

# Common Assessment Standard – Question Set

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## Introduction

Build UK and CECA are introducing a new Common Assessment Standard to improve efficiency and reduce cost in the construction pre-qualification (PQ) system.

The Common Assessment Standard comprises an industry-agreed question set based on existing PQ questionnaires, including PAS 91, and desktop and site-based assessment standards. It is designed for construction companies and divided into 10 key sections for ease of completion.

Once the new system is fully up and running, companies will be certified once a year against the standard by a Recognised Assessment Body. This should be accepted by Contractors and Clients who will no longer need to specify a particular assessment body. A list of assessment bodies that have been recognised to certify companies against the standard can be found on the [Build UK website](#).

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 question set includes all the questions from [PAS 91:2013+A1:2017 Construction prequalification questionnaires](#) which is published by BSI. PAS 91 includes all questions from the Single Procurement Document (SPD) and the mandatory exclusion public procurement questions from the *Public Contracts Regulations 2015*.

It also includes a number of additional industry-agreed questions which are grouped together at the end of each section. These additional questions are highlighted green within the question set as shown below.

122	Do you communicate your Anti-Bribery and Corruption policy to staff?	If yes, please provide evidence, such as staff inductions, staff documentation or training, of how you communicate your policy.	Advisory
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### 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. A company does not have to complete these advisory questions to achieve the Common Assessment Standard but any question which is not successfully completed will 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.

136	Are you able to show your arrangements for ensuring that your H&S measures are effective in reducing/preventing work-related incidents, occupational ill-health and accidents?	Please provide a clear explanation of the arrangements which the company has made for putting its policy into effect and for discharging its duties under current relevant H&S legislation.	Exemption if ISO 45001/SSIP scheme certificate
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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 (€2 million) **or** balance Sheet total less than £1.8 million (€2 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 assessment body verifying the information against the relevant assessment standard remotely.

A **site-based audit** will involve an auditor from the 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.

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 is not in a group procurement
Where company does not employ sub-contractors
Where company does not operate as a Principal Contractor or Contractor
Where company does not operate as a Principal Contractor
Where company does not operate as a Principal Designer or Designer
Where company does not operate as a Principal Designer
Where company has not been found guilty of breaching equality legislation
Where company does not undertake IM work
Where company has already completed a Single Procurement Document (SPD)
Where company holds cyber security certification
Where company holds ISO 9001
Where company holds ISO 14001 / EMAS
Where company holds ISO 45001 / SSIP scheme certificate
Where company holds BS EN ISO 19650 2 certificate
Where company is UK based

## Documents List

Document	Question(s)	Time Critical
Accounts for last two years	37, 38, 39, 40	
Anti-bribery and corruption policy	120	
Anti-bullying policy	215	
Anti-slavery and human trafficking statement	212	
Behavioural Management Programme	175	
BS EN ISO 19650 Part 2 certificate	227	Yes
Carbon reduction plan	185	
Corporate governance statement	129	
Corporate social responsibility policy	211	
Cyber security certification (Cyber Essentials, Cyber Essentials Plus or ISO 27001)	217	Yes
Data protection policy	220	
Drug and alcohol policy	173	
EMAS certificate	176	
Environmental management policy	177	
Equality, Diversity and Inclusion (EDI) Policy	198	
Factory Production Control (FPC) certificate	194	Yes
Fleet operations/management scheme certificate	172	
Gender Pay Gap report	216	
Health and safety policy	131	
Information Management policy	228, 229	
Insurance certificate - contractors all risk	45	Yes
Insurance certificate - employers' liability	41	Yes
Insurance certificate - fleet	46	Yes
Insurance certificate - product liability	44	Yes
Insurance certificate - professional indemnity	43	Yes
Insurance certificate - public liability	42	Yes
ISO 14001 (or equivalent)	176	Yes
ISO 45001 (or equivalent)	130	Yes
ISO 9001 (or equivalent)	187	Yes
Occupational Health Policy	174	
Quality management policy	188	
Risk management policy	197	
Single Procurement Document (SPD)	55	
SSIP Scheme certificate	130	Yes
Sub-contractor selection policy	51, 195	
Trade-specific licences/accreditations (e.g. Asbestos Licence)	31	
Waste carrier licence	183	
Whistleblowing policy	125	

## Section 1: Identity

Question Number	Question	Guidance	Information
1	Name of legal entity or sole-trader.	Please provide the unique name of legal entity or name of individual if a sole-trader.	
2	Registered office address.	Please provide the following: <ul style="list-style-type: none"> <li>• Address line 1 (property name/number)</li> <li>• Address line 2</li> <li>• Address line 3</li> <li>• Town</li> <li>• County</li> <li>• Postcode</li> <li>• Website (if applicable).</li> </ul>	
3	Contact details for enquiries.	Please provide the following: <ul style="list-style-type: none"> <li>• Title (Mr, Mrs, Ms, etc.)</li> <li>• Forename</li> <li>• Family name</li> <li>• Job title</li> <li>• E-mail</li> <li>• Telephone number</li> <li>• Fax number</li> <li>• Address line 1 (property name/number)</li> <li>• Address line 2</li> <li>• Address line 3</li> <li>• Town</li> <li>• County</li> <li>• Postcode.</li> </ul>	
4	Registration number if registered with Companies House or equivalent.	Please provide your Companies House or equivalent registration number.  If you are a sole trader or not registered on Companies House or equivalent, please answer <i>N/A</i> .	
5	Charity registration number.	If you are not a charity, please answer <i>N/A</i> .  If you are, please provide your charity registration number.	
6	VAT registration number.	Please provide your VAT registration number.  If you do not have one, please answer <i>N/A</i> .	

7	Name of immediate parent company.	Please provide the name of your immediate parent company.  If you do not have one, please answer <i>N/A</i> .	
8	Name of ultimate parent company.	Please provide the name of your ultimate parent company.  If you do not have one, please answer <i>N/A</i> .	
9	Type of organisation.	Please select the applicable option from the list below: <ul style="list-style-type: none"> <li>• PLC</li> <li>• Limited company</li> <li>• LLP</li> <li>• Other partnership</li> <li>• Sole trader</li> <li>• Other (please specify).</li> </ul>	
10	Are you a Micro, a Small or a Medium-Sized Enterprise?	If you are a large company, please answer <i>no</i> .  If you are not a large company, please select the applicable option from the list below: <ul style="list-style-type: none"> <li>• <b>Micro:</b> <ol style="list-style-type: none"> <li>1) Less than 10 employees, <b>and</b></li> <li>2) Turnover below €2m (£1.8m) <b>or</b> balance Sheet total less than €2m (£1.8m).</li> </ol> </li> <li>• <b>Small:</b> <ol style="list-style-type: none"> <li>1) Less than 50 employees, <b>and</b></li> <li>2) Turnover below €10m (£9m) <b>or</b> balance Sheet total less than €10m (£9m).</li> </ol> </li> <li>• <b>Medium:</b> <ol style="list-style-type: none"> <li>1) Less than 250 employees, <b>and</b></li> <li>2) Turnover below €50m (£45m) <b>or</b> balance Sheet total less than €43m (£38.5m).</li> </ol> </li> </ul>	
11	Is your organisation a sheltered workshop, a social enterprise or will it provide for the performance of the contract in the context of sheltered employment programmes?	Guidance can be found here: <ul style="list-style-type: none"> <li>• <a href="https://www.gov.uk/set-up-a-social-enterprise">https://www.gov.uk/set-up-a-social-enterprise</a></li> <li>• <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/31677/11-1400-guide-legal-forms-for-social-enterprise.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/31677/11-1400-guide-legal-forms-for-social-enterprise.pdf</a></li> <li>• <a href="https://www.socialenterprise.org.uk/Pages/Category/looking-to-start-a-social-enterprise">https://www.socialenterprise.org.uk/Pages/Category/looking-to-start-a-social-enterprise</a></li> <li>• <a href="https://www.socialenterprise.org.uk/Pages/FAQs/Category/FAQs">https://www.socialenterprise.org.uk/Pages/FAQs/Category/FAQs</a></li> </ul>	

		<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"> <li>• Sheltered workshop</li> <li>• Social enterprise.</li> </ul> <p><b>Sheltered workshop:</b> An organisation or environment that employs people with disabilities separately from others.</p> <p><b>Social enterprise:</b> 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"> <li>• They have a social mission written into their company governing documents</li> <li>• They make more than 50% of their money from trading</li> <li>• They reinvest or give away more than 50% of their profits to further their social mission</li> <li>• They are independent: owned and controlled in the interests of the social mission</li> <li>• They are transparent in how they report their social impact and how they operate</li> </ul>	
12	What is the corresponding percentage of disabled or disadvantaged workers?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li>• <a href="https://www.gov.uk/government/publications/see-potential-case-studies-and-employer-information-pack/see-potential-a-step-by-step-guide-to-open-recruitment">https://www.gov.uk/government/publications/see-potential-case-studies-and-employer-information-pack/see-potential-a-step-by-step-guide-to-open-recruitment</a></li> </ul> <p>If you answered <i>no</i> to question 11, please answer <i>N/A</i>.</p> <p>If you answered <i>yes</i>, please provide percentage of disabled or disadvantaged workers.</p> <p><b>disabled worker:</b></p> <ul style="list-style-type: none"> <li>• Is recognised as worker with disabilities under national law; or</li> </ul>	



		<ul style="list-style-type: none"> <li>• 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.</li> </ul> <p><b>Disadvantaged worker:</b></p> <ul style="list-style-type: none"> <li>• Has not been in regular paid employment for the previous 6 months</li> <li>• Is between 15 and 24 years of age</li> <li>• Has not attained an upper secondary educational or vocational qualification (International Standard Classification of Education 3) or is within two years of completing full-time education and who has not previously obtained his or her first regular paid employment</li> <li>• Is over 50 years of age</li> <li>• Lives as a single adult with one or more dependants</li> <li>• 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</li> <li>• Is a member of an ethnic minority within a Member State including those who require development of his or her linguistic, vocational training or work experience profile to enhance prospects of gaining access to stable employment</li> <li>• Is a Care-leaver</li> <li>• Is an ex-offender</li> <li>• Is a recovering addict</li> <li>• Has experience of homelessness</li> <li>• Is a single parent</li> <li>• Is a veteran</li> <li>• Other (please specify).</li> </ul>	
13	Please specify which category or categories of disabled or disadvantaged workers the employees concerned belong to.	<p>If you answered <i>no</i> to question 11, please answer <i>N/A</i>.</p> <p>Please specify which category or categories of disabled or disadvantaged workers the employees concerned belong to using the list in question 12.</p>	

14	<p>Is your organisation registered on an official list of approved economic operators or does it have an equivalent certificate (e.g. under a national (pre)qualification system)?</p> <p><i>If N/A or no, you do <b>not</b> need to complete questions 15 - 18.</i></p>	<p>If you are a UK-based company, please respond with <i>N/A</i>.</p> <p>If you are not a UK-based company, please answer <i>yes</i> or <i>no</i>.</p>	
15	<p>Please provide the name of the list or certificate and the relevant registration or certification number.</p>	<p>Please provide the name of the list or certificate and the relevant registration or certification number.</p>	<b>Exemption if UK-based company</b>
16	<p>If the certificate of registration or certification is available electronically, please state:</p> <ul style="list-style-type: none"> <li>• The web address</li> <li>• Issuing authority or body</li> <li>• Precise reference of the documentation</li> <li>• The references on which the registration or certification is based</li> <li>• The classification obtained in the official list (if applicable)</li> </ul>	<p>If not, please answer <i>N/A</i>.</p> <p>If the certificate of registration or certification is available electronically, please provide the following:</p> <ul style="list-style-type: none"> <li>• The web address</li> <li>• Issuing authority or body</li> <li>• Precise reference of the documentation</li> <li>• The references on which the registration or certification is based</li> <li>• The classification obtained in the official list (if applicable)</li> </ul>	<b>Exemption if UK-based company</b>
17	<p>Does the registration or certification cover all of the required criteria in Tables 2, 3, 4, 5, 6, 7 and 8?</p>	<p>Please confirm which sections of PAS 91 your registration or certificate covers:</p> <ul style="list-style-type: none"> <li>• Table 2: Financial</li> <li>• Table 3: Professional Standing</li> <li>• Table 4: Health and Safety</li> <li>• Table 5: Environmental</li> <li>• Table 6: Quality</li> <li>• Table 7: Equality</li> <li>• Table 8: Building Information Modelling (IM).</li> </ul>	<b>Exemption if UK-based company</b>
18	<p>Will your organisation be able to provide a certificate with regard to the payment of social security contributions and taxes or provide information enabling the contracting authority or contracting entity to obtain it directly by accessing a national database in any Member State that is available free of charge?</p>	<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"> <li>• The web address</li> <li>• Issuing authority or body</li> <li>• Precise reference of the documentation.</li> </ul>	<b>Exemption if UK-based company</b>
19	<p>Are you participating in the procurement procedure together with others?</p> <p><i>If N/A, you do <b>not</b> need to complete questions 20 - 23.</i></p>	<p>If you are not participating in a group procurement, please answer <i>N/A</i>.</p> <p>If you are participating in a group procurement, please answer <i>yes</i>.</p>	

