please upload an Occupational Health Policy or other document and include the following:</p> <ul style="list-style-type: none"> • Employee assistance programme • Participation in a mental health at work initiative • Implementation of mental health core standards in Thriving at Work. <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	Exemption if ISO 45001 / SSIP Certificate Advisory Document: Occupational Health Policy
80	Is your company part of a fleet management scheme?	<p>If the company does not operate a fleet or commercial vehicles, please answer N/A.</p> <p>If yes, please provide a copy of your fleet management scheme certificate which may include:</p> <ul style="list-style-type: none"> • Construction Logistics and Community Safety (CLOCS) • Fleet Operator Recognition Scheme (FORS) for each depot that has been assessed • Truck Excellence • Van Compliance Scheme • Van Excellence • Other (please specify). 	Exemption if ISO 45001 / SSIP Certificate Advisory Document: Fleet management scheme certificate
81	Does your company have arrangements in place to check, review and, where necessary, improve your H&S performance?	<p>Please answer yes or no.</p> <ul style="list-style-type: none"> • If yes, please provide evidence of recent monitoring and management response. This could be through formal 	Exemption if ISO 45001/ SSIP Certificate

		audit or discussions/reports to senior managers or from copies of workplace/site inspection reports.	
82	Does your company have arrangements in place to identify significant H&S hazards and produce risk assessments to support safe systems of work?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence of how the company identifies significant H&S hazards and how the assessed risks will be controlled. This could include:</p> <ul style="list-style-type: none"> • Sample risk assessments • Safe systems of work • Method statements. <p>If you have fewer than five employees and do not have written arrangements, you should be able to describe how you achieve the above.</p> <p>If you are a Principal Contractor, or where relevant, a Contractor, please also provide a sample Construction Phase Plan which should be:</p> <ul style="list-style-type: none"> • Proportionate to the size and nature of the work, and the risks involved • Workable and realistic • Sufficiently developed to allow work to start on site <p>Regularly reviewed and added to as new trades start.</p>	Exemption if ISO 45001 / SSIP Certificate
83	Does your company have arrangements in place to ensure that your H&S measures are effective in reducing and/or preventing work-related incidents, occupational ill-health and accidents?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If yes, please provide evidence of the arrangements which the company has made for putting its H&S policy into effect and for discharging its duties under current relevant H&S legislation.</p>	Exemption if ISO 45001/ SSIP Certificate
84	Does your company have access to competent H&S advice and assistance?	<p>Guidance can be found here: https://www.hse.gov.uk/simple-health-safety/gettinghelp/index.htm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If yes, please provide the name and competency details of the source of advice along with two examples from the last</p>	Exemption if ISO 45001/ SSIP Certificate

		<p>12 months of advice given and action taken. The source of advice could include:</p> <ul style="list-style-type: none"> • Competent employee • Consultant who provides H&S information and advice • Safety group • Industry trade body. 	
85	Does your company have arrangements in place to provide your workforce with training and other information appropriate for the activities that your company is likely to undertake?	<p>Guidance can be found here: https://www.supplychainschool.co.uk/</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Training manuals and/or training records • Evidence of a H&S training culture including records, certificates of attendance and adequate H&S induction training • Evidence of an active CPD programme • Example of 'toolbox talk' type training • Evidence of relevant training as required by H&S legislation or approved codes of practice (e.g. asbestos awareness training). 	Exemption if ISO 45001/SSIP Certificate
86	Does your company have arrangements in place to ensure that your workforce has H&S and other relevant skills, knowledge and experience for the activities that your company is likely to undertake?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide details of qualifications and/or experience of specific corporate post holders, for example board members, H&S advisor etc. relevant for the industry sector for both construction and non-construction activities. Other key roles should be named or identified and details of relevant qualifications and experience provided.</p> <p>If you are a Principal Contractor or Contractor, please provide supporting evidence of the skills, knowledge and experience of H&S in construction in the company. For individual roles within the company:</p> <ul style="list-style-type: none"> • Site managers: Details of any specific training such as the CITB 'Site Management Safety Training Scheme' Certificate or equivalent. 	Exemption if ISO 45001/SSIP Certificate

	<ul style="list-style-type: none"> • Professionals: Details of qualifications and/or professional institution membership. • Site operatives: Details of any relevant qualifications or training such as S/NVQ Certificate, apprenticeship certificate, evidence of CSCS Alliance Scheme verified certification level, and evidence of a company-based training programme suitable for the work to be carried out. <p>If you are a Principal Contractor, please also provide details of number/percentage of people engaged in the company who have passed a construction H&S assessment, for example the CITB HS&E test or similar schemes, such as the CCNSG or sector specific assessment.</p> <p>If you are a Principal Designer, please provide supporting evidence of the skills, knowledge and experience of H&S in construction in the company:</p> <ul style="list-style-type: none"> • Details of qualifications to confirm the company's operational capability to manage construction H&S which may include NEBOSH Construction, NVQ in Occupational Health & Safety, or NCRQ in applied health & safety etc. • Details of qualifications relevant to specific area of expertise, which may include Higher National Diploma or Certificate, Bachelor degree or Masters etc. • Details of relevant professional institution membership such as member of the registers administered by the APS or ICS, or the ICE construction health & safety register etc. • Evidence of a clear commitment to continued improvement, training and the Continued Professional Development of the workforce in relevant areas of expertise and health & safety. <p>If you are a Designer, please provide supporting evidence of the qualifications and experience of H&S in construction in the company:</p>	
--	--	--

		<ul style="list-style-type: none"> • Details of qualifications relevant to specific area of expertise, which may include Higher National Diploma or Certificate, Bachelor degree or Masters etc. • Details of professional institution membership such as RIBA, ICE, APS, RiAS, CIAT, ARB, IStructE etc. • Evidence of a clear commitment to the continued improvement, training and Continued Professional Development of the workforce in relevant areas of expertise and H&S. 	
87	Does your company have arrangements in place for ensuring that your sub-contractors also apply H&S measures to a standard appropriate to the activities that your company is likely to undertake?	<p>Guidance can be found here: http://www.hse.gov.uk/pubns/indg368.pdf</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence of how you ensure sub-contractors are competent. This could include:</p> <ul style="list-style-type: none"> • Written procedures or arrangements • Documented examples of sub-contractor assessments you have carried out • How you require similar standards of competence assessment from sub-contractors • How you monitor sub-contractor performance. 	Exemption if ISO 45001/SSIP Certificate
88	Does your company have arrangements in place to involve your workforce in the planning and implementation of H&S measures?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence, which is no more than 12 months old, of how consultation is carried out which could include:</p> <ul style="list-style-type: none"> • Records of H&S committees • Names of appointed safety representatives (trade union or other). <p>If you have fewer than five employees, please describe how you consult with your employees to achieve the consultation required.</p>	Exemption if ISO 45001/SSIP Certificate
89	Does all your workforce (including those who are self-employed), who are working on construction sites undertaking a recognised construction occupation, hold the relevant CSCS Alliance Scheme cards?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.cscs.uk.com/about/ • https://www.cscs.uk.com/about/cscs-alliance/ 	Exemption if relevant SSIP Certificate

