Common Assessment Standard – Question Set

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Introduction

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

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

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

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

Completing the Question Set

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

Advisory Questions

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

There a number of questions which have been designated as 'advisory' questions and these are identified within the final column of the question set.

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

Exemptions

A company may be exempt from answering certain questions if:

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

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

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

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

Documents

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

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

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

Micro-Businesses

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

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

Audit

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

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

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

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

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

Exemptions List

Exemptions
Where company holds the following certifications: • ISO 9001 • ISO 14001 / EMAS • ISO 27001 • ISO 45001 / SSIP • BS 99001 • ISO 19650-2
Where company does not employ sub-contractors
Where company does not work on or intend to work on: • any building or design work which is regulated under the Building Regulations 2010 and in-scope of the Building Safety Act • any Higher-Risk Buildings as defined under the Building Safety Act
Where company does not undertake the following dutyholder roles under the CDM Regulations: • Principal Designer • Designer • Principal Contractor • Contractor
Where company does not undertake the following dutyholder roles under the Building Safety Act: • Principal Designer • Designer • Principal Contractor • Contractor
Where company does not undertake the following dutyholder roles on higher-risk buildings under the Building Safety Act: • Principal Designer • Designer • Principal Contractor • Contractor
Where company does not work on, or intend to work on, any projects involving Information Management (IM) work
Where company is not a sheltered workshop or a social enterprise, or does not provide sheltered employment programmes
Where company is UK-based

Documents List

Document	Question(s)	Time Critical
Accounts for last two years	27	
Anti-Bribery and Corruption Policy	50	
Anti-Bullying and Harassment Policy	68	
Anti-Slavery and Human Trafficking Statement	63	
Behavioural Safety Programme	75	
Carbon Emissions Report	118	
Carbon Emissions Reduction Plan	119	
Corporate Governance Statement	46	
Environmental, Social and Governance (ESG) Policy	62	
Cyber Essentials Certificate	173	Yes
Cyber Essentials Plus Certificate	174	Yes
Cyber Security Policy	163	
Data Protection Policy and Privacy Notice	170	
Drugs and Alcohol Policy	74	
EMAS Certificate	110	
Environmental Management Policy	111, 115	
Fairness, Inclusion and Respect (FIR) Policy	159	
Factory Production Control (FPC) Certificate	129	Yes
Fleet Management Scheme Certificate	77	
Gender Pay Gap Report	70	
Health and Safety Policy	73, 93	
Information Management Policy	176, 177, 180	
Insurance Certificate – Contractors All Risk	32	Yes
Insurance Certificate – Employers' Liability	28	Yes
Insurance Certificate – Fleet	33	Yes
Insurance Certificate – Product Liability	31	Yes
Insurance Certificate – Professional Indemnity	30	Yes
Insurance Certificate – Public Liability	29	Yes
ISO 9001 Certificate	122	Yes
ISO 14001 Certificate	110	Yes
ISO 19650-2 Certificate	175	Yes
ISO 27001 Certificate	165	Yes
ISO 45001 Certificate	71	Yes
BS 99001 Certificate	121	Yes
Occupational Health Policy	76	
Quality Management Policy	124, 136	
Risk Management Policy	125	
SSIP Certificate	71	Yes
Sub-Contractor Selection Policy	38, 115, 135	
Trade-specific licences/certifications (e.g. Asbestos Licence)	20	
Waste Carrier, Broker or Dealer Licence and/or Professional Carrier and Transporter of Waste Registration	117	
Whistleblowing Policy	57	

Section 1: Identity

Question Number	Question	Guidance	Information
1	What is your company's legal name?	Please provide your company's legal name.	
2	What is your company's trading name?	Please provide your company's trading name.	
3	What is your company's registered office address?	Please provide the following: • Address line 1 (including property name/number) • Address line 2 • Address line 3 • Town • County • Postcode • Website (if applicable).	
4	What is your company's trading address?	Please provide your company trading address, if different from your company's registered office address, and the addresses of any branch offices (if applicable). If your company's trading address is the same as your registered office address, please answer *N/A*.	
5	Is your company registered, based and active in the UK, Channel Islands and/or Republic of Ireland? *If yes, you do **not** need to complete questions 25 and 26.*	Please answer *yes* or *no*.	
6	What is your company's geographical area of operation?	Please provide the geographic areas where your company operates.	
7	What are your company's contact details for enquiries about pre-qualification?	Please provide the following: • Title (Mr, Mrs, Ms, etc.) • Forename • Surname • Job title • E-mail • Company e-mail • Telephone number • Address line 1 (including property name/number) • Address line 2 • Address line 3 • Town	