20	Please indicate your organisation's role.	Please select the applicable option from the list below: <ul style="list-style-type: none"> <li>• Sole supplier/Lead entity</li> <li>• Group member</li> <li>• Other entity (relied upon)</li> <li>• Other entity (not relied upon).</li> </ul>	<b>Exemption if not in a group procurement</b>
21	To enable the collation of the group's responses, please identify the other organisations participating in the procurement procedure.	Please provide the names of the other organisations jointly participating in the group procurement.	<b>Exemption if not in a group procurement</b>
22	Where applicable, the name of the group.	If applicable, please provide the name of the group. If not, please answer <i>N/A</i> .	<b>Exemption if not in a group procurement</b>
23	Where applicable, please indicate the lot(s) for which you wish to tender.	If applicable, please provide the lot(s) for which you wish to tender for. If not, please answer <i>N/A</i> .	<b>Exemption if not in a group procurement</b>
24	What is your company e-mail?	Please provide your company e-mail.	
25	Please confirm your company trading address and whether you have any branch offices	Please provide your company trading address, if different from your registered office address, and the addresses of any branch offices (if applicable).  If your trading address is the same as your registered office address, please answer <i>N/A</i> .	
26	What is your company trading name?	Please provide your company trading name.	
27	What is your unique tax reference (UTR)?	Please provide your unique tax reference (UTR).  If you do not have one, please answer <i>N/A</i> .	
28	What date did your business become incorporated?	If your company is not incorporated, please answer <i>N/A</i> and provide the date you started business.	
29	What is your geographical area of operation?	Please provide the geographic areas where your company operates.	
30	Are you registered, based and active in the UK, Channel Islands and/or Republic of Ireland?	Please answer <i>yes</i> or <i>no</i> .	
31	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 you specify, if any have any mandatory licences/accreditations (e.g. Asbestos Licence), please provide copies.	<b>Document:</b> Mandatory licences/ accreditations
32	Do you have any associated or group companies? If so, can you provide details of their legal ownership?	Please provide details of the legal ownership of any group companies.  If you do not have any, please answer <i>N/A</i> .	

33	Can you provide details of the following: proprietors/partners/directors and company secretary?	Please provide names and roles.	
34	Do you employ sub-contractors?  <i>If no, you do <b>not</b> need to complete questions 51, 195 - 196, 210, 219 and 226.</i>	Please answer <i>yes</i> or <i>no</i> .	
35	Do you work on any projects with an IM requirement?  <i>If no, you do <b>not</b> need to complete any of the questions in section 10 (227 - 233).</i>	Please answer <i>yes</i> or <i>no</i> .	

## Section 2: Financial

Question Number	Question	Guidance	Information
36	Financial information for a start-up business that has not reported accounts to the Inland Revenue or Companies House.	<p>If you are not a start-up business that has not reported accounts to the Inland Revenue or Companies House, please answer <i>N/A</i>.</p> <p>If you are a start-up business that has not reported accounts to the Inland Revenue or Companies House, please provide a forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status.</p>	
37	Accounts for an unincorporated business (sole traders and partnerships).	<p>If you are not an unincorporated business (sole traders and partnerships), please answer <i>N/A</i>.</p> <p>If you are 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>	<b>Document:</b> Accounts for last two years
38	Accounts for a small company or limited liability partnership with a turnover below the audit threshold at which the preparation of audited accounts is not required.	<p>If you are not 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 answer <i>N/A</i>.</p> <p>If you are 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 the Inland Revenue covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available. Abbreviated accounts are <b>not</b> acceptable. A company may qualify for an audit exemption if it has at least two of the following:</p>	<b>Document:</b> Accounts for last two years

		<ul style="list-style-type: none"> <li>• An annual turnover of no more than £10.2 million</li> <li>• Assets worth no more than £5.1 million</li> <li>• 50 or fewer employees on average.</li> </ul>	
39	Accounts for a medium to large incorporated entity and all other organisations that are required to prepare audited accounts.	<p>If you are not a medium to large incorporated entity or other organisation that is required to prepare audited accounts, please answer <i>N/A</i>.</p> <p>If you are a medium to large incorporated entity or other organisation 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>	<b>Document:</b> Accounts for last two years
40	Accounts for other organisation types.	<p>If you are not another organisation type (e.g. not for profit entities, local authorities, housing associations, charities), please answer <i>N/A</i>.</p> <p>If you are another organisation type, please provide a copy of your audited accounts. If you do not have any audited accounts, an unaudited copy of the most recent accounts as described in question 38 should be provided.</p>	<b>Document:</b> Accounts for last two years
41	Employers' liability insurance.	<p>Please provide a copy of your employers' liability insurance certificate which must include the following:</p> <ul style="list-style-type: none"> <li>• Policy number</li> <li>• Limit</li> <li>• Excess</li> <li>• Expiry date.</li> </ul> <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 you do not have any employees, please answer <i>N/A</i>.</p>	<b>Document:</b> Employers' liability insurance certificate
42	Public liability insurance.	<p>Please provide a copy of your public liability insurance certificate which must include the following:</p> <ul style="list-style-type: none"> <li>• Policy number</li> <li>• Limit</li> <li>• Excess</li> <li>• Expiry date.</li> </ul>	<b>Document:</b> Public liability insurance certificate

		Please note that the company name on your insurance policies must match the name of the company provided in question 7.	
43	Professional indemnity insurance (where consultancy input involved).	<p>Please provide a copy of your professional indemnity insurance certificate which must include the following:</p> <ul style="list-style-type: none"> <li>• Policy number</li> <li>• Limit</li> <li>• Excess</li> <li>• Expiry date.</li> </ul> <p>Please note that the company name on your insurance policies must match the name of the company provided in question 7.</p>	<p><b>Exemption if answered <i>no</i> to both questions 143 and 144 and are not a Principal Designer or Designer</b></p> <p><b>Document:</b> Professional indemnity insurance certificate</p>
44	Product liability insurance (where products are to be supplied).	<p>Please provide a copy of your product liability insurance certificate which must include the following:</p> <ul style="list-style-type: none"> <li>• Policy number</li> <li>• Limit</li> <li>• Excess</li> <li>• Expiry date.</li> </ul> <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 you do not supply materials, please answer <i>N/A</i>.</p>	<p><b>Document:</b> Product liability insurance certificate</p>
45	Do you have contractors all risk insurance?	<p>Please provide a copy of your contractors all risk insurance certificate which must include the following:</p> <ul style="list-style-type: none"> <li>• Policy number</li> <li>• Limit</li> <li>• Excess</li> <li>• Expiry date.</li> </ul> <p>Please note that the company name on your insurance policies must match the name of the company provided in question 7.</p>	<p><b>Document:</b> Contractors all risk insurance certificate</p>

		If you do not have contractors all risk insurance, please answer <i>N/A</i> .	
46	Do you have fleet insurance?	<p>Please provide a copy of your fleet insurance certificate which must include the following:</p> <ul style="list-style-type: none"> <li>• Policy number</li> <li>• Limit</li> <li>• Excess</li> <li>• Expiry date.</li> </ul> <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 you do not have fleet insurance, please answer <i>N/A</i>.</p>	<b>Document:</b> Fleet insurance certificate
47	Please provide details of your insurance broker(s).	Please provide contact name and contact details.	
48	Please provide your principal banker's address.		
49	How many personnel do you have in total?	<p>Please provide two figures for the last 12 months:</p> <ol style="list-style-type: none"> <li>1) Total number of <i>direct employees</i> (PAYE)</li> <li>2) Total number of <i>indirect personnel</i> (non-PAYE)</li> </ol> <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"> <li>• a contract of employment,</li> <li>• full statutory rights as an 'employee',</li> <li>• and payment to HMRC of PAYE income tax and employer and employee Class 1 NICs.</li> </ul> <p>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. an enterprise that contracts to perform a defined sub-contract work package for which it carries commercial risk).</p>	
50	Have you signed up to a code of conduct or standards on payment practices? If so, which?	<p>If yes, please confirm which code(s)/standard(s) which may include: Prompt Payment Code:  <a href="https://www.smallbusinesscommissioner.gov.uk/ppc/">https://www.smallbusinesscommissioner.gov.uk/ppc/</a></p>	<b>Advisory</b>



51	Do you check whether your sub-contractors are financially stable?	If <i>yes</i> , please provide details or a copy of your arrangements. This information may be provided as part of a sub-contractor selection policy or through another document.	<p><b>Advisory</b></p> <p><b>Exemption if answered <i>no</i> to question 34 and do not employ sub-contractors</b></p> <p><b>Document:</b> Sub-contractor selection policy</p>
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## Section 3: Corporate and Professional Standing

Question Number	Question	Guidance	Information
52	Has your company or any of its Directors and/or Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgement against you or them?	<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"> <li>• Details of the circumstances</li> <li>• Whether the organisation has a remedial plan and what actions have been taken for remediation.</li> </ul> <p>Please note minor offences can be excluded (such as speeding tickets or parking offences).</p>	
53	If your company or any of its Directors and/or Executive Officers are the subject of ongoing or pending criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, have all claims been properly notified in accordance with relevant insurance policy requirements and been accepted by the insurers?	<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"> <li>• Details of the circumstances</li> <li>• Whether the organisation has a remedial plan and what actions have been taken for remediation.</li> </ul> <p>Please note minor offences can be excluded (such as speeding tickets or parking offences).</p>	
54	Has your company or any of its Directors and/or Executive Officers been in receipt of enforcement/remedial orders that are still unresolved (such as those in relation to the Environment Agency or Office of Rail Regulation enforcement) 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 conviction including:</p> <ul style="list-style-type: none"> <li>• Details of the circumstances</li> <li>• Whether the organisation has a remedial plan and what actions have been taken for remediation.</li> </ul> <p>Please note minor offences can be excluded (such as speeding tickets or parking offences).</p>	
55	<p>Have you submitted a completed Single Procurement Document (SPD)?</p> <p><i>If yes, you do <b>not</b> need to complete questions 56 - 81.</i></p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your previously submitted SPD but only if the information within it is still current.</p>	<p><b>Document:</b> Single Procurement Document</p>

56	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>participation in a criminal organisation</b> ?	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>Participation offence as defined by section 45 of the Serious Crime Act 2015 or conspiracy within the meaning of:</i></p> <ul style="list-style-type: none"> <li>• Section 1 or 1A of the Criminal Law Act 1977, or</li> <li>• 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.</li> </ul>	Exemption if Single Procurement Document
57	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>corruption</b> ?	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>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.</i></p>	Exemption if Single Procurement Document
58	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>fraud</b> ?	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>Any of the following offences, where the offence relates to fraud affecting the European Communities' financial interests as defined by Article 1 of the convention on the protection of the financial interests of the European Communities:</i></p>	Exemption if Single Procurement Document