		<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>no</i>, you may wish to explain why.</p>	Advisory
90	Does your company have arrangements in place to record and review any accidents, incidents and near misses, and to undertake appropriate follow-up actions?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence of how you record and investigate accidents, incidents and near misses. This could include:</p> <ul style="list-style-type: none"> Records of the last two accidents/incidents and action taken to prevent recurrence Information on enforcement taken by HSE over the last five years from the HSE website Records of any enforcement action taken over the last five years What action was taken to put matters right. <p>For large companies, please also provide simple statistics showing incidence rates of fatalities, specified injuries, over seven-day injuries, reportable cases of ill health and dangerous occurrences for the last three years. Records should include any incidents that occurred to direct employees or sub-contractors.</p>	Exemption if ISO 45001 / SSIP Certificate
91	Does your company have arrangements in place to ensure that, if a building is occupied where you are undertaking work, you properly consider the H&S of occupants, including residents, first responders and others in and around where you are working?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence, such as previous examples of where you have done this (e.g. construction phase plan, consultation or risk assessments), which shows how you ensure that if a building is occupied where work is taking place, you take into consideration occupants including residents, first responders and others in and around the building.</p>	Exemption if ISO 45001 / SSIP certificate
92	Does your company fulfil any of the following CDM dutyholder roles: <ul style="list-style-type: none"> Principal Contractor Contractor Principal Designer 	<p>Further information on the role and responsibilities of dutyholders can be found here:</p> <ul style="list-style-type: none"> Principal Contractor - http://www.hse.gov.uk/construction/cdm/2015/principal-contractors.htm 	Exemption if relevant ISO 45001 / SSIP Certificate

	<ul style="list-style-type: none"> • Designer? <p><i>If Principal Contractor, you will need to complete questions 93 – 103.</i></p> <p><i>If Contractor, you will need to complete questions 93 – 96.</i></p> <p><i>If Principal Designer, you will need to complete questions 93, 94 and 104 – 113.</i></p> <p><i>If Designer, you will need to complete questions 93, 104 – 107.</i></p>	<ul style="list-style-type: none"> • Contractor - http://www.hse.gov.uk/construction/cdm/2015/contractors.htm • Principal Designer - http://www.hse.gov.uk/construction/cdm/2015/principal-designers.htm • Designer - http://www.hse.gov.uk/construction/cdm/2015/designers.htm <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please select all the dutyholder roles that apply to your company.</p>	
93	<p>Does your company have the skills, knowledge and experience necessary to fulfil your dutyholder role(s) in a manner that secures the H&S of those affected by your functions and activities?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence of the skills, knowledge and experience of construction H&S in the company.</p> <p>For individual roles within the company:</p> <ul style="list-style-type: none"> • Site managers: Details of any specific training such as the CITB 'Site Management Safety Training Scheme' Certificate or equivalent. • Professionals: Details of qualifications (e.g. NEBOSH Construction, NVQ in Occupational Health & Safety, NCRQ in applied H&S, Higher National Diploma, Bachelor Degree etc.) and/or professional institution membership (e.g. APS, CIAT, ICS, ICE, RIBA etc) • Site operatives: Details of any relevant qualifications or training such as S/NVQ Certificate, apprenticeship Certificate, evidence of CSCS Alliance Scheme verified certification level, and evidence of a company-based training programme suitable for the work to be carried out. <p>If you are a Principal Contractor, please also provide details of number/percentage of people engaged in the company who have passed a construction H&S assessment,</p>	Exemption if relevant ISO 45001 / SSIP Certificate

		for example the CITB HS&E test or similar schemes, such as the CCNSG or sector specific assessment.	
94	Does your company have arrangements in place to review and develop its effectiveness in its dutyholder roles?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which should confirm that there are arrangements in place for reviewing and developing your effectiveness in the dutyholder role(s) including:</p> <ul style="list-style-type: none"> • Monitoring procedures • Periodic checking or auditing of procedures • Periodic reviews of practices and management response • Post-project review. 	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor, Contractor or Principal Designer
95	Does your company have arrangements in place to coordinate your work with other dutyholders, and to ensure their cooperation with each other?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Sample risk assessments • Procedural arrangements • How the company coordinates its work with other interested parties • Project team meeting notes. 	Exemption if relevant ISO 45001 / SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor or Contractor
96	Does your company have arrangements in place to ensure on-site welfare for your workforce?	<p>Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7143&modtype=resource</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • H&S Policy • Contracts with welfare facility providers including cleaning arrangements. 	Exemption if relevant ISO 45001 / SSIP Certificate Exemption if did not indicate in question 92 that are a Principal

		If you are a Principal Contractor , please also provide evidence of compliance to Schedule 2 of the CDM Regulations and details of the type of welfare facilities provided on previous projects.	Contractor or Contractor Document: H&S Policy
97	Does your company have arrangements in place to plan, manage, monitor and coordinate H&S in the construction phase, including communication with the Client, Principal Designer and other Contractors?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which should confirm that there are arrangements in place for planning, managing, monitoring and co-ordinating H&S in the construction phase, including communication with the Client, Principal Designer and other Contractors.	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor
98	Does your company have arrangements in place to prepare, review and maintain Construction Phase Plans?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include previous Construction Phase Plans.	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor
99	Does your company have arrangements in place to cooperate with, and to coordinate work with, other dutyholders?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include: <ul style="list-style-type: none"> • Notes of meetings and other discussions • Examples of exchanges of safety information • Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, and design interfaces etc. 	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor

100	<p>Does your company have arrangements in place to ensure suitable site inductions are provided?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include previous site inductions and attendance sheets.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor
101	<p>Does your company have arrangements in place to provide the Principal Designer with information for the H&S File?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include examples of previously prepared information for the H&S File.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Contractor
102	<p>Does your company have arrangements in place to ensure that building fire safety information is handed over to the Responsible Person(s) no later than the date of completion of the work, or the date of occupation of the building, whichever is earliest?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Template documents • Previous examples of handing over building fire safety information to the Responsible Person (s). 	Exemption if did not indicate in question 92 that are a Principal Contractor
103	<p>Does your company have arrangements in place to ensure that it produces and implements a site-specific emergency plan prior to the commencement of works?</p>	<p>Guidance can be found here: https://www.hse.gov.uk/workplace-health/emergency-procedures.htm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which could include a template document, Construction Phase Plan or</p>	Exemption if did not indicate in question 92 that are a Principal Contractor

		previous site-specific emergency plan which includes hazard identification and emergency procedures.	
104	Does your company have arrangements in place to ensure that the Client is aware of its duties before commencing work?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence of arrangements in place for helping Clients to meet their duties under the CDM Regulations.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer or Designer
105	Does your company have arrangements in place when preparing or modifying designs to take into account the general principles of prevention to eliminate, as far as is reasonably practicable, foreseeable risks to the H&S of any person or, if not possible to eliminate, to reduce or control the risks?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence, which could include minutes or notes of meetings, notes on drawings and sketches, as well as risk registers and similar items on more complex projects, which shows how the company:</p> <ul style="list-style-type: none"> Ensures co-operation and co-ordination of design work within the design team and with other Designers/Contractors Takes into account the general principles of prevention when preparing or modifying a design with the first aim to eliminate risks or, if that is not possible, to reduce or control the risks Provides information about the risks arising from the design during construction, maintenance/cleaning and use of the building as a workplace i.e. residual risk How design changes are managed during pre-construction and construction phases Ensure that any structure which will be used as a workplace will meet the relevant requirements of the Workplace (Health, Safety and Welfare) Regulations. <p>The level of detail required in passing on information about risks should be proportionate to the risks involved.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer or Designer