		• County • Postcode.	
8	What is your company type?	Please select the applicable option from the list below: • Public Limited Company • Private Limited Company • Limited Liability Partnership • Other partnership • Sole trader • Third Sector • Other (please specify your organisation). https://www.legislation.gov.uk/ukpga/2006/46	
9	What is your Companies House registration number or equivalent?	Please provide your company's Companies House registration number or equivalent. If you are a company based outside the UK and registered with Companies House, please ensure that your registration number includes the prefix FC. If you are a sole trader or not registered on Companies House, please answer *N/A*. If your company is a charity, please provide your charity registration number.	
10	What is your company's VAT registration number?	Please provide your company's VAT registration number. If your company is not VAT registered, please answer *N/A*.	
11	What is your company's unique tax reference (UTR)?	Please provide your company's unique tax reference (UTR). If your company does not have a UTR, please answer *N/A*.	
12	When was your company incorporated?	Please provide the date your company was incorporated. If your company is not incorporated, please provide the date the business was started.	
13	Is your company part of a group?	If *no*, please answer *no*. If *yes*, please provide details of the group structure and legal ownership, including the following as applicable: • Name of ultimate parent company	

		• Name of immediate parent company • Names of associated or group companies.	
14	Can you provide details of People with Significant Control of your company??	Guidance can be found here: https://www.gov.uk/guidance/people-with-significant-control-pscs Depending on company type, please provide full names for the following roles if the individuals have Significant Control of the company. Public Limited Company or Private Limited Company: • Directors • Company Secretary Limited Liability Partnership: • Designated Members Other partnership: • Designated Members Sole Trader: • Director Third Sector: • Directors	
15	Is your company a micro, small, or a medium-sized enterprise?	Guidance can be found here: https://www.gov.uk/government/publications/life-of-a-company-annual-requirements/life-of-a-company-part-1-accounts Please select the applicable option from the list below: • Micro • Small • Medium. If your company is a large company, please answer *no.* Where an enterprise is not autonomous (e.g. it is a partner enterprise or a linked enterprise) it may be necessary to take account of the headcount, turnover and balance sheet totals of other enterprises to which it has connection.	
16	How many personnel does your company have in its workforce?	Please provide two figures for the last 12 months: 1) Total number of *direct employees* (PAYE)	

		2) Total number of *indirect personnel* (non-PAYE) Direct employment is an employment status for tax and employment law purposes which generally involves the following: • A contract of employment • Full statutory rights as an 'employee' • Payment to HMRC of PAYE income tax and employer and employee Class 1 NICs. Indirect personnel includes individuals working as or via labour-only sub-contractors, or engaged via other intermediaries, including employment businesses, umbrella companies, personal service companies etc. It does **not** include individuals who work as or for a bona-fide trade contractor (i.e. a company that contracts to perform a defined sub-contract work package for which it carries commercial risk).	
17	What percentage of your company's directly employed workforce are in 'earn and learn' positions?	Please provide the percentage of your directly employed workforce who are in 'earn and learn' positions including: • Apprenticeships at all levels • Formalised graduate training programmes • Sponsored students This does **not** include those workers that are on: • Single instance/short-term training • Internships • Work experience (freestanding or related to qualifications).	**Advisory**
18	Is your company a sheltered workshop or a social enterprise, or will it provide for the performance of the contract in the context of sheltered employment programmes? *If no, you do **not** need to complete question 19.*	Guidance can be found here: • https://www.gov.uk/set-up-a-social-enterprise • https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/31677/11-1400-guide-legal-forms-for-social-enterprise.pdf • https://www.socialenterprise.org.uk/get-involved/start-a-social-enterprise/ Please answer *yes* or *no*.	

		If *yes,* please select the applicable option from the list below: • Sheltered workshop • Social enterprise. **Sheltered workshop:** An organisation or environment that employs people with disabilities separately from others. **Social enterprise:** An organisation with primarily social objectives whose surpluses are principally reinvested for that purpose in the business or in the community, rather than being driven by the need to maximise profit for shareholders and owners. This may include: • They have a social mission written into their company governing documents • They make more than 50% of their money from trading • They reinvest or give away more than 50% of their profits to further their social mission • They are independent: owned and controlled in the interests of the social mission • They are transparent in how they report their social impact and how they operate.	
19	What is the corresponding percentage of disabled or disadvantaged workers?	Please provide percentage of disabled or disadvantaged workers and specify which of the following categories they belong to. **Disabled worker:** • Is recognised as worker with disabilities under national law; or • Has long-term physical, mental, intellectual or sensory impairment(s) which, in interaction with various barriers, may hinder their full and effective participation in a work environment on an equal basis with other workers. **Disadvantaged worker:**	**Exemption if answered *no* to question *18* and is not a sheltered workshop or a social enterprise, or provides sheltered employment programmes**