		<ul style="list-style-type: none"> <li>• <i>The common law offence of cheating the Revenue</i></li> <li>• <i>The common law offence of conspiracy to defraud, fraud or theft within the meaning of the Theft Act 1968</i></li> <li>• <i>The Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978</i></li> <li>• <i>Fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006</i></li> <li>• <i>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</i></li> <li>• <i>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</i></li> <li>• <i>Fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006</i></li> <li>• <i>The possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act.</i></li> </ul>	
59	<p>In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>terrorist offences or offences linked to terrorist activities?</b></p>	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>Any offence:</i></p> <ul style="list-style-type: none"> <li>• <i>Listed in section 41 of the Counter Terrorism Act 2008</i></li> <li>• <i>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.</i></li> </ul>	<p><b>Exemption if Single Procurement Document</b></p>

60	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>money laundering or terrorist financing</b> ?	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>Money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002 or an offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996.</i></p>	Exemption if Single Procurement Document
61	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>child labour and other forms of trafficking human beings</b> ?	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>Any of the following:</i></p> <ul style="list-style-type: none"> <li>• <i>An offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004</i></li> <li>• <i>An offence under section 59A of the Sexual Offences Act 2003</i></li> <li>• <i>An offence under section 71 of the Coroners and Justice Act 2009</i></li> <li>• <i>An offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994</i></li> <li>• <i>An offence under section 2 or section 4 of the Modern Slavery Act 2015.</i></li> </ul>	Exemption if Single Procurement Document
62	In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>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</b> ?	<p>Guidance can be found here:  <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if Single Procurement Document

63	<p>In respect of Regulations 57(1 and 2) of the Public Contracts Regulations 2015, within the past five years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>any other offence within the meaning of Article 57(1) of the Directive created after 26 February 2015 in England, Wales or Northern Ireland?</b></p>	<p>Guidance can be found here:  <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if Single Procurement Document
64	<p>If you have answered <i>yes</i> to any of questions 56 - 63, please provide further details for each such question including:</p> <ul style="list-style-type: none"> <li>• Date of conviction and the jurisdiction</li> <li>• Which of the grounds listed the conviction was for</li> <li>• The reasons for conviction</li> <li>• The identity of who has been convicted.</li> </ul> <p>If the relevant documentation is available electronically please provide:</p> <ul style="list-style-type: none"> <li>• The web address</li> <li>• Issuing authority</li> </ul> <p>Precise reference of the documents.</p>	<p>If you have answered <i>no</i> to questions 56 - 63, please answer N/A.</p> <p>If you have answered <i>yes</i> to any of these questions, please:</p> <ul style="list-style-type: none"> <li>• Provide details of the circumstances, and</li> <li>• Explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (Self-cleaning - see Regulation 57(13 to 17) of the Public Contracts Regulations 2015).</li> </ul> <p>If relevant documentation is available electronically please indicate the web address, issuing authority or body and precise reference of the document.</p>	Exemption if Single Procurement Document
65	<p>If you have answered <i>yes</i> to any of questions 56 - 63, please explain, for each such question, what measures have been taken to demonstrate the reliability of the organisation despite the existence of relevant grounds for exclusion (Self-cleaning - see Regulation 57 (13 to 17) of the Public Contracts Regulations 2015).</p>	<p>If you have answered <i>no</i> to questions 56 - 63, please answer N/A.</p> <p>If you have answered <i>yes</i> to any of these questions, please provide a statement, for each such question, on what measures have been taken to demonstrate the reliability of the organisation despite the existence of relevant grounds for exclusion.</p>	Exemption if Single Procurement Document
66	<p>Are all tax return filings up to date for the last 6 years?</p>	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if Single Procurement Document
67	<p>Have you been under investigation or enquiry by HMRC or an overseas revenue authority in the last 6 years?</p>	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></p>	Exemption if Single Procurement Document

		<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"> <li>• Details of the circumstances</li> <li>• The country or state concerned</li> <li>• The amount concerned</li> <li>• The date of the investigation or enquiry</li> <li>• Copies of all correspondence</li> <li>• If the relevant documentation is available electronically indicate the web address, issuing authority or body and precise reference of the document</li> <li>• Whether the organisation has a remedial plan and what actions have been taken for remediation</li> </ul>	
68	<p>Have you been served any fines or penalties by HMRC or an overseas revenue authority in the last 6 years?</p>	<p>Guidance can be found here:  <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/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</a></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"> <li>• Details of the circumstances</li> <li>• Whether you believe there to be any overriding reasons for non-payment</li> <li>• The country or state concerned</li> <li>• The amount concerned</li> <li>• The date of the conviction or decision</li> <li>• 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</li> <li>• Copies of all correspondence</li> <li>• If the relevant documentation is available electronically indicate the web address, issuing authority or body and precise reference of the document</li> </ul> <p>Whether the organisation has a remedial plan and what actions have been taken for remediation</p>	<p><b>Exemption if Single Procurement Document</b></p>
69	<p>In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who</p>	<p>Guidance can be found here:  <a href="https://www.gov.uk/government/uploads/system/uploads/">https://www.gov.uk/government/uploads/system/uploads/</a></p>	<p><b>Exemption if</b></p>

	<p>has powers of representation, decision or control in the organisation committed a <b>breach of obligations in the field of environment, social and/or labour law?</b></p>	<p><a href="attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>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:</i></p> <ul style="list-style-type: none"> <li>• <i>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</i></li> <li>• <i>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</i></li> <li>• <i>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)</i></li> <li>• <i>Where the organisation has been in breach of section 15 of the Immigration, Asylum, and Nationality Act 2006;</i></li> <li>• <i>Where the organisation has a conviction under section 21 of the Immigration, Asylum, and Nationality Act 2006</i></li> </ul> <p><i>Where the organisation has been in breach of the National Minimum Wage Act 1998.</i></p>	<p><b>Single Procurement Document</b></p>
<p>70</p>	<p>In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation declared <b>bankruptcy or insolvency?</b></p>	<p>Guidance can be found here: <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	<p><b>Exemption if Single Procurement Document</b></p>



		<i>Bankrupt or is the subject of insolvency or winding-up proceedings, where the organisation'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.</i>	
71	In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been <b>guilty of grave professional misconduct</b> ?	Guidance can be found here: <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a>  Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document
72	In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>distortion of competition</b> ?	Guidance can be found here: <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a>  Please answer <i>yes</i> or <i>no</i> .  <i>Entered into agreements with other economic operators aimed at distorting competition.</i>	Exemption if Single Procurement Document
73	In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been <b>aware of any conflict of interest in any procurement</b> ?	Guidance can be found here: <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a>  Please answer <i>yes</i> or <i>no</i> .  <i>Aware of any conflict of interest within the meaning of regulation 24 due to the participation in the procurement procedure.</i>	Exemption if Single Procurement Document
74	In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation <b>been involved in the preparation of the procurement procedure</b> ?	Guidance can be found here: <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a>  Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document

75	In respect of Regulations 57(8) of the Public Contracts Regulations 2015, within the past three years, anywhere in the world, have you, your organisation or any person who has powers of representation, decision or control in the organisation been involved in <b>performance deficiencies on a previous contract leading to early termination, damages or other sanctions?</b>	<p>Guidance can be found here:  <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/551130/List_of_Mandatory_and_Disciplinary_Exclusions.pdf</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p><i>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.</i></p>	Exemption if Single Procurement Document
76	Has your organisation been found guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria?	Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document
77	Has your organisation been found guilty of serious misrepresentation in withholding such information?	Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document
78	Has your organisation been found guilty of serious misrepresentation in being unable to submit supporting documents required under Regulation 59 of the Public Contracts Regulations 2015?	Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document
79	Has your organisation been found guilty of serious misrepresentation by 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?	Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document
80	Has your organisation been found guilty of serious misrepresentation by providing misleading information that may have a material influence on decisions concerning exclusion, selection or award?	Please answer <i>yes</i> or <i>no</i> .	Exemption if Single Procurement Document
81	<p>If you have answered <i>yes</i> to any of questions 69 – 80, please:</p> <ul style="list-style-type: none"> <li>• Provide details of the circumstances, and</li> <li>• Explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (Self-cleaning – see</li> </ul>	<p>If you answered <i>no</i> to all of questions 69 – 80, please answer <i>N/A</i>.</p> <p>If you answered <i>yes</i> to any of these questions, please:</p> <ul style="list-style-type: none"> <li>• Provide details of the circumstances, and</li> </ul>	Exemption if Single Procurement Document

	<p>Regulation 57 (13 to 17) of the Public Contracts Regulations 2015)</p> <p>If relevant documentation is available electronically, please indicate the web address, issuing authority or body and precise reference of the document.</p>	<ul style="list-style-type: none"> <li>Explain what measures have been taken to demonstrate the reliability of the organisation despite the existence of a relevant ground for exclusion (Self-cleaning – see Regulation 57 (13 to 17) of the Public Contracts Regulations 2015).</li> </ul> <p>If relevant documentation is available electronically please indicate the web address, issuing authority or body and precise reference of the document.</p>	
82	<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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>conspiracy within the meaning of section 1 or section 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983, or in Scotland the Offence of Conspiracy, where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA?</b></p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	
83	<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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>involvement in serious organised crime or directing serious organised crime within the meaning of section 28 or 30 of the Criminal Justice and Licensing (Scotland) Act 2010?</b></p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	
84	<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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>corruption within the meaning of section 1 of the Public Bodies</b></p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	

	<b>Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906?</b>		
85	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>the offence of bribery?</b>	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
86	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>bribery within the meaning of section 1, 2 or 6 of the Bribery Act 2010?</b>	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
87	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>bribery or corruption within the meaning of section 68 and 69 of the Criminal Justice (Scotland) Act 2003?</b>	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
88	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>the offence of cheating the Revenue</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
89	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, have you, your organisation or any	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	

	person who has powers of representation, decision or control in the organisation been convicted of <b>the offence of conspiracy to defraud</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union		
90	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of the offence of <b>fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978, or the Theft (Northern Ireland) Order 1978</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
91	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of the offence of <b>fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
92	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted <b>in Scotland, the offence of fraud</b> , where the offence relates to fraud affecting the financial interests of the European	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	

	Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?		
93	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted <b>in Scotland, the offence of theft</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
94	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of the offence of <b>fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies Act (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
95	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of the offence of <b>fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	

	Convention relating to the protection of the financial interests of the European Union?		
96	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide further information.	
97	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969 or making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of the Fraud Act 2006</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide further information.	
98	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted <b>in Scotland, the offence of uttering</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide further information.	

	relating to the protection of the financial interests of the European Union?		
99	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted <b>in Scotland, the criminal offence of attempting to pervert the course of justice</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
100	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of money laundering within the meaning of <b>section 93A, 93B, or 93C of the Criminal Justice Act 1988, section 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996 or the Money Laundering Regulations 2003 or money laundering or terrorist financing within the meaning of the Money Laundering Regulations 2007</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
101	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>terrorist offences or offences linked to terrorist activities, as defined in Articles 1 and 3 of Framework Decision 2002/475/JHA</b> , where the offence relates to fraud affecting the financial interests of the European Communities as	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	



	defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?		
102	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>an offence in connection with proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide further information.	
103	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted <b>in Scotland, the offence of incitement to commit any of the crimes described in Regulation 23(1)</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide further information.	
104	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, have you, your organisation or any person who has powers of representation, decision or control in the organisation been convicted of <b>any other offence within the meaning of Article 39(1) of the Defence and Security Procurement Directive 2009/81/EC as defined by the national law of any Member State</b> , where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide further information.	