106	<p>Does your company have arrangements in place to manage design changes, and to ensure that the H&S File is appropriately reviewed and updated?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence which shows that there are arrangements in place for managing design changes and ensuring that the H&S File is appropriately reviewed and updated.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer or Designer
107	<p>Does your company have arrangements in place to review and monitor your design performance, notably in relation to H&S?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which shows that there are arrangements in place for reviewing, developing and monitoring design performance including:</p> <ul style="list-style-type: none"> • Monitoring procedures • Periodic checking or auditing of procedures • Periodic reviews of practices and management response • Post-project review. 	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer or Designer
108	<p>Does your company have arrangements in place to provide the Client with pre-construction information?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence of arrangements in place for communicating with Clients and helping them to meet their duties under the CDM Regulations (e.g. meeting minutes or examples of pre-construction information collated for a project and distributed to the relevant project team members).</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer
109	<p>Does your company have arrangements in place to gather, prepare, communicate and coordinate information, including design information, with other dutyholders during the pre-construction phase?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence which shows that there are arrangements in place for the gathering, preparation,</p>	Exemption if relevant ISO 45001/ SSIP Certificate

		communication and co-ordinating of information, including design information, with other dutyholders during the pre-construction phase.	Exemption if did not indicate in question 92 that are a Principal Designer
110	Does your company have arrangements in place to plan, manage and monitor H&S related information, including design information, in the pre-construction phase, with the aim of identifying and eliminating or controlling foreseeable risks?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence which shows that there are arrangements in place for planning, managing and monitoring H&S related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling as far as is reasonably practicable foreseeable risks.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer
111	Does your company have arrangements in place to ensure that Designers carry out their duties, and that all dutyholders cooperate with each other in the pre-construction phase, including the sharing of pre-construction information?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which shows that there are arrangements in place for ensuring Designers carry out their duties, including oversight and co-ordination within the design team and with other Designers/Contractors, in the pre-construction phase.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer
112	Does your company have arrangements in place to liaise with the Principal Contractor to share information on the planning, management and monitoring of the construction phase and the co-ordination of H&S matters during the construction phase?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence which shows that there are arrangements in place for ensuring successful liaison with the Principal Contractor on a project. Evidence could include:</p> <ul style="list-style-type: none"> • Notes of meetings and other discussions • Examples of exchanges of safety information 	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a

		<ul style="list-style-type: none"> • Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, and design interfaces etc. 	Principal Designer
113	Does your company have arrangements in place to provide pre-construction and H&S File information to other dutyholders?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide supporting evidence, such as examples of previously prepared information, which shows that there are arrangements in place for the provision of relevant information to other dutyholders, including for the H&S File.</p>	Exemption if relevant ISO 45001/ SSIP Certificate Exemption if did not indicate in question 92 that are a Principal Designer

Section 5: Environmental

Question Number	Question	Guidance	Information
114	<p>Does your company hold a valid BS EN ISO 14001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body or a valid EMAS Certificate?</p> <p><i>If yes, you do not need to complete questions 115 - 119.</i></p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1082&modtype=resource https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=3521&modtype=url <p>If yes, please provide a copy of your BS EN ISO 14001 Certificate (or equivalent) or EMAS Certificate.</p>	<p>Document: BS EN ISO 14001 or EMAS Certificate</p>
115	<p>Does your company have an Environmental Management Policy?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1011&modtype=scorm https://advisera.com/14001academy/knowledgebase/how-to-write-an-iso-14001-environmental-policy/ <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If yes, please provide a copy of your Environmental Management Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>The policy should be relevant to the nature and scale of the company and set out the responsibilities for environmental management throughout the company.</p> <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	<p>Exemption if ISO 14001/ EMAS</p> <p>Document: Environmental Management Policy</p>
116	<p>Does your company have arrangements in place for ensuring that your environmental management procedures are effective in preventing and reducing significant impacts on the environment?</p>	<p>Guidance can be found here:</p> <p>https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1011&modtype=scorm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	<p>Exemption if ISO 14001/ EMAS</p>

		<p>Please provide evidence that your company's environmental management procedures:</p> <ul style="list-style-type: none"> • Confirm how the company aims to discharge relevant legal responsibilities • How these arrangements are communicated to your workforce, in relation to environmental matters including: sustainable materials procurement (e.g. BES6001, FSC/PEFC, waste management, energy management and carbon reduction). • Includes arrangements for responding to, monitoring and recording environmental incidents, emergencies and complaints. <p>If you are a micro-business, you may answer N/A.</p>	
117	Does your company have arrangements in place for providing relevant members of your workforce with training and information on construction-related environmental issues?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.supplychainschool.co.uk/topics/sustainability/environmental-management/ • https://learn.supplychainschool.co.uk/local/tactionplans/resources.php?subtopics=environmental%20management • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=3533&modtype=page <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence, such as training manuals and training records, which shows that your company has training arrangements in place to ensure that the workforce has sufficient skills and understanding to carry out their various duties.</p> <p>This should include a programme of refresher training that will keep the workforce updated on relevant legal requirements, good environmental management practice and wider environmental issues such as noise.</p> <p>If you are a micro-business, you may answer N/A.</p>	Exemption if ISO 14001/ EMAS
118	Does your company have arrangements in place to check, review and, where necessary, improve your environmental management performance?	<p>Guidance can be found here:</p> <p>https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=756&modtype=scorm</p>	Exemption if ISO 14001/ EMAS

		<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence that your company has a system for reviewing environmental management procedures on an ongoing basis and updating them at periodic intervals.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	
119	Does your company have arrangements in place for ensuring that your sub-contractors have environmental management procedures to a standard appropriate to the activities that your company is likely to undertake?	<p>Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=8991&modtype=url</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence, such as your Environmental Management Policy or criteria to be on an approved supply chain register, that your company has arrangements for monitoring sub-contractor's environmental management procedures. This should also ensure that environmental performance appropriate for the activity to be undertaken is delivered your company's supply chain.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	Exemption if ISO 14001/ EMAS Exemption if answered <i>no</i> to question 21 and do not employ sub-contractors Document: Environmental Management Policy or Sub-Contractor Selection Policy
120	Does your company have access to competent environmental advice and assistance?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide the name and competency details of the source of advice along with two examples from the last 12 months of advice given and action taken. The source of advice could include:</p> <ul style="list-style-type: none"> • Competent employee • Consultant who provides environmental information and advice • Safety group • Industry trade body. <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	Advisory