		• Has not been in regular paid employment for the previous 6 months • Is between 15 and 24 years of age • Has not attained an upper secondary educational or vocational qualification (International Standard Classification of Education 3) or is within two years of completing full-time education and who has not previously obtained their first regular paid employment • Is over 50 years of age • Lives as a single adult with one or more dependants • Works in a sector or profession in a Member State where the gender imbalance is at least 25% higher than the average gender imbalance across all economic sectors in that Member State, and belongs to that under-represented gender group • Is a member of an ethnic minority within a Member State including those who require development of their linguistic, vocational training or work experience profile to enhance prospects of gaining access to stable employment • Is a care-leaver • Is an ex-offender • Is a recovering addict • Has experience of homelessness • Is a single parent • Is a veteran • Other (please specify).	
20	What types of construction trades/work does your company undertake?	Please provide a list of the construction trades/work that your company carries out. For each trade/work your company undertakes, please provide copies of any mandatory licences/certificates (e.g. Asbestos Licence).	**Document:** Mandatory licences/ accreditations
21	Does your company employ sub-contractors? *If no, you do **not** need to complete questions 38, 115, 135 - 138, 140, 163, 168* and *169.*	Please answer *yes* or *no*.	
22	Does your company carry out, or intend to carry out, any of the following building or design work which is regulated under the Building Regulations 2010 and in-scope of the Building Safety Act:	Guidance can be found here: https://builduk.org/wp-content/uploads/2023/01/Building-Safety-Regime.pdf#page=3	

	• Erection or extension of buildings • Renovation, refurbishment or structural alteration of buildings • Maintenance of buildings • Installation of Safety Critical features on buildings • Provision or extension of controlled services or fittings in, or in connection with, buildings? *If no, you do **not** need to complete Question 23 or any of the questions in Section 7: Building Safety (139 – 157).*	Please answer *yes* or *no*. If *no*, please provide a statement explaining why your company does not carry out, or intend to carry out, any building or design work which is regulated under the Building Regulations 2010 and in-scope of the Building Safety Act. https://www.legislation.gov.uk/uksi/2010/2214/part/2	
23	Does your company work on, or intend to work on, any projects involving a Higher-Risk Building? *If no, you do **not** need to complete questions 153 – 157.*	Guidance can be found here: https://builduk.org/wp-content/uploads/2023/01/Building-Safety-Regime.pdf#page=3 Please answer *yes* or *no*. https://www.legislation.gov.uk/uksi/2023/275	
24	Does your company work on, or intend to work on, any projects with a defined requirement for organised and digitised structured Information Management (IM)? *If no, you do **not** need to complete any of the questions in Section 10: Information Management (IM) (175 - 181).*	Please answer *yes* or *no*. IM is defined as the process by which an organisation, with appropriate security controls, specifies (including provisions for data quality and provenance), procures, assures, stores, presents, and exploits its data to perform its core business.	
25	Is your company registered on an official list of approved economic operators or does it have an equivalent certificate (e.g. under a national (pre)qualification system) that covers all of the required criteria in Tables 2, 3, 4, 5, 6, 8 and 10?	If your company is UK-based, please respond with *N/A*. If your company is not UK-based, please answer *yes* or *no*. If *yes*, please provide further details of the list or certificate: • Name of list or certificate • Registration or certification number If the registration or certification is available electronically, please also state: • The web address • Issuing authority or body • Precise reference of the documentation	**Exemption if UK-based company**

		• The references on which the registration or certification is based • The classification obtained in the official list (if applicable).	
26	Is your company able to provide a certificate with regard to the payment of social security contributions and taxes or provide information enabling the contracting authority or contracting entity to obtain it directly by accessing a national database in any EU Member State that is available free of charge?	Please answer *yes* or *no*. If *yes*, please provide the following: • The web address • Issuing authority or body • Precise reference of the documentation.	**Exemption if UK-based company**

Section 2: Financial

Question Number	Question	Guidance	Information
27	Can you provide a copy of your company's accounts for the last two years?	Guidance can be found here: https://www.gov.uk/government/publications/life-of-a-company-annual-requirements/life-of-a-company-part-1-accounts If your company is a **small company or limited liability partnership** with a turnover below the audit threshold at which the preparation of audited accounts is not required, please provide a copy of the most recent accounts as submitted to HMRC covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available. Abbreviated accounts are **not** acceptable. If your company is a **medium or large incorporated entity** or other company that is required to prepare audited accounts, please provide a copy of the most recent audited accounts covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available. If your company is an **unincorporated business (sole traders and partnerships)**, please provide a copy of the most recent accounts that contain turnover, profit before tax, and balance sheet (if prepared) covering either the most recent two-year period of trading or, if trading for less than two years, the period that is available. If accounts are not prepared, provide the relevant pages from the latest tax returns (self-employment pages for sole traders/partnership pages for partnerships), together with the tax assessment. If your company is a **start-up business** that has not reported accounts to HMRC or Companies House, please provide a forecast of turnover for the current year and a	**Document:** Accounts for last two years

		statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status. If your company is **another company type**, please provide a copy of your company's audited accounts. If your company does not have any audited accounts, an unaudited copy of the most recent accounts should be provided.	
28	Does your company hold Employers' Liability Insurance?	Please provide a copy of your company's Employers' Liability Insurance details, such as a certificate, broker letter, or schedule, which must include the following: • Policy number • Limit • Excess • Expiry date. Please note that the company name on your insurance policies must match the name of the company provided in question *1*. If your company does not have any employees, please answer *N/A.* https://www.legislation.gov.uk/ukpga/1969/57	**Document:** Employers' Liability Insurance Certificate
29	Does your company hold Public Liability Insurance?	Please provide a copy of your company's Public Liability Insurance details, such as a certificate, broker letter, or schedule, which must include the following: • Policy number • Limit • Excess • Expiry date. Please note that the company name on your insurance policies must match the name of the company provided in question *1*.	**Document:** Public Liability Insurance Certificate
30	Does your company hold Professional Indemnity Insurance?	Please provide a copy of your company's Professional Indemnity Insurance details, such as a certificate, broker letter, or schedule, which must include the following: • Policy number	**Exemption if did not indicate in question *89* that are a Principal**

		• Limit • Excess • Expiry date. Please note that the company name on your insurance policies must match the name of the company provided in question *1*.	**Designer or Designer** **Exemption if did not indicate in question *142* that you are a Principal Designer or Designer** **Document:** Professional Indemnity Insurance Certificate
31	Does your company hold Product Liability Insurance?	Please provide a copy of your company's Product Liability Insurance details, such as a certificate, broker letter, or schedule, which must include the following: • Policy number • Limit • Excess • Expiry date. Please note that the company name on your insurance policies must match the name of the company provided in question *1*. If your company does not supply products or materials, please answer *N/A*.	**Document:** Product Liability Insurance Certificate
32	Does your company hold Contractors All Risk Insurance?	Please provide a copy of your company's Contractors All Risk Insurance details, such as a certificate, broker letter, or schedule, which must include the following: • Policy number • Limit • Excess • Expiry date.	**Document:** Contractors All Risk Insurance Certificate

		Please note that the company name on your insurance policies must match the name of the company provided in question *1*. If your company does not have Contractors All Risk Insurance, please answer *N/A.*	
33	Does your company hold Fleet Insurance?	Please provide a copy of your company's Fleet Insurance details, such as a certificate, broker letter, or schedule, which must include the following: • Policy number • Limit • Excess • Expiry date. Please note that the company name on your insurance policies must match the name of the company provided in question *1*. If your company does not operate a fleet, please answer *N/A.* https://www.legislation.gov.uk/ukpga/1988/52/part/VI	**Document:** Fleet Insurance Certificate
34	Can you provide details of your company's insurance broker(s)?	Please provide the name(s) of your company's insurance broker(s) and contact details.	
35	Can you provide the address of your company's principal banker?	Please provide the following: • Address line 1 (including property name/number) • Address line 2 • Address line 3 • Town • County • Postcode • Website (if applicable).	
36	Has your company signed up to a code of conduct or standards on payment practices?	Please answer *yes* or *no*. If *yes*, please confirm which code/standards which may include: Fair Payment Code: https://www.smallbusinesscommissioner.gov.uk/fpc	**Advisory**

37	Is your company legally required to report under the Reporting on Payment Practices and Performance Regulations?	Guidance can be found here: https://www.gov.uk/government/publications/business-payment-practices-and-performance-reporting-requirements If your company does not meet the legal reporting requirement, please answer *N/A*. If *yes*, please provide a link to your company's latest report on the Government portal. https://www.legislation.gov.uk/uksi/2017/395/contents	
38	Does your company check whether your sub-contractors are financially stable and have met all their obligations to HMRC?	Please answer *yes* or *no*. If *yes*, please provide details of your company's arrangements. This information may be provided as part of a Sub-Contractor Selection Policy, which should be approved by the appropriate company Director or delegated individual and regularly reviewed (within the last 12 months), or through another document.	**Exemption if answered *no* to question *21* and do not employ sub-contractors** **Advisory** **Document:** Sub-Contractor Selection Policy