105	<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 you, your organisation or any person who has powers of representation, decision or control in the organisation: being an individual, is a person in respect of whom a debt relief order has been made or is bankrupt or has had a receiving order or administration order or bankruptcy restrictions order or debt relief restrictions order made against him or has made any composition or arrangement with or for the benefit of creditors or has made any conveyance or assignment for the benefit of creditors or appears unable to pay or to have no reasonable prospect of being able to pay, a debt within the meaning of Section 268 of the Insolvency Act 1986, or Article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate, or is the subject of any similar procedure under the law of any other Member State?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	
106	<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 you, your organisation or any person who has powers of representation, decision or control in the organisation: 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?</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	
107	<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 you, your organisation or any person who has powers of representation, decision or control in the organisation: being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002 has passed a resolution or is the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or has had a receiver, manager or administrator on behalf of a</p>	<p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further information.</p>	

	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?		
108	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 organisation 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?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
109	In respect of Part 4 Regulation 23(4) of the Defence and Security Public Contracts Regulations (DSPCR) 2011 (SI 1848), anywhere in the world, has your organisation 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?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
110	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 organisation 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?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
111	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 organisation 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?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
112	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 organisation 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?	Please answer <i>yes</i> or <i>no</i> . If <i>yes</i> , please provide further information.	
113	Has your organisation or its Directors or owners been the subject of any investigation or dispute relating to questions	Please answer <i>yes</i> or <i>no</i> .	

	52 – 54 or are you aware of any circumstances which are likely to give rise to an investigation, proceeding, dispute or conviction of the type mentioned in questions 52 – 54?	<p>52 – <i>Has your company or any of its Directors and/or Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgement against you or them?</i></p> <p>53 – <i>If your company or any of its Directors and/or Executive Officers are the subject of ongoing or pending criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, have all claims been properly notified in accordance with relevant Insurance policy requirements and been accepted by the insurers?</i></p> <p>54 – <i>Has your company or any of its Directors and/or Executive Officers been in receipt of enforcement/remedial orders that are still unresolved (such as those in relation to Environment Agency or Office of Rail Regulation enforcement), in the last three years?</i></p>	
114	Has your organisation or any of its Directors or owners 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>	
115	Has your organisation ever been found to be in breach of the Employment Relations Act 1999 (Blacklists) Regulations 2010?	<p>Guidance can be found here: <a href="https://www.gov.uk/government/publications/blacklisting-of-trade-unionists-guidance">https://www.gov.uk/government/publications/blacklisting-of-trade-unionists-guidance</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	
116	Is your organisation the subject of ongoing or pending court action in relation to the Employment Relations Act 1999 (Blacklists) Regulations 2010?	<p>Guidance can be found here: <a href="https://www.gov.uk/government/publications/blacklisting-of-trade-unionists-guidance">https://www.gov.uk/government/publications/blacklisting-of-trade-unionists-guidance</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	
117	Is any government entity, Public Official or Relevant Person a Principal of your organisation or do they exert any control over your organisation?	<p>Guidance can be found here: <a href="https://www.gov.uk/government/publications/bribery-act-2010-guidance">https://www.gov.uk/government/publications/bribery-act-2010-guidance</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	
118	Does any Public Official or Relevant Person stand to benefit in any way as a result of your organisation being awarded work?	<p>Guidance can be found here: <a href="https://www.gov.uk/government/publications/bribery-act-2010-guidance">https://www.gov.uk/government/publications/bribery-act-2010-guidance</a></p>	

		Please answer <i>yes</i> or <i>no</i> .	
119	Are you aware of any circumstances which are likely to give rise to an investigation, proceeding, dispute or conviction of the type mentioned in questions 113 - 118?	<p>Guidance can be found here:  <a href="https://www.gov.uk/government/publications/bribery-act-2010-guidance">https://www.gov.uk/government/publications/bribery-act-2010-guidance</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p> <p>If <i>yes</i>, please provide further details.</p>	
120	Do you have an Anti-Bribery and Corruption policy?	<p>If <i>yes</i>, please provide a copy of your anti-bribery and corruption policy approved by the appropriate company director that is regularly reviewed (within the last 36 months).</p> <p>If you are a micro-business, you may provide a statement rather than a policy.</p>	<p><b>Advisory</b></p> <p><b>Document:</b> Anti-bribery and corruption policy</p>
121	Do you communicate your Anti-Bribery and Corruption policy to staff?	<p>If <i>yes</i>, please provide evidence, such as staff inductions, staff documentation or training, of how you communicate your policy/statement.</p>	<p><b>Advisory</b></p>
122	Does your organisation have adequate 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>Guidance can be found here:  <a href="https://www.gov.uk/government/publications/corporate-offences-for-failing-to-prevent-criminal-facilitation-of-tax-evasion">https://www.gov.uk/government/publications/corporate-offences-for-failing-to-prevent-criminal-facilitation-of-tax-evasion</a></p> <p>Please provide details.</p>	
123	How do you check that your workforce, including any supplied by external employment agencies or your supply chain, is legally entitled to work in the UK?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li>• <a href="https://builduk.wpengine.com/wp-content/uploads/2017/02/Build-UK-Illegal-Workers-Guidance-Note-February-2017.pdf">https://builduk.wpengine.com/wp-content/uploads/2017/02/Build-UK-Illegal-Workers-Guidance-Note-February-2017.pdf</a></li> <li>• <a href="https://www.gov.uk/government/publications/right-to-work-checklist">https://www.gov.uk/government/publications/right-to-work-checklist</a></li> </ul> <p>Please provide information on how you check that your workforce, and any supplied, is legally entitled to work in the UK. The two guidance documents above provide information on what your legal duties are as a company. 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.</p>	

124	Have any bodies made any allegations or complaints about the company infringing competition law which has led to an internal investigation within the last five years?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide details of any written allegations or complaints.	
125	Do you have a whistleblowing policy?	Guidance can be found here: <a href="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://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</a>  If <i>yes</i> , please provide a copy of your whistleblowing policy.	<b>Advisory</b>  <b>Document:</b> Whistleblowing policy
126	If you are in-scope to CITB, please provide your CITB Registration Number.	If <i>yes</i> , please provide your CITB registration number.  If you are not in-scope to CITB, please respond with <i>N/A</i> .	<b>Advisory</b>
127	Do you hold any Trade Association or professional body memberships?	If <i>yes</i> , please provide evidence of membership(s) such as membership number, certificate or link to Member Directory.	<b>Advisory</b>
128	Have you been suspended or expelled from any Trade Association, Professional Body or Trustmark in the last three years?	Please answer <i>yes</i> or <i>no</i> .  If <i>yes</i> , please provide statement of reason why and remediation plan.	
129	Are you legally required to publish a statement on your organisation's governance arrangements?	Guidance can be found here: <a href="https://www.gov.uk/government/publications/corporate-governance-new-reporting-regulations">https://www.gov.uk/government/publications/corporate-governance-new-reporting-regulations</a>  If you employ more than 250 employees, you are 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 corporate governance statement.  If you employ fewer than 250 employees, please answer <i>N/A</i> .	<b>Advisory</b>  <b>Document:</b> Corporate Governance Statement



## Section 4: Health and Safety

Question Number	Question	Guidance	Information
130	<p>Do you hold a valid Safety Schemes in Procurement (SSIP) scheme certificate or ISO 45001 by a UKAS or equivalent accredited certification body?</p> <p>If <i>yes</i>, you do <b>not</b> need to complete questions 131 - 169.</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li>• <a href="https://SSIP.org.uk/">https://SSIP.org.uk/</a></li> <li>• <a href="https://www.bsigroup.com/en-GB/Occupational-Health-and-Safety-ISO-45001/">https://www.bsigroup.com/en-GB/Occupational-Health-and-Safety-ISO-45001/</a></li> </ul> <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&amp;S) or specific to one of the CDM Dutyholder roles to reflect your organisation's activity:</p> <ul style="list-style-type: none"> <li>• <a href="#">Principal Contractor</a></li> <li>• <a href="#">Contractor</a></li> <li>• <a href="#">Principal Designer</a></li> <li>• <a href="#">Designer</a>.</li> </ul>	<p><b>Document:</b> ISO 45001/ SSIP scheme certificate</p>
131	<p>Are you able to show that you have a general policy and an organisation which is responsible for ensuring effective H&amp;S management?</p>	<p>Guidance can be found here: <a href="http://www.hse.gov.uk/simple-health-safety/policy/index.htm">http://www.hse.gov.uk/simple-health-safety/policy/index.htm</a></p> <p>Please provide a copy of your health and safety policy approved by the appropriate company director that is regularly reviewed (within the last 12 months).</p> <p>The policy should set out the responsibilities for H&amp;S management throughout the organisation.</p> <p>If you have fewer than 5 employees, you may provide a written statement rather than a policy.</p>	<p><b>Exemption if</b> ISO 45001 / SSIP scheme certificate</p> <p><b>Document:</b> Health and safety policy</p>
132	<p>Are you able to show your arrangements for ensuring that your H&amp;S measures are effective in reducing/preventing work-related incidents, occupational ill-health and accidents?</p>	<p>Please provide a clear explanation of the arrangements which the company has made for putting its policy into effect and for discharging its duties under current relevant H&amp;S legislation.</p>	<p><b>Exemption if</b> ISO 45001/ SSIP scheme certificate</p>
133	<p>Do you have ready access to competent H&amp;S advice/assistance?</p>	<p>Guidance can be found here: <a href="http://www.hse.gov.uk/simple-healthsafety/gettinghelp/index.htm">http://www.hse.gov.uk/simple-healthsafety/gettinghelp/index.htm</a></p>	<p><b>Exemption if</b> ISO 45001/ SSIP scheme certificate</p>



		<p>Please provide the name and competency details of the source of advice along with two examples from the last 24 months of advice given and action taken. The source of advice could include:</p> <ul style="list-style-type: none"> <li>• Competent employee</li> <li>• Safety group</li> <li>• Trade association</li> </ul> <p>Consultant who provides H&amp;S information and advice.</p>	
134	Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organisation is likely to undertake?	<p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> <li>• Headline training records</li> <li>• Evidence of a H&amp;S training culture including records, certificates of attendance and adequate H&amp;S induction training</li> <li>• Evidence of an active CPD programme</li> <li>• Example of 'toolbox talk' type training</li> </ul> <p>Evidence of relevant training as required by H&amp;S legislation or approved code of practice e.g. asbestos awareness training.</p>	Exemption if ISO 45001/SSIP scheme certificate
135	Do your employees/other workforce have H&S and other relevant knowledge, experience and skills to carry out activities that your organisation is likely to undertake?	<p>Please provide details of qualifications and/or experience of specific corporate post holders, for example board members, health and safety 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 <b>Principal Contractor or Contractor</b>, please provide supporting evidence of the skills, knowledge and experience of H&amp;S in construction in the organisation. For individual roles within the organisation:</p> <ul style="list-style-type: none"> <li>• <b>Site managers:</b> Details of any specific training such as the CITB 'Site Management Safety Training Scheme' certificate or equivalent.</li> <li>• <b>Professionals:</b> Details of qualifications and/or professional institution membership.</li> <li>• <b>Site workers:</b> Details of any relevant qualifications or training such as S/NVQ certificate and evidence of a company-based training programme suitable for the work to be carried out.</li> </ul> <p>If you are a <b>Principal Contractor</b>, please also provide details of number/percentage of people engaged in the organisation who have passed a construction health and safety assessment, for example the CITB touch screen test or similar schemes, such as the CCNSG equivalent.</p>	Exemption if ISO 45001/SSIP scheme certificate