121	<p>Does your company have a Waste Carrier, Waste Broker or Waste Dealer Licence in England and/or is your company a Registered Professional Carrier and Transporter of Waste in Scotland?</p>	<p>If yes, please upload a copy of your Waste Carrier, Waste Broker or Waste Dealer Licence (England) or details of your registration as a Registered Professional Carrier and Transporter of Waste (Scotland). Where available, please state the type and tier of your Waste Carrier, Waste Broker or Waste Dealer Licence in England.</p> <p>If your company is not required to have a Waste Carrier, Waste Broker or Waste Dealer (England) Licence or be registered as a Professional Carrier and Transporter of Waste (Scotland), please answer <i>N/A</i>.</p> <p>If your company is required to hold a Waste Carrier, Broker or Dealer Licence (England) or be registered as a Professional Carrier and Transporter of Waste (Scotland) but do not, please answer <i>no</i>.</p>	Document: Waste Carrier License
122	<p>Is your company legally required to report your carbon emissions under the Streamlined Energy and Carbon Reporting (SECR) Regulations?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/guidance/measuring-and-reporting-environmental-impacts-guidance-for-businesses • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=6793&modtype=scorm • https://carbon.sustainabilitytool.com/ <p>If you are not a large company, please answer <i>N/A</i>.</p> <p>If you are a large company, please answer <i>yes</i> or <i>no</i>.</p> <p>If yes, please provide a copy of your Carbon Emissions Report which contains the following information about your company:</p> <ul style="list-style-type: none"> • Energy use • Carbon emissions • Energy efficiency actions. 	Advisory if not a large company Document Carbon Emissions Report
123	<p>Does your company have a Carbon Emissions Reduction Plan?</p>	<p>Guidance, including a Carbon Emissions Reduction Plan template, can be found here:</p> <ul style="list-style-type: none"> • https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/991622/PP_N_0621_Taking_account_of_Carbon_Reduction_Plans_2.pdf 	Advisory Document: Carbon Emissions Reduction Plan

		<ul style="list-style-type: none"> • https://knowledge.bsigroup.com/products/climate-change-management-transition-to-netzero-carbon-neutrality?version=standard • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7208&modtype=url <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a copy of your Carbon Emissions Reduction Plan, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). This information may also be provided as part of your Environmental Management Policy.</p> <p>The plan should cover measures aimed at reducing carbon dioxide as well as any other relevant greenhouse gas (GHG) emissions and include:</p> <ul style="list-style-type: none"> • Your selected baseline carbon/GHG emissions footprint • Your current carbon/GHG emissions footprint (if available) • Your carbon/GHG emissions reduction targets • The standard you use to measure your carbon/GHG emissions footprint • Whether your plan is third-party verified • Any carbon/GHG reduction initiatives you have completed or are part of. <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	
124	Does your company operate in accordance with any national or industry-recognised sustainability standards, charters, pledges or good/best practice guidance?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=4088&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=976&modtype=url • https://www.constructionleadershipcouncil.co.uk/worksheet/co2nstructzero/ <p>Please answer <i>yes</i> or <i>no</i>.</p>	Advisory

		If yes, please provide evidence which could be a certificate from a UKAS (or mutually recognised by UKAS) accredited certification body or an industry-recognised institution, formal evidence of sign-up to an industry-recognised charter, pledge, or information operating in line with good/best practice sustainability guidance.	
--	--	--	--

Section 6: Quality

Question Number	Question	Guidance	Information
125	<p>Does your company hold a valid BS 99001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body?</p> <p><i>If yes, you do not need to complete questions 128 - 137 and any of the questions in Section 7: Building Safety (138 - 159).</i></p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.bsigroup.com/en-GB/capabilities/buildings-and-construction/bs-99001-quality-management-systems-standard-for-the-built-environment/ <p>If yes, please provide a copy of your BS 99001 Certificate (or equivalent).</p>	Document: BS 99001
126	<p>Does your company hold a valid BS EN ISO 9001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body?</p> <p><i>If yes, you do not need to complete questions 128 - 137.</i></p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=160&modtype=url • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=95&modtype=page • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=96&modtype=page <p>If yes, please provide a copy of your BS EN ISO 9001 Certificate (or equivalent).</p>	Document: BS EN ISO 9001
127	Who is ultimately responsible for quality within your company?	Please provide details of the person with responsibility for quality, who should be a company Director or equivalent.	Advisory
128	Does your company have a Quality Management Policy?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If yes, please provide a copy of your Quality Management Policy, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>The policy should set out the responsibilities for quality management throughout the company.</p> <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	Exemption if BS 99001 or ISO 9001 Document: Quality Management Policy
129	Does your company have a Risk Management Policy?	Guidance can be found here:	Exemption if BS 99001 or ISO 9001 <ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1808&modtype=scorm

		<ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=8400&modtype=page • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=6248&modtype=page • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=88&modtype=page <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide a copy of your Risk Management Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>The policy should confirm:</p> <ul style="list-style-type: none"> • How the company identifies risks • How they manage and review risk processes • The responsibility for compiling and authorising risk/impact assessments • How the company ensures site issues are incorporated into relevant risk/impact assessments • How risk/impact assessments are communicated to the workforce, clients and sub-contractors, and how such briefings are retained • Method statements refer to risk/impact assessments and that periodic reviews are undertaken. <p>If you are a micro-business, this question is an advisory fail.</p>	Advisory if micro-business Document: Risk Management Policy
130	<p>Does your company have arrangements in place for ensuring that your quality management (including the quality of construction output and general performance) is effective in preventing or reducing incidents of sub-standard delivery?</p>	<p>Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1748&modtype=scorm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence that demonstrates your quality management is effective throughout your company, including a complaints procedure and a procedure for managing non-conformance in products and services, with a clear indication of how the arrangements are communicated to the workforce.</p>	Exemption if BS 99001 or ISO 9001 Advisory if micro-business

		If you are a micro-business, this question is advisory,	
131	Does your company have arrangements in place for providing your workforce with quality-related training and information appropriate to the type of work your company carries out?	<p>Guidance can be found here: https://www.supplychainschool.co.uk/topics/management/quality-management/</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence, such as training records, which shows your company has a programme of training to ensure that the workforce is kept up to date with required knowledge about quality-related issues and has sufficient skills and understanding to discharge their various responsibilities.</p> <p>If you are a micro-business, this question is advisory,</p>	Exemption if BS 99001 or ISO 9001 Advisory if micro-business
132	Does your company have arrangements in place for periodically reviewing, correcting and improving quality management?	<p>Guidance can be found here: https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=1748&modtype=scorm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide evidence that your company has a system for monitoring quality management on an ongoing basis.</p> <p>Your company should be able to provide evidence of periodic review and improvement of quality in respect of construction output and general performance.</p> <p>If you are a micro-business, this question is advisory,</p>	Exemption if BS 99001 or ISO 9001 Advisory if micro-business
133	Does your company have processes in place for the selection and monitoring of sub-contractors?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your Sub-Contractor Selection Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p>	Exemption if BS 99001 or ISO 9001 Exemption if answered <i>no</i> to question 21 and