Section 3: Corporate and Professional Standing

Question Number	Question	Guidance	Information
39	Has your company or any of its Directors and/or Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgment against the company or the Directors and/or Executive Officers?	Please answer *yes* or *no*. If *yes*, please provide information about the conviction including: • Details of the circumstances • Whether the company has a remedial plan in place and what actions have been taken for remediation. Please note minor offences can be excluded (such as speeding tickets or parking offences). https://www.legislation.gov.uk/ukpga/2023/54/schedule/7	
40	Is your company or any of its Directors and/or Executive Officers the subject of ongoing or pending criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in?	Please answer *yes* or *no*. If *yes*, please provide information about the ongoing or pending criminal or civil court action including: • Details of the circumstances • Whether claims been properly notified in accordance with relevant insurance policy requirements and been accepted by the insurers • Whether the company has a remedial plan and what actions have been taken for remediation. Please note minor offences can be excluded (such as speeding tickets or parking offences).	
41	Has your company or any of its Directors and/or Executive Officers received enforcement/remedial orders that are still unresolved (such as those in relation to the Environment Agency or Office of Rail and Road) in the last three years?	Please answer *yes* or *no*. If *yes*, please provide information about the unresolved enforcement/remedial orders including: • Details of the circumstances • Whether the company has a remedial plan and what actions have been taken for remediation.	

42	Is your company or any connected person on the Government's debarment list?	Guidance can be found here: https://www.gov.uk/government/publications/procurement-act-2023-guidance-documents-procure-phase/guidance-debarment-html Please answer *yes* or *no*. Connected person includes, but is not limited to, the following: • A person with "significant control" over the supplier (within the meaning given by section 790C(2) of the Companies Act 2006 ("CA 2006")) • A director or shadow director of the supplier • A parent undertaking or a subsidiary undertaking of the supplier • A predecessor company • Any other person who it can reasonably be considered stands in an equivalent position in relation to the supplier as a person within paragraph (a) to (d) • Any person with the right to exercise, or who actually exercises, significant influence or control over the supplier • Any person over which the supplier has the right to exercise, or actually exercises, significant influence or control.	
43	Has your company or any connected person been subject to a conviction, or an event, in relation to Schedule 6 of the Procurement Act (Mandatory Exclusions)?	Guidance can be found here: https://www.gov.uk/government/publications/procurement-act-2023-guidance-documents-procure-phase/guidance-exclusions-html Please answer *yes* and indicate which offence or *no*. If the conviction or event is an excluded matter under Schedule 6, Part 3, Paragraph 44, it should **not** be included. If *yes*, please provide: • Date of conviction or event and the jurisdiction • Which of the grounds listed the conviction was for • A short description of the conviction or event	

		• The name of the person who is the subject of the conviction or event
		• In the case of a conviction or other event where there is a recorded decision of a public authority which is the authoritative basis for the conviction or other event:
		  ○ A link to the web page where the decision can be accessed, or
		  ○ A copy of the decision
		• Evidence that the person who is the subject of the conviction or event:
		  ○ Took the event seriously, for example by paying any fine or compensation
		  ○ Took steps to prevent the event occurring again, for example by changing staff or management, or putting procedures or training in place, and
		  ○ Committed to taking further preventative steps, where appropriate
		• If the circumstances which led to the conviction or event have ended, the date when they ended.
		
		https://www.legislation.gov.uk/ukpga/2023/54/schedule/6	

44	Has your company or any connected person been subject to a conviction, or an event, in relation to Schedule 7 of the Procurement Act (Discretionary Exclusions)?	Guidance can be found here: https://www.legislation.gov.uk/ukpga/2023/54/schedule/7 Please answer *yes* and indicate which offence or *no*. If the conviction or event is an excluded matter under Schedule 7, Paragraph 15, it should **not** be included. If *yes*, please provide: • Date of conviction or event and the jurisdiction • Which of the grounds listed the conviction was for • A short description of the conviction or event • The name of the person who is the subject of the conviction or event	

		• In the case of a conviction or other event where there is a recorded decision of a public authority which is the authoritative basis for the conviction or other event:
		  ○ A link to the web page where the decision can be accessed, or
		  ○ A copy of the decision
		• Evidence that the person who is the subject of the conviction or event:
		  ○ Took the event seriously, for example by paying any fine or compensation
		  ○ Took steps to prevent the event occurring again, for example by changing staff or management, or putting procedures or training in place, and
		  ○ Committed to taking further preventative steps, where appropriate
		• If the circumstances which led to the conviction event have ended, the date when they ended.
		