		<p>If you are a <b>Principal Designer</b>, please provide supporting evidence of the skills, knowledge and experience of H&amp;S in construction in the organisation:</p> <ul style="list-style-type: none"> <li>• Details of qualifications to confirm the organisation’s operational capability to manage construction H&amp;S which may include NEBOSH Construction, NVQ in Occupational Health &amp; Safety, or NCRQ in applied health &amp; safety etc.</li> <li>• Details of qualifications relevant to specific area of expertise, which may include Higher National Diploma or certificate, Bachelor degree or Masters etc.</li> <li>• Details of relevant professional institution membership such as member of the registers administered by the APS or ICS (formerly known as the CDM co-ordinators’ registers), or the ICE construction health &amp; safety register etc.</li> <li>• Evidence of a clear commitment to continued improvement, training and the Continued Professional Development of staff in relevant areas of expertise and health &amp; safety.</li> </ul> <p>If you are a <b>Designer</b>, please provide supporting evidence of the skills, knowledge and experience of H&amp;S in construction in the organisation:</p> <ul style="list-style-type: none"> <li>• Details of qualifications relevant to specific area of expertise, which may include Higher National Diploma or certificate, Bachelor degree or Masters etc.</li> <li>• Details of professional institution membership such as RiBA, ICE, APS, RiAS, CIAT, ARB, IstructE etc.</li> </ul> <p>Evidence of a clear commitment to the continued improvement, training and Continued Professional Development of staff in relevant areas of expertise and H&amp;S.</p>	
136	Do you check, review and, where necessary, improve your H&S performance?	<ul style="list-style-type: none"> <li>• Please provide evidence of recent monitoring and management response. This could be through formal audit or discussions/reports to senior managers or from copies of workplace/site inspection reports.</li> </ul>	Exemption if ISO 45001/SSIP scheme certificate
137	Do you have procedures for involving your employees/ other workforce in the planning and implementation of H&S measures?	<p>Please provide evidence of how consultation is carried out which could include:</p> <ul style="list-style-type: none"> <li>• Records of health and safety committees</li> <li>• Names of appointed safety representatives (trade union or other).</li> </ul>	Exemption if ISO 45001/SSIP scheme certificate

		<ul style="list-style-type: none"> <li>If you <b>employ fewer than five persons</b>, please describe how you consult with your employees to achieve the consultation required.</li> </ul>	
138	Do you routinely record and review accidents/incidents/near misses and undertake follow-up action?	<p>Please provide evidence of how you record and investigate accidents and incidents. This could include:</p> <ul style="list-style-type: none"> <li>Records of the last two accidents/incidents and action taken to prevent recurrence</li> <li>Records of any enforcement action taken over the last five years</li> <li>What action was taken to put matters right (information on enforcement taken by HSE over the last five years is available on the <a href="#">HSE website</a>).</li> </ul> <p>For <b>large companies</b>, please also provide simple statistics showing incidence rates of 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 including if the company traded under a different name.</p>	
139	Do you have arrangements for ensuring that your suppliers also apply H&S measures that are appropriate to the activities that your organisation is likely to undertake?	<p>Guidance can be found here: <a href="http://www.hse.gov.uk/pubns/indg368.pdf">http://www.hse.gov.uk/pubns/indg368.pdf</a></p> <p>Please provide evidence of how you ensure sub-contractors/consultants are competent. This could include:</p> <ul style="list-style-type: none"> <li>Written procedures or arrangements</li> <li>Documented examples of sub-contractor/consultant assessments you have carried out</li> <li>How you require similar standards of competence assessment from sub-contractors/consultants</li> </ul> <p>How you monitor sub-contractor/consultant performance.</p>	Exemption if ISO 45001 / SSIP scheme certificate
140	Do you operate a process of risk assessment capable of supporting safe systems of work?	<p>Please provide evidence of how the company identifies significant H&amp;S hazards and how the assessed risks will be controlled. This could include:</p> <ul style="list-style-type: none"> <li>Sample risk assessments</li> <li>Safe systems of work</li> <li>Method statements.</li> </ul> <p>If you <b>employ fewer than five persons</b> and do not have written arrangements, you should be able to describe how you achieve the above.</p>	Exemption if ISO 45001 / SSIP scheme certificate

		<p>If you are a <b>Principal Contractor, or, where relevant, a Contractor</b>, please also provide a sample construction phase plan which should be:</p> <ul style="list-style-type: none"> <li>• Proportionate to the size and nature of the work, and the risks involved</li> <li>• Workable and realistic</li> <li>• Sufficiently developed to allow work to start on site</li> </ul> <p>Regularly reviewed and added to as new trades start.</p>	
141	<p>Does your organisation fulfil the CDM Dutyholder role of Principal Contractor?</p> <p>If <i>no</i>, you do <b>not</b> need to complete questions 145 - 154.</p>	<p>Further information on the role and responsibilities of a Principal Contractor can be found here:  <a href="http://www.hse.gov.uk/construction/cdm/2015/principal-contractors.htm">http://www.hse.gov.uk/construction/cdm/2015/principal-contractors.htm</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if relevant ISO 45001 / SSIP scheme certificate
142	<p>Does your organisation fulfil the CDM Dutyholder role of Contractor?</p> <p>If <i>no</i>, you do <b>not</b> need to complete questions 145 - 148.</p>	<p>Further information on the role and responsibilities of a Contractor can be found here:  <a href="http://www.hse.gov.uk/construction/cdm/2015/contractors.htm">http://www.hse.gov.uk/construction/cdm/2015/contractors.htm</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if relevant ISO 45001 / SSIP scheme certificate
143	<p>Does your organisation fulfil the CDM Dutyholder role of Principal Designer?</p> <p>If <i>no</i>, you do <b>not</b> need to complete questions 155 - 169.</p>	<p>Further information on the role and responsibilities of a Principal Designer can be found here:  <a href="http://www.hse.gov.uk/construction/cdm/2015/principal-designers.htm">http://www.hse.gov.uk/construction/cdm/2015/principal-designers.htm</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if relevant ISO 45001 / SSIP scheme certificate
144	<p>Does your organisation fulfil the CDM Dutyholder role Designer?</p> <p>If <i>no</i>, you do <b>not</b> need to complete questions 155 - 160.</p>	<p>Further information on the role and responsibilities of a Designer can be found here:  <a href="http://www.hse.gov.uk/construction/cdm/2015/designers.htm">http://www.hse.gov.uk/construction/cdm/2015/designers.htm</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	Exemption if relevant ISO 45001 / SSIP scheme certificate
145	<p>Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?</p>	<p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> <li>• Sample risk assessments</li> <li>• Procedural arrangements</li> <li>• How the organisation co-ordinates its work with other interested parties</li> </ul> <p>Project team meeting notes.</p>	Exemption if relevant ISO 45001 / SSIP scheme certificate

			Exemption if answered <i>no</i> to both questions <i>141</i> and <i>142</i> and are not a Principal Contractor or Contractor
146	Do you have arrangements for ensuring on-site welfare for your employees/other workforce?	<p>Please provide supporting evidence which could include:</p> <ul style="list-style-type: none"> <li>• H&amp;S policy commitment</li> <li>• Contracts with welfare facility providers including cleaning arrangements.</li> </ul> <p>If you are a <b>Principal Contractor</b>, 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.</p>	<p>Exemption if relevant ISO 45001 / SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to both questions <i>141</i> and <i>142</i> and are not a Principal Contractor or Contractor</p>
147	Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organisation?	<p>Please provide supporting evidence of the skills, knowledge and experience of H&amp;S in construction in the organisation.</p> <p>For individual roles within the organisation:</p> <ul style="list-style-type: none"> <li>• <b>Site managers:</b> Details of any specific training such as the CITB ‘Site Management Safety Training Scheme’ certificate or equivalent.</li> <li>• <b>Professionals:</b> Details of qualifications and/or professional institution membership.</li> <li>• <b>Site workers:</b> Details of any relevant qualifications or training such as S/NVQ certificate and evidence of a company-based training programme suitable for the work to be carried out.</li> </ul> <p>If you are a <b>Principal Contractor</b>, please also provide details of number/percentage of people engaged in the organisation who have passed a construction H&amp;S assessment, for example the CITB</p>	<p>Exemption if relevant ISO 45001 / SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to both questions <i>141</i> and <i>142</i> and are not a Principal Contractor or Contractor</p>

		touch screen test or similar schemes, such as the CCNSG equivalent.	
148	Do you review and develop your effectiveness in the Contractor/Principal Contractor role?	<p>Please provide supporting evidence which should confirm that there are arrangements in place for reviewing and developing your effectiveness in the Contractor/Principal Contractor role including:</p> <ul style="list-style-type: none"> <li>• Monitoring procedures</li> <li>• Periodic checking or auditing of procedures</li> <li>• Periodic reviewing of practices and management response</li> <li>• Post-project review.</li> </ul>	<p>Exemption if relevant ISO 45001/ SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to both questions 141 and 142 and are not a Principal Contractor or Contractor</p>
149	<p>Do you implement arrangements to meet the 'Principal Contractor' duties under the CDM Regulations?</p> <p><i>If no, you do <b>not</b> need to complete questions 150 - 154</i></p>	Please answer <i>yes</i> or <i>no</i> .	<p>Exemption if relevant ISO 45001/ SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to question 141 and are not a Principal Contractor</p>
150	Plan, manage, monitor and co-ordinate H&S in the construction phase, including communication with the Client, Principal Designer and Contractors.	<p>Please provide evidence of concise, practical examples, relevant and proportionate to the type of activity likely to be carried out. The supporting evidence should confirm that there are arrangements in place for planning, managing, monitoring and co-ordinating H&amp;S in the construction phase including communication with the Client, Principal Designer and Contractors.</p>	<p>Exemption if relevant ISO 45001/ SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to question 141 and are</p>

			<b>not a Principal Contractor</b>
<b>151</b>	Prepare, review and maintain construction phase plans (CPPs).	Please provide evidence of concise, practical examples, relevant and proportionate to the type of activity likely to be carried out. This could include examples of previous CPPs.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 141 and are not a Principal Contractor
<b>152</b>	Organise co-operation between contractors and others and co-ordinate the work.	Please provide evidence of 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"> <li>• Notes of meetings and other discussions</li> <li>• Examples of exchanges of safety information</li> </ul> Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, design interfaces and the like.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 141 and are not a Principal Contractor
<b>153</b>	Ensure relevant and suitable site inductions.	Please provide evidence of concise, practical examples, relevant and proportionate to the type of activity likely to be carried out. The supporting evidence, which could include examples of previous site inductions and attendance sheets, should confirm that there are arrangements in place for provision of site inductions.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 141 and are not a

			Principal Contractor
154	Provide information for the H&S file.	Please provide evidence of concise, practical examples, relevant and proportionate to the type of activity likely to be carried out. The supporting evidence, which could include examples of previously prepared information, should confirm that there are arrangements in place for the preparation and provision of relevant information for the H&S file.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 141 and are not a Principal Contractor
155	Do you implement arrangements to meet the 'Designer' duties under the CDM Regulations?  <i>If no, you do <b>not</b> need to complete questions 156 - 160.</i>	Please answer <i>yes</i> or <i>no</i> .	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to both questions 143 and 144 and are not a Principal Designer or Designer
156	Check that the Client is aware of their duties.	Please provide evidence of arrangements in place for helping the Client to meet its duties under the CDM Regulations.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to both questions



			<b>143 and 144 and are not a Principal Designer or Designer</b>
<b>157</b>	Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under the CDM Regulations.	<p>Please provide details of qualifications relevant to specific area of expertise, which may include:</p> <ul style="list-style-type: none"> <li>• Higher National Diploma or certificate</li> <li>• Bachelor degree or Masters etc.</li> <li>• Details of professional institution membership such as RiBA, ICE, APS, RiAS, CIAT, ARB, IstructE etc.</li> </ul> <p>Please also provide evidence which shows a clear commitment to the continued improvement, training and Continued Professional Development of staff in relevant areas of expertise and H&amp;S.</p>	<p><b>Exemption if relevant ISO 45001/ SSIP scheme certificate</b></p> <p><b>Exemption if answered <i>no</i> to both questions 143 and 144 and are not a Principal Designer or Designer</b></p>
<b>158</b>	Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use).	<p>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"> <li>• Ensures co-operation and co-ordination of design work within the design team and with other Designers/Contractors</li> <li>• 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</li> <li>• 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</li> <li>• How design changes are managed during pre-construction and construction phases</li> <li>• Ensure that any structure which will be used as a workplace will meet the relevant requirements of the Workplace (Health, Safety and Welfare) Regulations.</li> </ul> <p>The level of detail required in passing on information about risks should be proportionate to the risks involved. Insignificant risks</p>	<p><b>Exemption if relevant ISO 45001/ SSIP scheme certificate</b></p> <p><b>Exemption if answered <i>no</i> to both questions 143 and 144 and are not a Principal Designer or Designer</b></p>

		can usually be ignored as can risks arising from routine construction activities, unless the design compounds or significantly alters these risks.	
159	Effectively manage design changes, with regard to ensuring H&S during and post-completion.	Please provide evidence which shows that there are arrangements in place for managing design changes.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to both questions 143 and 144 and are not a Principal Designer or Designer
160	Do you review and monitor your design performance, notably in relation to H&S?	Please provide supporting evidence which shows that there are arrangements in place for reviewing, developing and monitoring design performance including: <ul style="list-style-type: none"> <li>• Monitoring procedures</li> <li>• Periodic checking or auditing of procedures</li> <li>• Periodic reviewing of practices and management response</li> </ul> Post-project review.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to both questions 143 and 144 and are not a Principal Designer or Designer
161	Do you implement arrangements to meet the 'Principal Designer' duties under the CDM Regulations?  <i>If no, you do <b>not</b> need to complete questions 165 - 169.</i>	Please answer <i>yes</i> or <i>no</i> .	Exemption if relevant ISO 45001/ SSIP scheme certificate

			Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
162	Help the Client to meet its duties under the CDM Regulations.	Please provide evidence of arrangements in place for communication with Clients and helping the Client to meet its 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.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
163	Gather, prepare, communicate and co-ordinate information, including design information, with other duty holders during the pre-construction phase.	Please provide evidence which shows that there are arrangements in place for the gathering, preparation, communication and co-ordinating of information, including design information, with other duty holders during the pre-construction phase.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
164	Plan, manage and monitor H&S related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling foreseeable risks.	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 foreseeable risks.	Exemption if relevant ISO 45001/ SSIP scheme certificate

			Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
165	Ensure Designers carry out their duties, including oversight and co-ordination within the design team and with other Designers/Contractors.	Please provide supporting evidence which shows that there are arrangements in place for ensuring ensure Designers carry out their duties, including oversight and co-ordination within the design team and with other Designers/ Contractors.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
166	Liaise with the Principal Contractor.	Please provide supporting evidence which shows that there are arrangements in place for ensuring successful liaison with the Principal Designer on a project. Evidence could include: <ul style="list-style-type: none"> <li>• Notes of meetings and other discussions</li> <li>• Examples of exchanges of safety information</li> </ul> Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, design interfaces and the like.	Exemption if relevant ISO 45001/ SSIP scheme certificate  Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
167	Prepare and provide relevant information to other duty holders, including the H&S file.	Please provide supporting evidence, such as examples of previously prepared information, which shows that there are arrangements in place for the preparation and provision of relevant information to other duty holders, including the H&S file.	Exemption if relevant ISO 45001/ SSIP scheme certificate

			Exemption if answered <i>no</i> to question 143 and are not a Principal Designer
168	Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organisation?	<p>Please provide supporting evidence which shows that the company's employees/other workforce have H&amp;S and other relevant knowledge, experience and skills to carry out activities that they are likely to undertake. Evidence could include:</p> <ul style="list-style-type: none"> <li>• Details of qualifications to confirm the organisation's operational capability to manage construction H&amp;S which may include NEBOSH Construction, NVQ in Occupational Health &amp; Safety or NCRQ in applied health &amp; safety etc.</li> <li>• Details of qualifications relevant to specific areas of expertise, which may include Higher National Diploma or certificate, Bachelor degree or Masters etc.</li> </ul> <p>Details of relevant professional institution membership such as member of the registers administered by the APS or ICS (formerly known as the CDM co-ordinators' registers) or the ICE construction health &amp; safety register etc.</p>	<p>Exemption if relevant ISO 45001/ SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to question 143 and are not a Principal Designer</p>
169	Do you review and develop your effectiveness in the Principal Designer role?	<p>Please provide supporting evidence which should confirm that there are arrangements in place for reviewing and developing your effectiveness in the Principal Designer role including:</p> <ul style="list-style-type: none"> <li>• Monitoring procedures</li> <li>• Periodic checking or auditing of procedures</li> <li>• Periodic reviewing of practices and management response</li> <li>• Post-project review.</li> </ul>	<p>Exemption if relevant ISO 45001/ SSIP scheme certificate</p> <p>Exemption if answered <i>no</i> to question 143 and are not a Principal Designer</p>
170	Who is ultimately responsible for H&S within your company?	Please provide details of the H&S contact, who should be a Director of the company or equivalent.	
171	Does all your workforce (including those who are self-employed), who are working on construction sites	<p>Guidance can be found here:</p> <p><a href="https://www.cscs.uk.com/about/">https://www.cscs.uk.com/about/</a></p>	Advisory

	undertaking a recognised construction occupation, hold CSCS or CSCS partner scheme cards?	If <i>yes</i> , please answer <i>yes</i> . If <i>no</i> , you may wish to explain why.	
172	Is your company part of any fleet operations/management scheme?	If <i>yes</i> , please provide a copy of your certificate which may include: <ul style="list-style-type: none"> <li>• Fleet Operator Recognition Scheme (FORS) for each depot that has been assessed</li> <li>• Van Excellence</li> <li>• Truck Excellence</li> <li>• Van Compliance Scheme</li> <li>• Construction Logistics and Community Safety (CLOCS)</li> <li>• Other (please specify).</li> </ul> If the company does not operate a fleet or commercial vehicles, or is not required to be part of a scheme, you may wish to answer <i>N/A</i> .	<b>Advisory</b> <b>Document:</b> Fleet operations/management scheme certificate
173	Do you have a drug and alcohol policy?	If <i>yes</i> , please upload copy of drug and alcohol policy. This information may also be provided as part of your H&S policy or through another document. The drug and alcohol policy must include as a minimum: <ul style="list-style-type: none"> <li>• What preventative measures your company takes to ensure employees do not attend site under the influence of alcohol and/or drugs</li> <li>• Addresses items such as testing requirement, frequency, substances tested for and management of test results</li> <li>• Whether the policy addresses post-incident and/or reasonable cause drug and alcohol testing</li> <li>• Whether the policy addresses a return-to-duty testing process and unannounced testing programmes for employees following a policy violation and/or substance abuse treatment.</li> </ul> If you are a micro-business, you may provide a statement rather than a policy.	<b>Advisory</b> <b>Document:</b> Drug and alcohol policy
174	What arrangements are in place within your organisation for the management of occupational health issues, including mental health and fatigue?	Guidance can be found here: <ul style="list-style-type: none"> <li>• <a href="https://ccsbestpractice.org.uk/entries/building-mental-health-in-construction/">https://ccsbestpractice.org.uk/entries/building-mental-health-in-construction/</a></li> <li>• <a href="https://www.hse.gov.uk/humanfactors/topics/fatigue.htm">https://www.hse.gov.uk/humanfactors/topics/fatigue.htm</a></li> </ul> Please upload a copy of your policy or arrangements which cover the management of occupational health issues which may be within your	<b>Advisory</b> <b>Document:</b> Occupational Health Policy

		<p>Health and Safety Policy or other document and include the following:</p> <ul style="list-style-type: none"> <li>• Employee assistance programme</li> <li>• Participation in a mental health at work initiative</li> <li>• Implementation of mental health core standards in <a href="#">Thriving at Work</a></li> </ul> <p>If you are a micro-business, you may provide a written statement rather than a policy.</p>	
175	Do you have a behavioural management or behavioural safety programme?	<p>Guidance can be found here: <a href="https://www.hse.gov.uk/humanfactors/topics/behaviouralintor.htm">https://www.hse.gov.uk/humanfactors/topics/behaviouralintor.htm</a></p> <p>If yes, please provide details or a copy of your behavioural management or behavioural safety programme.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<p><b>Advisory</b></p> <p><b>Document:</b> Behavioural Management Programme</p>

## Section 5: Environmental

Question Number	Question	Guidance	Information
176	Do you hold a valid BS EN ISO 14001 (or equivalent) issued by a UKAS or equivalent accredited certification body or a valid EMAS certificate?  <i>If yes, you do <b>not</b> need to complete questions 177 - 181.</i>	If yes, please provide a copy of your BS EN ISO 14001 certificate (or equivalent) or EMAS certificate.	<b>Document:</b> BS EN ISO 14001 (or equivalent) or EMAS certificate
177	Do you have a documented policy and organisation for the management of construction-related environmental issues?	Guidance can be found here: <a href="https://advisera.com/14001academy/knowledgebase/how-to-write-an-iso-14001-environmental-policy/">https://advisera.com/14001academy/knowledgebase/how-to-write-an-iso-14001-environmental-policy/</a>  Please provide a copy of your environmental management policy approved by the appropriate company director that is regularly reviewed (within the last 12 months).  The policy should be relevant to the nature and scale of the activity and set out the responsibilities for environmental management throughout the organisation.  If you are a micro-business, you may provide a statement rather than a policy.	<b>Exemption if ISO 14001/ EMAS</b>  <b>Document:</b> Environmental management policy
178	Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment?	Please provide evidence that your organisation's environmental policy implementation plan provides information as to how the company aims to discharge relevant legal responsibilities and provides clear indication of how these arrangements are communicated to employees/other workforce, in relation to environmental matters including: <ul style="list-style-type: none"> <li>• sustainable materials procurement e.g. BES6001, FSC / PEFC</li> <li>• waste management</li> <li>• energy management</li> <li>• Carbon reduction.</li> </ul> This should also include the arrangements for responding to, monitoring and recording environmental incidents, emergencies and complaints.	<b>Exemption if ISO 14001/ EMAS</b>



		If you are a micro-business, you may answer <i>N/A</i> .	
179	Do you have arrangements for providing employees who will engage in construction, with training and information on construction-related environmental issues?	<p>Please provide evidence, such as such as training manuals or training records, which shows that your organisation has in place, and implements, training arrangements to ensure that its 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 employees/other workforce updated on relevant legal requirements and good environmental management practice.</p>	<b>Exemption if ISO 14001/ EMAS</b>
180	Do you check, review and where necessary improve your environmental management performance?	<p>If you are a micro-business, you may answer <i>N/A</i>.</p> <p>Please provide evidence that your organisation has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic intervals.</p> <p>Performance refers to checking your business's actual operating methods against what is laid out in your procedures.</p>	<b>Exemption if ISO 14001/ EMAS</b>
181	Do you have arrangements for ensuring that any suppliers you engage apply environmental protection measures that are appropriate to the activity for which they are being engaged?	<p>If you are a micro-business, you may answer <i>N/A</i>.</p> <p>Please provide evidence, such as criteria to be on an approved supply chain register, that your organisation has procedures for monitoring supplier's environmental management arrangements and ensuring that environmental performance appropriate for the activity to be undertaken is delivered throughout the whole of your organisations supply chain.</p>	<b>Exemption if ISO 14001/ EMAS</b>
182	Do you have access to competent environmental advice on environmental issues?	<p>If you are a micro-business, you may answer <i>N/A</i>.</p> <p>If yes, please provide details of source of advice (e.g. contact details, company name if applicable). The advice could be from an internal source, a trade association or external company.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<b>Advisory</b>

183	Do you have a waste carrier, broker or dealers (England) licence or are a registered professional carrier and transporter of waste (Scotland)?	<p>If you are not required to have a waste carrier, broker or dealers (England) licence or registered as a professional carrier and transporter of waste (Scotland), please answer <i>N/A</i>.</p> <p>If you are required to hold a waste carrier, broker or dealers (England) licence or registered as a professional carrier and transporter of waste (Scotland) but do not, please answer <i>no</i>.</p> <p>If <i>yes</i>, please upload a copy of your waste carrier license.</p>	<b>Document:</b> Waste carrier license
184	Are you legally required to report your carbon emissions under the Streamlined Energy and Carbon Reporting (SECR) Regulations?	<p>Guidance can be found here: <a href="https://www.gov.uk/guidance/measuring-and-reporting-environmental-impacts-guidance-for-businesses">https://www.gov.uk/guidance/measuring-and-reporting-environmental-impacts-guidance-for-businesses</a></p> <p>If you are a large company, you are legally required to report your carbon emissions.</p> <p>Please provide a copy of your Carbon Emissions Report which contains the following information about your company:</p> <ul style="list-style-type: none"> <li>• Energy use</li> <li>• Carbon emissions</li> <li>• Energy efficiency actions</li> </ul> <p>If you are not a large company, please answer <i>N/A</i>.</p>	<b>Advisory if not a large company</b>
185	Do you have a carbon emissions reduction plan?	<p>Guidance, including a carbon emissions reduction plan template, can be found here: <a href="https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/991622/PPN_0621_Taking_account_of_Carbon_Reduction_Plans_2_.pdf">https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/991622/PPN_0621_Taking_account_of_Carbon_Reduction_Plans_2_.pdf</a></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 be provided as part of your Environmental Management Policy or other document.</p>	<b>Advisory</b> <b>Document:</b> Carbon Reduction Plan