		<p>Alternatively, you can provide copies of documents which should include the selection standard/criteria sub-contractors must meet and the quality monitoring arrangements of your sub-contractors.</p>	do not employ sub-contractors Document: Sub-Contractor Selection Policy
134	Does your company have arrangements in place for ensuring that your sub-contractors apply quality management processes that are appropriate to the work for which they are being engaged?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=1748&modtype=scorm • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=4029&modtype=scorm <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your Quality Management Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>Alternatively, you can provide copies of documents, such as criteria to be on your supply chain register, which shows that your company monitors supplier quality management arrangements, ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your company's supply chain.</p>	Exemption if BS 99001 or ISO 9001 Document: Quality Management Policy
135	Does your company have arrangements in place to ensure that all products and systems specified and used conform to the designated standards or independent certification, including 'field of application' data, as well as relevant regulations, and that those products and systems are only used for their intended purpose?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/guidance/construction-products-regulation-in-great-britain • https://www.cpicode.org.uk <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>For products with either designated standards (UK Conformity Assessed (UKCA), UK(NI) Marking or CE Marking) or independent certification, please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy • Documented procedures or processes • Documents from suppliers 	Exemption if BS 99001 or ISO 9001 Document: FPC Certificate (if applicable)

		<ul style="list-style-type: none"> • A copy of a product's license mark which demonstrates compliance with the Code for Construction Product Information (CCPI) • A procedure for managing conformance and non-conformance in products and services • An inspection and test plan • A benchmarking plan • Certified independent test evidence. <p>If your company issues the UK Conformity Assessed (UKCA) or UK(NI) Marking for your own products, then please upload a copy of your Factory Production Control (FPC) Certificate.</p>	
136	Does your company have arrangements in place to ensure that all construction products specified and used have product specifications that refer to classification standards as part of a sub-system, not just in isolation?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide further information on your arrangements to confirm that where individual construction products and/or systems are brought together as part of the design or construction phase, they have suitable classification standards as part of a sub-system.</p>	Exemption if BS 99001 or ISO 9001
137	Does your company have arrangements in place to ensure that the installation of construction products and systems are checked and approved by a competent person?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy • An inspection and test plan • A benchmarking plan. 	Exemption if BS 99001 or ISO 9001

Section 7: Building Safety

Question Number	Question	Guidance	Information
138	<p>Does your company have arrangements in place to manage and record evidence of competency (Skills, Knowledge, Experience and Behaviours) for your workforce and key sub-contractor roles?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • BSI Flex 8670 - Core criteria for building safety in competence frameworks • PAS 8671 - Framework for Competence of Individual Principal Designers • PAS 8672 - Framework for Competence of Individual Principal Contractors <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • A process for identifying competence requirements for the entire workforce and sub-contractors in accordance with BS 8670 • A Training Needs Analysis (TNA) for the entire workforce including any working on Higher-Risk Buildings and with safety critical elements • Evidence of records held including training records, certificates of attendance, CPD programmes, competency management matrixes, copies of CSCS Alliance cards etc. • Evidence of a training culture including records, certificates of attendance and adequate induction training. Your training should be in accessible formats and be comprised of a mixture of oral, written, drawn, digital or graphic information • Dedicated training on your Quality Management Policy or arrangements • Evidence of an active CPD programme • Example of 'toolbox talk' type training • Evidence of relevant training as required by legislation or approved code of practice (e.g. fire safety, Building Regulations etc.) 	<p>Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act</p> <p>Exemption if BS 99001</p> <p>Advisory</p>

		<ul style="list-style-type: none"> • A policy or statement which confirms your process for providing training to your workforce and sub-contractors. 	
139	Does your company have arrangements in place for your workforce and key sub-contractor roles under its control to receive appropriate supervision, instruction and information to ensure that any work your company undertakes meets relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence on how you meet relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy or statement which covers building work • A process or organogram to ensure that each team has a named supervisor who is accountable for their work • A skills matrix/framework which shows the level of supervision for each activity on site • Procedural arrangements • Template documents • Notes of meetings and other discussions with your workforce and key sub-contractors. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Advisory
140	Does your company have arrangements in place for ensuring the Client is aware of its duties under the Building Safety Act?	Please provide evidence of arrangements in place for ensuring the Client is aware of its duties under the Building Safety Act.	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Advisory
141	Does your company have arrangements in place to ensure you keep up to date with changes to relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide a clear explanation of the arrangements which the company has made to ensure it keeps up to date</p>	Exemption if answered <i>no</i> to question 22 and do not intend to work on any

		with changes to relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).	projects in-scope of the Building Safety Act Exemption if BS 99001 Advisory
142	Does your company have arrangements in place for sub-contractors to evidence that their workforce has up to date and relevant competencies for working in roles related to fire safety and structural failure in buildings?	Please answer <i>yes</i> or <i>no</i> . Please provide further information on your arrangements to evidence that your sub-contractors have up to date and relevant competencies for working in roles related to fire safety and structural failure in buildings. If you have a written policy or procedure(s), please upload a copy of this.	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Exemption if answered <i>no</i> to question 21 and do not employ sub-contractors Advisory
143	Does your company have arrangements in place to plan, manage and monitor work it undertakes to ensure work complies with relevant requirements?	Please answer <i>yes</i> or <i>no</i> . Please provide evidence of arrangements in place to plan, manage and monitor work to ensure it complies with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards). If a Principal Designer or Designer, please ensure your arrangements cover your design work, if built. If a Principal	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act

		<p>Contractor or Contractor, please ensure your arrangements cover your building work.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy or statement which covers either design work (including choice of building materials, process of build, structural components and ensuring suitability in the event of a fire) or building work • Monitoring procedures, including supervision where necessary • Procedural arrangements • Template documents • Notes of meetings and other discussions with your workforce and sub-contractors. 	Exemption if BS 99001 Advisory
144	Does your company have arrangements in place to cooperate with other dutyholders to ensure that any building work or design work (whichever is applicable) is compliant with relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence of arrangements to cooperate with other dutyholders to ensure that any building work or design work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have cooperated with other dutyholders to share and receive information on building work and design work on previous projects such as project team meeting notes, exchanges of information, emails etc to ensure that it is compliant with relevant requirements. The information shared could include fire risks, products to be used, suggested work methods and sequences. • Examples of where you have provided advice to the Principal Contractor, Principal Designer or the Client on whether any work is Higher-Risk Building work • Template documents. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Advisory
145	Which of the following dutyholder roles does your company fulfil, or intend to fulfil, under the Building Safety Act?	Guidance can be found here: https://www.hse.gov.uk/building-safety/assets/docs/regime-overview.pdf#page=5	