		https://www.legislation.gov.uk/ukpga/2023/54/schedule/7	

45	Does your company trade directly, or knowingly have direct association, with any regimes, entities or individuals subject to any sanctions detailed in the UK Sanctions List?	Guidance can be found here: • https://ofsistorage.blob.core.windows.net/publishlive/2022format/ConList.html • https://sanctionssearchapp.ofsi.hmtreasury.gov.uk/ Please answer *yes* or *no*.	
46	Is your company legally required to publish a Corporate Governance Statement?	Guidance can be found here: https://www.gov.uk/government/publications/corporate-governance-new-reporting-regulations Please answer *yes* or *N/A*. If your company does not exceed the reporting thresholds, please answer *N/A*. If your company is legally required to publish a statement, please state 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,	**Advisory** **Document:** Corporate Governance Statement

		and the reasons. If your company has not applied any corporate governance code, the statement must explain why that is the case and what arrangements for corporate governance were applied. Please provide a copy of your company's Corporate Governance Statement. https://www.legislation.gov.uk/uksi/2018/860/contents/made	
47	Has your company ever been found to be in breach of, or the subject of ongoing or pending court action in relation to, the Employment Relations Act 1999 (Blacklists) Regulations?	Guidance can be found here: https://www.gov.uk/government/publications/blacklisting-of-trade-unionists-guidance Please answer *yes* or *no*. https://www.legislation.gov.uk/uksi/2010/493/contents/made	
48	Is any Government entity, public official or relevant person a Director and/or Executive Officer of your company or do they exert any control over your company?	Guidance can be found here: https://www.gov.uk/government/publications/bribery-act-2010-guidance Please answer *yes* or *no*. https://www.legislation.gov.uk/ukpga/2010/23/contents	
49	Does any Public Official or Relevant Person stand to benefit in any way as a result of your company being awarded work?	Guidance can be found here: https://www.gov.uk/government/publications/bribery-act-2010-guidance Please answer *yes* or *no*.	
50	Does your company have an Anti-Bribery and Corruption Policy?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=423&modtype=url • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=883&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10393&modtype=resource Please answer *yes* or *no*.	**Document**: Anti-Bribery and Corruption Policy

		If *yes*, please upload a copy of your company's Anti-Bribery and Corruption Policy or equivalent document(s). The policy or equivalent document(s) should be approved by the appropriate company Director that is regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If your company is a micro-business, you may provide a written statement rather than a policy.	
51	Does your company communicate its Anti-Bribery and Corruption Policy to its workforce?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10366&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10415&modtype=url Please answer *yes* or *no*. If *yes*, please provide evidence, such as workforce inductions, workforce documentation or training, of how your company communicates your policy/ statement.	
52	Does your company have reasonable fraud prevention procedures in place?	Guidance can be found here: https://www.gov.uk/government/publications/offence-of-failure-to-prevent-fraud-introduced-by-eccta/economic-crime-and-corporate-transparency-act-2023-guidance-to-organisations-on-the-offence-of-failure-to-prevent-fraud-	**Document**: Anti-Fraud Policy

		accessible-version#chapter-3-reasonable-fraud-prevention-procedures Please answer *yes* or *no*. If *yes*, please provide supporting evidence of your reasonable fraud prevention procedures which could include: • An Anti-Fraud policy, which may also be known as an Anti-Bribery and Corruption and Fraud policy, approved by the appropriate individual that is regularly reviewed (within the last 12 months) • A top-level commitment on your company's stance on preventing fraud, including mission statements • A fraud prevention plan • Risk assessments relating to fraud and other economic crime • Risk-based prevention procedures • Examples of due diligence undertaken (e.g. reviewing contracts with those providing services) • Workforce documentation, inductions or training • How your company communicates your procedures • Monitoring and reviewing fraud detection and prevention procedures.	
53	Does your company have procedures in place in respect of the corporate criminal offences of failing to prevent those acting on its behalf from the criminal facilitation of tax evasion under the Criminal Finance Act?	Guidance can be found here: https://www.gov.uk/government/publications/corporate-offences-for-failing-to-prevent-criminal-facilitation-of-tax-evasion Please answer *yes* or *no*. If *yes,* please provide proportionate evidence which covers the following areas: • Risk assessment • Proportionality of risk-based prevention procedures • Top-level commitment • Due diligence • Communication to staff (including training	