		<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"> <li>• Your selected baseline carbon/GHG emissions footprint</li> <li>• Your current carbon/GHG emissions footprint (if available)</li> <li>• Your carbon/GHG emissions reduction targets</li> <li>• The standard you use to measure your carbon/GHG emissions footprint</li> <li>• Whether your plan is third-party verified</li> <li>• Any carbon/GHG reduction initiatives you have completed or are part of.</li> </ul> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	
186	Does your company operate in accordance with any nationally or industry-recognised sustainability Standards, pledges, charters or good/best practice guidance?	<p>If <i>yes</i>, please provide evidence which could be a certificate from a UKAS accredited certifying body or through an industry-recognised institution, formal evidence of sign-up to an industry-recognised pledge, charter or commitment to operate in line with good/best practice sustainability requirements.</p>	<b>Advisory</b>

## Section 6: Quality

Question Number	Question	Guidance	Information
187	Do you hold a valid BS EN ISO 9001 (or equivalent) issued by a UKAS or equivalent accredited certification body?  <i>If yes, you do <b>not</b> need to complete questions 188 - 192 and 194 - 197.</i>	If yes, please provide a copy of your BS EN ISO 9001 certificate (or equivalent).	<b>Document:</b> BS EN ISO 9001 (or equivalent)
188	Do you have a policy and organisation for quality management?	Please provide a copy of your quality management policy approved by the appropriate company director that is regularly reviewed (within the last 12 months).  The policy should set out the responsibilities for quality management throughout the organisation.  If you are a micro-business, you may provide a statement rather than a policy.	<b>Exemption if ISO 9001</b>  <b>Document:</b> Quality management policy
189	Do you have arrangements for ensuring that your quality management, including the quality of construction output and general performance, is effective in reducing/preventing incidents of sub-standard delivery?	Please provide evidence that your organisation keeps copies of documentation setting out quality management organisation and procedures that meet currently agreed good practice.  These should include the arrangements for quality management throughout the organisation including a complaints procedure and a procedure for managing non-conformance in products and services. They should set out how the company will carry out its policy, with a clear indication of how the arrangements are communicated to employees/other workforce.  If you are a micro-business, you may answer N/A.	<b>Exemption if ISO 9001</b>
190	Do you have arrangements for providing your workforce with quality-related training and information appropriate to the type of work for which your organisation is likely to bid?	Please provide evidence, such as training manuals or training records, which shows your organisation has in place and implements training arrangements to ensure that its employees/other workforce has sufficient skills and understanding to discharge their various responsibilities.  These arrangements should include a programme of training that will keep employees/other workforce up to	<b>Exemption if ISO 9001</b>

		<p>date with required knowledge about quality related issues, including copies of job profiles; training manuals; and training records.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	
191	Do you have procedures for periodically reviewing, correcting and improving quality performance?	<p>Please provide evidence that your organisation has a system for monitoring quality management procedures on an ongoing basis.</p> <p>Your organisation should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<b>Exemption if ISO 9001</b>
192	Do you have arrangements for ensuring that your own suppliers apply quality management measures that are appropriate to the work for which they are being engaged?	<p>Please provide evidence, such as such as criteria to be on an approved supply chain register, which shows that your organisation has arrangements for monitoring supplier's quality management arrangements and ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your organisations supply chain.</p> <p>Please note this question refers just to suppliers, not sub-contractors, which are covered in question 197.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<b>Exemption if ISO 9001</b>
193	Who is ultimately responsible for quality within your company?	Please provide details of the quality contact, who should be a director of the company or equivalent.	<b>Advisory</b>
194	Can you demonstrate organisational compliance with the Construction Products Regulations (UK Conformity Assessed (UKCA) or UK(NI) Marking)?	<p>Please provide further information on how you comply with the Construction Products Regulations (UK Conformity Assessed (UKCA) or UK(NI) Marking). You should explain how the company checks the presence of UK Conformity Assessed (UKCA) or UK(NI) Marking and other necessary documents for suppliers and that only products with appropriate UK Conformity Assessed (UKCA) or UK(NI) Marking are used. If you have a written policy or procedure, please upload a copy of this.</p> <p>If you UK Conformity Assessed (UKCA) or UK(NI) Mark your</p>	<b>Exemption if ISO 9001</b>  <b>Document:</b> FPC Certificate (if applicable)

		own products, then please upload a copy of your Factory Production Control (FPC) Certificate.	
195	Do you have processes in place for the selection and control of sub-contractors?	<p>Please provide further information on your processes for the selection and control of sub-contractors. If you have a written policy or procedure(s), please upload a copy of this.</p> <p>Please note this question refers just to sub-contractors, not suppliers, which are covered in question 194.</p>	<p><b>Exemption if ISO 9001</b></p> <p><b>Exemption if answered <i>no</i> to question 34 and do not employ sub-contractors</b></p> <p><b>Document:</b> Sub-contractor selection policy</p>
196	Do you have a selection standard/criteria that your sub-contractors must meet?	<p>If yes, please upload copy of relevant document. This information may be provided as part of a sub-contractor selection policy or through another document.</p> <p>Please note this question refers just to sub-contractors, not suppliers, which are covered in question 194.</p>	<p><b>Advisory</b></p> <p><b>Exemption if ISO 9001</b></p> <p><b>Exemption if answered <i>no</i> to question 34 and do not employ sub-contractors</b></p>
197	Do you have risk management policies, procedures and systems?	<p>Please provide a copy of your risk management policy which details how you manage risks.</p> <p>The policy should confirm:</p> <ul style="list-style-type: none"> <li>• How the company identifies risks</li> <li>• How they manage and review risk processes</li> <li>• The responsibility for compiling and authorising risk/impact assessments</li> <li>• how the company ensures site issues and incorporated into relevant risk/impact assessments</li> <li>• how risk/impact assessments are communicated to staff</li> <li>• clients and sub-contractors, that records of risk/impact assessment briefings are retained</li> <li>• Method statements refer to risk/impact assessments and that periodic reviews are undertaken.</li> </ul>	<p><b>Exemption if ISO 9001</b></p> <p><b>Document:</b> Risk management policy</p>

		If you are a micro-business, you may answer <i>N/A</i> .	
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## Section 7: Equality

Question Number	Question	Guidance	Information
198	As an employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li><a href="https://www.gov.uk/guidance/equality-act-2010-guidance">https://www.gov.uk/guidance/equality-act-2010-guidance</a></li> <li><a href="https://www.equalityhumanrights.com/en/advice-and-guidance/guidance-employers">https://www.equalityhumanrights.com/en/advice-and-guidance/guidance-employers</a></li> <li><a href="https://www.equalityhumanrights.com/en/advice-and-guidance/equality-act-guidance">https://www.equalityhumanrights.com/en/advice-and-guidance/equality-act-guidance</a></li> </ul> <p>Please upload a copy of your equality, diversity and inclusion (EDI) policy, which is applicable to the equality legislation for your country, which should be approved by the appropriate company director and regularly reviewed (within the last 12 months) or you can provide copies of relevant instructions, guidance, policies, literature or written statement/evidence of relevant actions which demonstrate that you meet the requirements and where you believe they have made a difference.</p>	<b>Document:</b> Equality, Diversity and Inclusion (EDI) Policy
199	Is it your policy as an employer to comply with anti-discrimination legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others?	<p>Guidance can be found: <a href="https://www.gov.uk/guidance/equality-act-2010-guidance">https://www.gov.uk/guidance/equality-act-2010-guidance</a> and here: <a href="https://www.gov.uk/discrimination-your-rights">https://www.gov.uk/discrimination-your-rights</a></p> <p>Please answer <i>yes</i> or <i>no</i>.</p>	
200	In the last three years has any finding of unlawful discrimination been made against your organisation by any court or industrial or employment tribunal or equivalent body?	<p>If <i>no</i>, please answer <i>no</i>.</p> <p>If <i>yes</i>, please provide details of the nature of the breach and details of any findings.</p>	
201	In the last three years has your organisation been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination?	<p>If <i>no</i>, please answer <i>no</i>.</p> <p>If <i>yes</i>, please provide details of the nature of the breach and details of any findings.</p>	
202	In the last three years has your organisation been found in breach of section 15 of the Immigration, Asylum and Nationality Act 2006?	<p>If <i>no</i>, please answer <i>no</i>.</p> <p>If <i>yes</i>, please provide details of the nature of the breach and details of any findings.</p>	



203	In the last three years has your organisation been found in breach of section 21 of the Immigration, Asylum and Nationality Act 2006?	If <i>no</i> , please answer <i>no</i> . If <i>yes</i> , please provide details of the nature of the breach and details of any findings.	
204	In the last three years has your organisation been found to be in breach of the National Minimum Wage Act 1998?	If <i>no</i> , please answer <i>no</i> . If <i>yes</i> , please provide details of the nature of the breach and details of any findings.	
205	If the answer to any of questions 200 - 204 is <i>yes</i> , what steps did your organisation take as a result of that finding or investigation?	If <i>yes</i> , please provide details/evidence of remedial action.	<b>Advisory</b> <b>Exemption if answered <i>no</i> to questions 200 - 204</b>
206	Does your organisation operate appropriate arrangements to ensure that equality, diversity and inclusion (EDI) is embedded within your organisation?	If <i>yes</i> , please provide copies of relevant policies or written statement/evidence of relevant actions. The information should confirm that arrangements are in place to ensure that equality, diversity and inclusion (EDI) are embedded within the company.  This information may be provided as part of an equality, diversity and inclusion (EDI) policy or through other documentation such as a statement.	<b>Advisory</b>
207	Do you actively promote good practice in terms of eliminating discrimination in all forms through guidance to your employees/suppliers concerned with recruitment, training and promotion?	If <i>yes</i> , please provide copies of relevant guidance or written statement/evidence of relevant actions. The information should confirm that the company actively promotes good practice in terms of eliminating discrimination in all forms through guidance to employees/suppliers concerned with recruitment, training and promotion.  This information may be provided as part of an equality, diversity and inclusion (EDI) policy or through other documentation such as a statement, training records, training manuals or staff inductions.	<b>Advisory</b>
208	Do you actively promote good practice in terms of eliminating discrimination in all forms through making guidance or policy documents concerning how the organisation embeds equality, diversity and inclusion (EDI) available to employees/sub-contractors, recognised trade unions or other representative groups of employees?	If <i>yes</i> , please provide copies of relevant guidance, policies or written statement/evidence of relevant actions. The information should confirm that the company actively embeds equality, diversity and inclusion (EDI) available to employees/sub-contractors, recognised trade unions or other representative groups of employees.	<b>Advisory</b>

		This information may be provided as part of an equality, diversity and inclusion (EDI) policy or through other documentation such as criteria to be on an approved supply chain register.	
209	Do you actively promote good practice in terms of eliminating discrimination in all forms through appropriate recruitment advertisements or other literature?	If <i>yes</i> , please provide copies of any relevant advertisement or written statement/evidence of relevant actions. The information should confirm that the company actively promotes good practice in terms of eliminating discrimination in all forms through appropriate recruitment advertisements or other literature.	<b>Advisory</b>
210	Do you ensure that your supply chain is aware of and meets their positive equality duties in relation to the Equality Act 2010?	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li>• <a href="https://www.gov.uk/guidance/equality-act-2010-guidance">https://www.gov.uk/guidance/equality-act-2010-guidance</a></li> <li>• <a href="https://www.equalityhumanrights.com/en/advice-and-guidance/guidance-employers">https://www.equalityhumanrights.com/en/advice-and-guidance/guidance-employers</a></li> <li>• <a href="https://www.equalityhumanrights.com/en/advice-and-guidance/equality-act-guidance">https://www.equalityhumanrights.com/en/advice-and-guidance/equality-act-guidance</a></li> </ul> <p>If <i>yes</i>, please upload copies of relevant documents. The 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 the Equality Act 2010.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<b>Advisory</b>  <b>Exemption if answered <i>no</i> to question 34 and do not employ sub-contractors</b>