		<p>Please select the applicable options from the list below:</p> <ul style="list-style-type: none"> • Principal Contractor (<i>Please complete questions 146 – 150 and 155 – 158</i>) • Contractor (<i>Please complete questions 151, 155, 156 and 159</i>) • Principal Designer (<i>Please complete questions 152, 153 and 155 – 158</i>) • Designer (<i>Please complete questions 152 – 156 and 159</i>). 	
146	Does your company have arrangements in place to plan, manage and monitor building work during the construction phase to ensure that all building work is compliant with relevant requirements?	<p>Please answer yes or no.</p> <p>Please provide evidence of arrangements to plan, manage and monitor building work during the construction phase to ensure that all building work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy or statement which covers relevant requirements of building work (e.g. compliance with Building Regulations such as fire safety and structural elements) • KPIs and how you track them during the project timeline • Monitoring procedures to ensure periodic checking or auditing of practices and management response • Template documents • Post-project review • Notes of meetings and other discussions • Examples of exchanges of information on topics such as Building Regulations, fire safety etc. • How the company coordinates its work with other dutyholders. 	Exemption if answered no to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Principal Contractor Advisory
147	Does your company have arrangements in place to coordinate with other dutyholders, and to ensure their co-operation with each other, so that all work is compliant with relevant requirements?	<p>Please answer yes or no.</p> <p>Please provide evidence of arrangements to coordinate with other dutyholders, and to ensure their cooperation with each other, so that all work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).</p>	Exemption if answered no to question 22 and do not intend to work on any projects in-scope of the

		<p>If a Principal Designer, please ensure your arrangements cover your design work, if built. If a Principal Contractor, please ensure your arrangements cover your building work.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you inform and consult with other dutyholders on topics such as fire mitigation measures, dutyholder roles etc. • Template documents • How the company coordinates its work with other dutyholders • Project team meeting notes. 	Building Safety Act Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Principal Contractor or Principal Designer Advisory
148	Does your company have arrangements in place to liaise with the Principal Contractor/Principal Designer (whichever is applicable) to share information relevant to the planning, management and monitoring of work, and the co-ordination of work, for the purpose of ensuring compliance with relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence of arrangements in place to liaise with the Principal Contractor/Principal Designer (whichever is applicable) to share information relevant to the planning, management and monitoring of work, and the co-ordination of work, for the purpose of ensuring compliance with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards)</p> <p>If a Principal Designer, please ensure your arrangements cover the sharing of information relevant to the planning, management and monitoring of the building work, and the co-ordination of design and building work. If a Principal Contractor, please ensure your arrangements cover the sharing of information relevant to the planning, management and monitoring of the design work, and the co-ordination of design and building work.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have liaised with the Principal Contractor/Principal Designer to share information on 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Principal Contractor or Principal Designer Advisory

		<p>building work and design work on previous projects such as project team meeting notes, exchanges of information, emails etc. The information shared could include fire risks, products to be used, structural design and other design assumptions, suggested work methods and sequences</p> <ul style="list-style-type: none"> • Template documents. 	
149	Does your company have arrangements in place for reviewing and actioning comments received from the Principal Contractor/Principal Designer (whichever is applicable) regarding compliance with relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence of arrangements in place for reviewing and actioning comments received from the Principal Contractor/Principal Designer (whichever is applicable) regarding compliance with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have previously reviewed and actioned comments received from a Principal Contractor/Principal Designer such as project team meeting notes, emails, review log etc. • Template documents. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Principal Contractor or Principal Designer Advisory
150	Does your company have arrangements in place to assist the Client to share any necessary information with other Designers and Contractors, and to provide the Client with a document which shows how your role was carried out?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have assisted a Client to share information with other dutyholders on building work on previous projects such as project team meeting notes, exchanges of information, emails etc. The information shared could include fire risks, products to be used, 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act

		<p>structural design and other design assumptions, suggested work methods and sequences.</p> <ul style="list-style-type: none"> • Examples of where you have previously provided a Client a document which sets out how you performed your dutyholder role • Template documents. 	Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Principal Contractor or Principal Designer Advisory
151	Does your company have arrangements in place to provide other dutyholders with relevant information about building work being carried out?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have shared information about building work to assist the Client, other Designers and Contractors to comply with relevant requirements on previous projects such as project team meeting notes, exchanges of information, emails etc. • Examples of where you have provided advice to the Principal Designer or Client on whether any work is Higher-Risk Building work • Template documents. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Contractor Advisory
152	Does your company have arrangements in place to plan, manage and monitor design work during the design phase and to coordinate matters relating to design work during a project to ensure any building work is compliant with relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence of arrangements in place to plan, manage and monitor design work during the design phase and to coordinate matters relating to design work during a</p>	Exemption if answered <i>no</i> to question 22 and do not intend to work on any

		<p>project to ensure any building work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy or statement which covers relevant requirements of design work (e.g. compliance with buildings regulations such as fire safety and structural elements) • Monitoring procedures to ensure periodic checking or auditing of practices and management response • Procedural arrangements that cover compliance with Building Regulations including identifying, eliminating and controlling risk of fire • Template documents • Post-project review • Notes of meetings and other discussions • Examples of exchanges of information • How the company coordinates its work with other dutyholders. 	<p>projects in-scope of the Building Safety Act</p> <p>Exemption if BS 99001</p> <p>Exemption if did not indicate in question 145 that are a Principal Designer or Designer</p> <p>Advisory</p>
153	Does your company have arrangements in place to ensure that products specified and used as part of the design phase are suitably assessed and classified for durability, location and product performance as part of a holistic system and comply with relevant requirements?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide evidence of arrangements in place to ensure that products specified and used as part of the design phase are suitably assessed and classified for durability, location and product performance as part of a holistic system and comply with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) which could include:</p> <ul style="list-style-type: none"> • A Quality Management Policy or statement which covers products (including ensuring their suitability for building safety) • Procedural arrangements • Template documents • Manufacturers data and product classification. 	<p>Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act</p> <p>Exemption if BS 99001</p> <p>Exemption if did not indicate in question 145 that are a Principal Designer or Designer</p>

			Advisory
154	Does your company have arrangements in place to provide other dutyholders with relevant information about the design, construction and maintenance of the building?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have shared information about the design, construction and maintenance of the building to assist the Client, other Designers and Contractors to comply with relevant requirements on previous projects such as project team meeting notes, exchanges of information, emails etc. The information shared could include fire risks, products to be used, structural design and other design assumptions, suggested work methods and sequences • Examples of where you have provided advice to the Principal Designer or Client on whether any work is Higher-Risk Building work • Template documents. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Designer Advisory
155	Does your company have arrangements in place to collect, store, organise, update and share information with other dutyholders to help create a Golden Thread of Information for a Higher-Risk Building?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://builduk.org/goldenthread • https://www.hse.gov.uk/building-safety/golden-thread.htm • https://www.legislation.gov.uk/ukdsi/2023/9780348253504/schedule/1 <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a clear explanation of the arrangements which the company has made to collect, store, organise, update, check and share information with other dutyholders which describes the building and shows how it complies with Building Regulations. This explanation may include previous examples of where you have contributed building safety information at a project, premises or organisational level.</p>	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if did not indicate in question 23 that intend to work on Higher-Risk Buildings