		• Monitoring and reviewing arrangements.	
54	Does your company have any involvement with any tax avoidance schemes on the Government's list of named tax avoidance schemes, promoters, enablers and suppliers?	Guidance can be found here: https://www.gov.uk/government/publications/named-tax-avoidance-schemes-promoters-enablers-and-suppliers/current-list-of-named-tax-avoidance-schemes-promoters-enablers-and-suppliers#if-youre-involved-in-a-tax-avoidance-scheme Please answer *yes* or *no*.	
55	How does your company ensure that its workforce, including any sub-contractors and casual or temporary workers, is legally entitled to work in the UK?	Guidance can be found here: • https://www.gov.uk/government/publications/right-to-work-checklist • https://assets.publishing.service.gov.uk/media/6a59ff43908b618a53702fc2/16_07_26_DRAFT_Employer_s_guide_to_right_to_work_checks__002_.pdf • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=8359&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=10343&modtype=page • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7367&modtype=url Please provide information on how you ensure that your workforce, including any sub-contractors and casual or temporary workers, including those supplied from external employment agencies, is legally entitled to work in the UK. If you have a written policy or procedure, please provide a copy. If you are a micro-business, you may provide a written statement rather than a policy or procedure. https://www.legislation.gov.uk/ukpga/2006/13/crossheading/employment	
56	Have any allegations or complaints about the company infringing competition law been made which has led to an internal investigation within the last five years?	Please answer *yes* or *no*. If *yes*, please provide details of any written allegations or complaints as well as the outcome of the investigation and what actions have been taken for remediation.	

		https://www.legislation.gov.uk/ukpga/1998/41/contents	
57	Does your company have a Whistleblowing Policy?	Guidance can be found here: • https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/415175/bis-15-200-whistleblowing-guidance-for-employers-and-code-of-practice.pdf • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=3424&modtype=url • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=422&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=9599&modtype=url Please answer *yes* or *no*. If *yes*, please provide a copy of your company's Whistleblowing Policy or equivalent document(s), The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. https://www.legislation.gov.uk/ukpga/1996/18/part/IVA	**Document**: Whistleblowing Policy
58	Does your company communicate its Whistleblowing Policy to its workforce?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=3152	

		• https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=8164 Please answer *yes* or *no*. If *yes,* please provide evidence, such as workforce inductions, workforce documentation or training, of how your company communicates your policy/ statement.	
59	Is your company in-scope to CITB?	Please answer *yes* or *no*. If *yes*, please provide your company's CITB registration number.	**Advisory**
60	Does your company hold membership of any industry trade body, certification scheme or other organisation?	Please answer *yes* or *no*. If *yes*, please provide evidence of relevant membership(s)/certificate(s) which may include: • Trade Associations • Professional Bodies • Competent Person Schemes • TrustMark • Other relevant organisations such as the Considerate Constructors Scheme or Supply Chain Sustainability School.	**Advisory**
61	Has your company been suspended or expelled from membership of any industry trade body, certification scheme or other organisation in the last three years?	Please answer *yes* or *no*. If *yes*, please provide statement of reason why and a remediation plan.	
62	Does your company have an Environmental, Social and Governance (ESG) Policy?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1513&modtype=page If *yes*, please upload a copy your Environmental, Social and Governance (ESG) Policy or equivalent document(s). The policy or equivalent documents, which may also be known as Corporate Social Responsibility (CSR) Policy or Sustainability Policy, should include examples of your company's approach to environmental and social	**Advisory** **Document:** Corporate Social Responsibility Policy (CSR) or Environmental, Social and Governance (ESG) Policy

		sustainability, business ethics, stakeholder engagement and supporting the community etc. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may answer *N/A*.	
63	Does your company have an Anti-Slavery and Human Trafficking Statement or Policy?	Guidance can be found here: • https://www.gov.uk/government/publications/transparency-in-supply-chains-a-practical-guide • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1637&modtype=scorm Please provide a copy of your company's statement or policy which must define the steps the company has taken during the financial year to ensure that slavery and human trafficking is not taking place in any part of its own business or supply chain. The policy or statement should have the correct level of approval and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a	**Advisory if annual turnover is less than the threshold** **Document:** Anti-Slavery and Human Trafficking Statement or Policy

		Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If your company is not legally required to publish an Anti-Slavery and Human Trafficking Statement or Policy, please answer *N/A*. https://www.legislation.gov.uk/ukpga/2015/30/section/54	
64	Does your company communicate its Anti-Slavery and Human Trafficking Statement or Policy to its workforce?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=8491 • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=8843 Please answer *yes* or *no*. If *yes,* please provide evidence, such as workforce inductions, workforce documentation or training, of how your company communicates your policy/ statement. If your company is not legally required to publish an Anti-Slavery and Human Trafficking Statement or Policy, please answer *N/A*.	**Advisory if annual turnover is less than the threshold**
65	Does your company ensure that your supply chain is aware of, and abides by, the Modern Slavery Act?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=2235&modtype=scorm If *yes*, please upload copies of relevant documents which detail: 1) The parts of your business and supply chains where there is a risk of slavery and human trafficking taking place and the steps you have taken to assess and manage the	**Advisory**