## Section 8: Corporate Social Responsibility

Question Number	Question	Guidance	Information
211	Do you have a corporate social responsibility policy?	<p>If yes, please upload copies of relevant documents - this could be either a single corporate social responsibility policy or multiple codes of practice. The documents could include examples of your company's approach to: compliance; protecting people and the environment; volunteering; learning; supporting the community; business ethics; treatment of workers etc.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<p><b>Advisory</b></p> <p><b>Document:</b> Corporate social responsibility policy</p>
212	Do you have an anti-slavery and human trafficking statement?	<p>Guidance can be found here: <a href="https://www.gov.uk/government/publications/transparency-in-supply-chains-a-practical-guide">https://www.gov.uk/government/publications/transparency-in-supply-chains-a-practical-guide</a></p> <p>If your 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 statement which must define the steps the organisation has taken during the financial year to ensure that slavery and human trafficking is not taking place in any of its supply chains and in any part of its own business.</p>	<p><b>Advisory if annual turnover is less than £36m</b></p> <p><b>Document:</b> Anti-slavery and human trafficking statement</p>
213	Do you ensure that your supply chain is aware of, and abides by, Modern Slavery legislation?	<p>If yes, please upload copies of relevant documents. The 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 Modern Slavery legislation.</p>	<p><b>Advisory</b></p>
214	Please can you confirm that your staff, including labour agency staff, are paid at least the National Minimum Wage or National Living Wage (as applicable)?	<p>Guidance can be found here: <a href="https://www.gov.uk/national-minimum-wage-rates">https://www.gov.uk/national-minimum-wage-rates</a></p> <p>Individuals must be:</p> <ul style="list-style-type: none"> <li>• <a href="#">School leaving age</a> to be entitled to be paid the National Minimum Wage</li> <li>• Aged 23 and over to be entitled to be paid the National Living Wage.</li> </ul>	

		Please answer <i>yes</i> or <i>no</i> .	
215	Do you manage the prevention of workplace bullying?	<p>Guidance can be found here:  <a href="https://www.gov.uk/workplace-bullying-and-harassment">https://www.gov.uk/workplace-bullying-and-harassment</a></p> <p>If <i>yes</i>, please provide details or a copy of your anti-bullying policy.</p> <p>If you are a micro-business, you may provide a statement rather than a policy.</p>	<p><b>Advisory</b></p> <p><b>Document:</b> Anti-bullying policy</p>
216	Are you legally required to publish a gender pay gap report?	<p>Guidance can be found here:  <a href="https://www.acas.org.uk/gender-pay-gap-reporting">https://www.acas.org.uk/gender-pay-gap-reporting</a></p> <p>If you employ 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 your gender pay gap report can be found on the Government website.</p> <p>If you employ fewer than 250 employees, please answer <i>N/A</i>.</p>	<p><b>Advisory for companies employing fewer than 250 employees</b></p> <p><b>Document:</b> Gender Pay Gap Report</p>

## Section 9: Information Security and GDPR

Question Number	Question	Guidance	Information
217	<p>Do you hold a cyber security certification?</p> <p><i>If yes, you do <b>not</b> need to complete questions 218 – 220</i></p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li><a href="https://www.ncsc.gov.uk/cyberessentials/overview">https://www.ncsc.gov.uk/cyberessentials/overview</a></li> <li><a href="https://www.iso.org/isoiec-27001-information-security.html">https://www.iso.org/isoiec-27001-information-security.html</a></li> </ul> <p>If yes, please provide a copy of your certification(s) from the following list:</p> <ul style="list-style-type: none"> <li>ISO 27001 from a UKAS or equivalent accredited certification body</li> <li>Cyber Essentials Plus</li> <li>Cyber Essentials</li> </ul>	<p><b>Advisory</b></p> <p><b>Document:</b> Cyber security certification</p>
218	<p>Do you have a cyber security policy?</p>	<p>Guidance can be found here:</p> <ul style="list-style-type: none"> <li><a href="https://www.ncsc.gov.uk/collection/incident-management/cyber-incident-response-processes">https://www.ncsc.gov.uk/collection/incident-management/cyber-incident-response-processes</a></li> <li><a href="https://www.ncsc.gov.uk/collection/small-business-guidance--response-and-recovery">https://www.ncsc.gov.uk/collection/small-business-guidance--response-and-recovery</a></li> </ul> <p>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 organisation including:</p> <ul style="list-style-type: none"> <li>Incident response processes including backups of critical systems</li> <li>How the organisation identifies what data and systems they manage as well as ensuring they engage proportionate security controls</li> <li>Whether the organisation has logging capabilities</li> <li>Guidance and threat assessments for home working.</li> </ul> <p>If you are a micro-business, you may provide a statement rather than a policy.</p>	<p><b>Exemption if cyber security certification</b></p> <p><b>Advisory</b></p>
219	<p>Do you ensure that any suppliers you engage have their own cyber security arrangements?</p>	<p>Guidance can be found here:</p> <p><a href="https://www.ncsc.gov.uk/blog-post/supplier-assurance-having-confidence-in-your-suppliers">https://www.ncsc.gov.uk/blog-post/supplier-assurance-having-confidence-in-your-suppliers</a></p>	<p><b>Exemption if cyber security certification</b></p>

		<p>If <i>yes</i>, please upload copies of relevant documents. The 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 your supply chain on cyber security.</p> <p>If you are a micro-business, you may answer <i>N/A</i>.</p>	<p><b>Exemption if answered <i>no</i> to question 34 and do not employ sub-contractors</b></p> <p><b>Advisory</b></p>
220	Do you have a Data Protection Policy and Privacy Notice in place?	<p>Guidance can be found here: <a href="https://ico.org.uk/for-organisations/guide-to-data-protection/">https://ico.org.uk/for-organisations/guide-to-data-protection/</a></p> <p>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. The policy should cover the company's programme to comply with GDPR; set out the responsibilities for handling sensitive material and data throughout the organisation; and the arrangements in place regarding IT data security.</p> <p>If you are a micro-business, you may provide a statement rather than a policy along with your privacy notice.</p>	<p><b>Exemption if cyber security certification</b></p> <p><b>Document:</b> Data protection policy</p>
221	Have you had any data protection law breaches in the last 5 years?	<p>Guidance can be found here: <a href="https://ico.org.uk/for-organisations/report-a-breach/">https://ico.org.uk/for-organisations/report-a-breach/</a></p> <p>If <i>no</i>, please answer <i>no</i>.</p> <p>If <i>yes</i>, please supply the following information: 1) Details of the incident 2) What remedial action was taken 3) What steps have been taken to prevent another data protection law breach in the future.</p>	
222	Have you documented the personal data you hold, where it came from and who you share it with, and do you maintain appropriate records and registers of your data processing activities?	Please answer <i>yes</i> or <i>no</i> .	

223	Have you carried out a Data Protection Impact Assessment to establish what measures you need to take to comply with the General Data Protection Regulations and the Data Protection Act 2018, 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> .	
224	Do you 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> .	
225	Do you have a Data Protection Officer or someone responsible for data protection?	Please answer <i>yes</i> or <i>no</i> .	
226	Do you ensure that sub-contractors and suppliers implement similar data protection procedures?	If <i>yes</i> , please answer <i>yes</i> .	<b>Advisory</b>  <b>Exemption if answered <i>no</i> to question 34 and do not employ sub-contractors</b>

## Section 10: Information Management (IM)

Question Number	Question	Guidance	Information
227	<p>Do you hold valid BS EN ISO 19650 2 certificate issued by a UKAS or equivalent accredited certification body?</p> <p><i>If yes, you do <b>not</b> need to complete questions 228 - 233</i></p>	<p>If yes, please provide a copy of your BS EN ISO 19650 2 certificate, from a UKAS or equivalent accredited certification body.</p>	<p><b>Exemption if answered <i>no</i> to question 35 and do not undertake IM work</b></p> <p><b>Document:</b> BS EN ISO 19650 2</p>
228	<p>Do you have the resources (people, processes and technologies) to undertake the information management function as defined in BS EN ISO 19650 2?</p>	<p>Guidance can be found here: <a href="https://www.ukbimframework.org/wp-content/uploads/2021/02/Guidance-Part-A_The-information-management-function-and-resources_Edition-2.pdf">https://www.ukbimframework.org/wp-content/uploads/2021/02/Guidance-Part-A_The-information-management-function-and-resources_Edition-2.pdf</a></p> <p>If yes, please provide copies of relevant guidance, policies or written statement/evidence of relevant actions.</p>	<p><b>Exemption if BS EN ISO 19650 2</b></p> <p><b>Exemption if answered <i>no</i> to question 35 and do not undertake IM work</b></p> <p><b>Document:</b> Information Management policy</p>
229	<p>Do you have policies and processes in place to control, authorise, approve and exchange information compliant with BS EN ISO 19650 2?</p>	<p>If yes, please provide copies of policies or processes. The documents should confirm:</p> <ul style="list-style-type: none"> <li>Your documented processes for management, authorisation, approval and exchange of information</li> <li>Your information management policy</li> <li>Any relevant process maps</li> <li>Your delivery team, the project team and any other organisations</li> <li>Up to examples of how this is utilised across your organisation</li> </ul>	<p><b>Exemption if BS EN ISO 19650 2</b></p> <p><b>Exemption if answered <i>no</i> to question 35 and do not undertake IM work</b></p> <p><b>Document:</b></p>



			Information Management policy
230	Do you have a team and structure in place to generate, authorise, approve and exchange information compliant with BS EN ISO 19650 2?	<p>If yes, please provide details of your overall organisational structure and number of employees identifying those carrying out Information Management delivery including:</p> <ul style="list-style-type: none"> <li>• Who is carrying out the different aspects of Information Management;</li> <li>• Who will be generating or co-ordinating information</li> <li>• How these activities are integrated in the delivery team</li> </ul> <p>Any accredited Information Management qualifications held by team members.</p>	<p><b>Exemption if BS EN ISO 19650 2</b></p> <p><b>Exemption if answered <i>no</i> to question 35 and do not undertake IM work</b></p>
231	Do you have arrangements for providing employees with training and information on information management?	<p>Please provide evidence, such as such as training manuals or training records, which shows that your organisation has in place, and implements, training arrangements to ensure that its workforce has sufficient skills and understanding to carry out their various duties in line with BS EN ISO 19650-2.</p> <p>This should include a programme of refresher training that will keep employees/other workforce updated on relevant legal requirements and good information management practice.</p>	<p><b>Exemption if BS EN ISO 19650 2</b></p> <p><b>Exemption if answered <i>no</i> to question 35 and do not undertake IM work</b></p>
232	Do you commit to implementing the principles and procedures set out in the UK IM Framework within your policies and processes?	<p>Guidance can be found here: <a href="https://www.ukbimframework.org/standards/">https://www.ukbimframework.org/standards/</a></p> <p>If yes, please provide copies of your policies and processes which demonstrate your understanding of the UK IM Framework and how this interacts with and complements your Information Management standards, processes and procedures.</p>	<p><b>Exemption if BS EN ISO 19650 2</b></p> <p><b>Exemption if answered <i>no</i> to question 35 and do not undertake IM work</b></p>
233	How have you used the information management processes 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>If yes, please provide a summary of up to two examples which should include an explanation of how people, processes and technologies were used to deliver these benefits.</p>	<p><b>Exemption if BS EN ISO 19650 2</b></p> <p><b>Exemption if answered <i>no</i> to question 35 and do not</b></p>

			<b>undertake IM work</b>
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