			Exemption if BS 99001 Advisory
156	Does your company have arrangements in place to provide the Client and other dutyholders with the appropriate information to update the change control log when changes are made during the design, construction or occupation stages of a Higher-Risk Building?	<p>Guidance can be found here: https://www.hse.gov.uk/building-safety/assets/docs/regime-overview.pdf#page=22</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide a clear explanation of the arrangements which the company has made to provide information with the Client and other dutyholders to update the change control log. The information provided should include:</p> <ul style="list-style-type: none"> • A description of the proposed change • An explanation of the reason why the change has been proposed • Whether the change is a recordable, notifiable or a major change • A list of the name and occupation of each person, if any, whose advice was sought in relation to the proposed change and a brief summary of any advice provided • An assessment of which agreed document is affected by the proposed change and confirmation that a revised version has been produced • An explanation, in relation to the proposed change, of how the HRB work or work to an existing HRB will, after the proposed change is carried out, comply with Building Regulations. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if did not indicate in question 23 that intend to work on Higher-Risk Buildings Exemption if BS 99001 Advisory
157	Does your company have arrangements in place to coordinate with other dutyholders to set up a Mandatory Occurrence Reporting system for a Higher-Risk Building?	<p>Guidance can be found here: https://www.gov.uk/guidance/reporting-a-mandatory-occurrence</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements • Examples of where you have previously helped set up a Mandatory Occurrence Reporting system 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act

		<ul style="list-style-type: none"> Template documents. 	Exemption if did not indicate in question 23 that intend to work on Higher-Risk Buildings Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Principal Contractor or Principal Designer Advisory
158	Does your company have arrangements in place to submit mandatory occurrence notices and reports when working on a Higher-Risk Building?	<p>Guidance can be found here: https://www.gov.uk/guidance/reporting-a-mandatory-occurrence</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> Procedural arrangements Examples of where you have previously submitted mandatory occurrence notices and reports Template documents. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if did not indicate in question 23 that intend to work on Higher-Risk Buildings Exemption if BS 99001

			Exemption if did not indicate in question 145 that are a Principal Contractor or Principal Designer
159	Does your company have arrangements in place to coordinate with other dutyholders to report breaches or concerns with building work adhering to relevant requirements when working on a Higher-Risk Building?	<p>Guidance can be found here: https://www.gov.uk/guidance/reporting-a-mandatory-occurrence</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> • Procedural arrangements which confirm your arrangements to coordinate with the Principal Contractor (if a Contractor) or with the Principal Designer (if a Designer) and other dutyholders to report any breaches to relevant requirements or any concerns with works adhering to relevant requirements (e.g. defective building work or systems, the use of non-compliant products, incomplete compartmentation, inadequate general fire precautions etc.) • Template documents. 	Exemption if answered <i>no</i> to question 22 and do not intend to work on any projects in-scope of the Building Safety Act Exemption if did not indicate in question 23 that intend to work on Higher-Risk Buildings Exemption if BS 99001 Exemption if did not indicate in question 145 that are a Contractor or Designer Advisory

Section 8: Fairness, Inclusion and Respect (FIR)

Question Number	Question	Guidance	Information
160	Does your company meet the equality duties under the Equalities Act?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/guidance/equality-act-2010-guidance • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=426&modtype=url • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=3468&modtype=resource • https://diversity.sustainabilitytool.com/ <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your Fairness, Inclusion and Respect (FIR), also known as Equality, Diversity and Inclusion (EDI) Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>Alternatively, you can provide copies of documents which demonstrate the relevant actions which the company has taken to meet the requirements of the equality duties in relation to the Equalities Act and where they believe they have made a difference.</p>	Document: Fairness, Inclusion and Respect (FIR) Policy
161	Does your company comply with the anti-discrimination regulations under the Equalities Act and treats all people fairly and equally so that no one group of people is treated less favourably than others?	<p>Guidance can be found:</p> <ul style="list-style-type: none"> • https://www.gov.uk/guidance/equality-act-2010-guidance • https://www.gov.uk/discrimination-your-rights • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7260&modtype=resource <p>Please answer <i>yes</i> or <i>no</i>.</p>	Document: Fairness, Inclusion and Respect (FIR) Policy
162	Does your company have arrangements in place to ensure that FIR is embedded throughout your company and to promote good practice in terms of eliminating discrimination in all forms?	<p>Guidance can be found here:</p> <p>https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=2327&modtype=page</p>	Advisory Document: FIR Policy

		<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your FIR Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>Alternatively, you can provide copies of documents which confirm that arrangements are in place to ensure that FIR is embedded within the company and that the company is actively promoting good practice in terms of eliminating discrimination in all forms. This could include guidance to your workforce and sub-contractors concerning recruitment, training and promotion or other guidance you make available to the workforce, recognised trade unions or other representative groups.</p>	
163	<p>In the last three years, has your company:</p> <ul style="list-style-type: none"> • Had any finding of unlawful discrimination made against it by any court, industrial or employment tribunal, or equivalent body • Been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination • Been found to be in breach of section 15 of the Immigration, Asylum and Nationality Act 2006 • Been found to be in breach of section 21 of the Immigration, Asylum and Nationality Act 2006 • Been found to be in breach of the National Minimum Wage Act 1998? 	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide the following:</p> <ul style="list-style-type: none"> • Details of the nature of the breach and any findings • Details/evidence of remedial action taken. 	
164	<p>Is your company's recruitment process inclusive and accessible?</p>	<p>Guidance can be found here: https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=598&modtype=scorm</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide copies of any relevant advertisement or other literature, which confirms that the company actively promotes good practice in terms of eliminating discrimination in all forms through appropriate recruitment processes.</p>	Advisory

165	<p>Does your company ensure that your sub-contractors meet the equality duties under the Equality Act?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.gov.uk/guidance/equality-act-2010-guidance • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=584&modtype=scorm • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=9515&modtype=scorm <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload copies of relevant documents, which could include examples of questions you ask your supply chain, how you evaluate their responses to the questions, and what further information you provide to your supply chain on the Equality Act.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<p>Exemption if answered <i>no</i> to question 21 and do not employ sub-contractors</p> <p>Advisory</p>
-----	--	--	---

Section 9: Information Security

Question Number	Question	Guidance	Information
166	<p>Does your company hold a valid Cyber Essentials Plus Certificate or BS EN ISO 27001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body?</p> <p><i>If yes, you do not need to complete questions 168 – 174</i></p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.ncsc.gov.uk/cyberessentials/overview • https://www.iso.org/isoiec-27001-information-security.html • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=6077&modtype=scorm <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a copy of your certification(s) from the following list:</p> <ul style="list-style-type: none"> • BS EN ISO 27001 from a UKAS (or mutually recognised by UKAS) accredited certification body • Cyber Essentials Plus. 	Advisory Document: ISO 27001 or Cyber Essentials Plus Certificate
167	Does your company have a Data Protection Officer or someone responsible for data protection?	Please answer <i>yes</i> or <i>no</i> .	
168	Does your company have a Cyber Security Policy?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> • https://www.ncsc.gov.uk/collection/incident-management/cyber-incident-response-processes • https://www.ncsc.gov.uk/collection/small-business-guidance--response-and-recovery • https://www.ncsc.gov.uk/collection/10-steps • https://learn.supplychainschool.co.uk/local/tactionplans/resource_intro.php?id=6077&modtype=scorm <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a copy of your Cyber Security Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).</p> <p>The policy should set out the responsibilities for cyber security within the company including:</p>	Exemption if ISO 27001 or Cyber Essentials Plus Certificate Advisory Document: Cyber Security Policy

		<ul style="list-style-type: none"> • Incident response processes including backups of critical systems • How the company identifies what data and systems they manage as well as ensuring they engage proportionate security controls • Whether the company has logging capabilities • Guidance and threat assessments for home working. <p>You should also reference whether your company has adopted the National Cyber Security Centre's 10 Steps.</p> <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	
169	Does your company have a Data Protection Policy and Privacy Notice in place?	<p>Guidance can be found here: https://ico.org.uk/for-organisations/guide-to-data-protection/</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide copies of your Data Protection Policy and Privacy Notice, which may be incorporated within your Data Protection Policy, approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy should cover the company's programme to comply with GDPR, set out the responsibilities for handling sensitive material and data throughout the company, and the arrangements in place regarding IT data security.</p> <p>If you are a micro-business, you may provide a written statement rather than a policy along with your Privacy Notice.</p>	Exemption if ISO 27001 or Cyber Essentials Plus Certificate Document: Data Protection Policy and Privacy Notice
170	Does your company ensure that any sub-contractors you engage have their own cyber security arrangements in place?	<p>Guidance can be found here: https://www.ncsc.gov.uk/blog-post/supplier-assurance-having-confidence-in-your-suppliers</p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload copies of relevant documents. The</p>	Exemption if ISO 27001 or Cyber Essentials Plus Certificate

		<p>documents could include examples of questions you ask your supply chain, how you evaluate their responses to the questions and what further information you provide to your supply chain on cyber security.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	Exemption if answered no to question 21 and do not employ sub-contractors Advisory
171	Does your company ensure that any sub-contractors it engages have their own Data Protection Policy and Privacy Notice?	Please answer <i>yes</i> or <i>no</i> .	Exemption if ISO 27001 or Cyber Essentials Plus Certificate Exemption if answered no to question 21 and do not employ sub-contractors Advisory
172	Has your company documented the personal data it holds, where it came from and who it is shared with, and do you maintain appropriate records and registers of your data processing activities?	Please answer <i>yes</i> or <i>no</i> .	Exemption if ISO 27001 or Cyber Essentials Plus Certificate
173	Has your company carried out a Data Protection Impact Assessment to establish what measures it need to take to comply with data protection legislation, including measures to ensure compliance with EU data protection laws for any personal data that is shared outside the European Economic Area?	Please answer <i>yes</i> or <i>no</i> .	Exemption if ISO 27001 or Cyber Essentials Plus Certificate
174	Does your company have procedures in place to ensure the rights of individuals, including how you handle subject access requests and requests for deletion of personal data?	Please answer <i>yes</i> or <i>no</i> .	Exemption if ISO 27001 or Cyber Essentials Plus Certificate

Section 10: Information Management (IM)

Question Number	Question	Guidance	Information
175	<p>Does your company hold a valid BS EN ISO 19650-2 Certificate issued by a UKAS (or mutually recognised by UKAS) accredited certification body?</p> <p><i>If yes, you do not need to complete questions 176 - 181</i></p>	<p>If yes, please provide a copy of your BS EN ISO 19650-2 Certificate.</p>	Exemption if answered <i>no</i> to question 24 and do not undertake Information Management (IM) work Document: BS EN ISO 19650-2
176	<p>Does your company have policies and processes in place to control, authorise, approve and exchange information compliant with BS EN ISO 19650-2?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If yes, please provide a copy of your IM Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy should cover your documented processes for management, authorisation, approval and exchange of information, your process maps, your delivery and project teams, and one or two examples of how this is utilised across your company.</p> <p>Alternatively, you can provide a statement or copies of documents which confirm that arrangements are in place to control, authorise, approve and exchange information compliant with BS EN ISO 19650-2.</p>	Exemption if BS EN ISO 19650-2 Exemption if answered <i>no</i> to question 24 and do not undertake IM work Document: IM Policy
177	<p>If you act, or intend to act, as a Lead Appointed Party, does your company have the resources (people, processes and technologies) to undertake the Lead Appointed Party IM function as defined in BS EN ISO 19650-2?</p>	<p>Guidance can be found here: https://www.ukbimframework.org/wp-content/uploads/2021/02/Guidance-Part-A_The-information-management-function-and-resources_Edition-2.pdf</p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if BS EN ISO 19650-2 Exemption if answered <i>no</i> to question 24 and do not

		<p>If yes, please provide a copy of your IM Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy should cover the company's resources to undertake the Lead Appointed Party IM function.</p> <p>Alternatively, you can provide copies of relevant guidance, written statements or evidence of relevant actions.</p>	undertake IM work Document: IM Policy
178	Does your company have a team and structure in place to generate, approve, authorise and exchange information conforming to BS EN ISO 19650-2?	<p>Please answer yes or no.</p> <p>If yes, please provide details of your relevant organisational structure and of your workforce carrying out IM delivery including:</p> <ul style="list-style-type: none"> • Who is carrying out the different aspects of IM • Who will be generating or co-ordinating information • How these activities are integrated in the delivery team • Any accredited IM qualifications they hold. 	Exemption if BS EN ISO 19650-2 Exemption if answered no to question 24 and do not undertake IM work
179	Does your company have arrangements in place to provide your workforce with education and training about IM processes and requirements as defined in BS EN ISO 19650-1 and BS EN ISO 19650-2?	<p>Please answer yes or no.</p> <p>If yes, please provide evidence, such as training manuals and training records, which shows that your company has in place, and implements, training to ensure that your workforce has sufficient skills and understanding to carry out their various duties in line with BS EN ISO 19650-1 and BS EN ISO 19650-2.</p> <p>This should include a programme of refresher training that will keep your workforce updated on relevant legal requirements and good IM practice.</p>	Exemption if BS EN ISO 19650-2 Exemption if answered no to question 24 and do not undertake IM work
180	Does your company commit to implementing the principles and procedures set out in the UK IM Framework, including BS EN ISO 19650-1 and BS EN ISO 19650-2, within your policies and processes?	<p>Guidance can be found here: https://www.ukbimframework.org/standards/</p> <p>Please answer yes or no.</p> <p>If yes, please provide a copy of your IM Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy</p>	Exemption if BS EN ISO 19650-2 Exemption if answered no to question 24 and do not undertake IM work

		<p>should demonstrate how this interacts with and complements your processes.</p> <p>Alternatively, you can provide copies of other policies, written statements or evidence of relevant actions.</p>	Document: IM Policy
181	How has your company used the IM principles and procedures set out in BS EN ISO 19650-2 to add value to a project and to your business and to deliver benefits for your clients?	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide a summary of up to two examples that include an explanation of how people, processes and technologies were used to deliver benefits which may include:</p> <ul style="list-style-type: none"> • Optimised whole life cost • Reduced greenhouse gas emissions • Reduced time to design and construct • Predictable asset operational performance. 	Exemption if BS EN ISO 19650-2 Exemption if answered <i>no</i> to question 24 and do not undertake IM work