		risk 2) The steps taken to ensure that slavery and human trafficking is not taking place in your business or supply chains, measured against appropriate performance indicators 3) Whether your supply chain has to demonstrate compliance.	
66	Does your company pay your workforce, including labour agency workers, at least the National Minimum Wage or National Living Wage (as applicable)?	Guidance can be found here: • https://www.gov.uk/national-minimum-wage-rates • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1716&modtype=url Please answer *yes* or *no*. Individuals must be: • School leaving age to be entitled to be paid the National Minimum Wage • Aged 21 and over to be entitled to be paid the National Living Wage. https://www.legislation.gov.uk/ukpga/1998/39/contents	
67	Does your company pay your workforce the real Living Wage?	Guidance can be found here: https://www.livingwage.org.uk/what-real-living-wage Please answer *yes* or *no*.	**Advisory**
68	Does your company have an Anti-Bullying and Harassment Policy?	Guidance can be found here: • https://www.gov.uk/workplace-bullying-and-harassment • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7425&modtype=page • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=10228 Please answer *yes* or *no*. If *yes*, please provide details or a copy of your Anti-Bullying and Harassment Policy or equivalent document(s).	**Advisory** **Document:** Anti-Bullying and Harassment Policy

		The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may provide a written statement rather than a policy.	
69	Does your company have arrangements in place in respect of the prevention of sexual harassment under the Worker Protection (Amendment of Equality Act 2010) Act?	Guidance can be found here: • https://www.equalityhumanrights.com/guidance/sexual-harassment-and-harassment-work-technical-guidance • https://www.equalityhumanrights.com/employer-8-step-guide-preventing-sexual-harassment-work • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=10228 • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=9379 • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=7840 Please answer *yes* or *no.* If *yes,* please upload a copy of your Anti-Bullying and Harassment Policy or equivalent document(s). The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).	

		Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. Alternatively, you can provide copies of documents which demonstrate the reasonable steps the company has taken to prevent the sexual harassment of your workers including by third parties. https://www.legislation.gov.uk/ukpga/2023/51/contents	
70	Is your company legally required to publish a Gender Pay Gap Report?	Guidance can be found here: • https://gender-pay-gap.service.gov.uk/ • https://www.acas.org.uk/gender-pay-gap-reporting • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1921&modtype=url If your company has fewer than 250 employees, please answer *N/A*. If your company has more than 250 employees, you are legally required to publish a Gender Pay Gap Report. Please provide a copy of your Gender Pay Gap Report and a link to where it can be found on the Government portal. https://www.legislation.gov.uk/uksi/2017/172/contents/made	**Document:** Gender Pay Gap Report

Section 4: Health and Safety

Question Number	Question	Guidance	Information
71	Does your company hold a valid Safety Schemes in Procurement (SSIP) Certificate or ISO 45001 by a UKAS (or mutually recognised by UKAS) accredited certification body? If *yes*, *you do **not** need to complete questions 73 – 109.*	Guidance can be found here: • https://ssip.org.uk/ • https://www.bsigroup.com/en-GB/Occupational-Health-and-Safety-ISO-45001/ Please answer *yes* or *no.* If *yes,* please confirm which certification you hold, provide a copy of your certificate and state whether it is for general Health and Safety (H&S) or specific to one of the CDM dutyholder roles to reflect your company's activity: • Principal Contractor • Contractor • Principal Designer • Designer.	**Document:** ISO 45001/SSIP Certificate
72	Who is ultimately responsible for Health and Safety (H&S) within your company?	Please provide details of the person with ultimate responsibility for H&S, who should be a Director of the company or equivalent such as a Managing Director, Company Director or another suitably senior individual. https://www.legislation.gov.uk/uksi/1999/3242/regulation/7	
73	Does your company have a H&S Policy?	Guidance can be found here: http://www.hse.gov.uk/simple-health-safety/policy/index.htm Please answer *yes* or *no*. If *yes*, please provide a copy of your H&S Policy or equivalent document(s). The policy or equivalent document(s) should set out the responsibilities for effective H&S management throughout the company.	**Exemption if ISO 45001 / SSIP Certificate** **Document:** H&S Policy

		The policy or equivalent document(s)should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you have fewer than 5 employees, you may provide a written statement rather than a policy. https://www.legislation.gov.uk/ukpga/1974/37/section/2	
74	Does your company have a Drugs and Alcohol Policy?	Guidance can be found here: • https://builduk.org/wp-content/uploads/2022/09/Drugs-and-Alcohol-Policy.pdf • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=9213&modtype=url Please answer *yes* or *no*. If *yes*, please upload a copy of your Drugs and Alcohol Policy or equivalent document(s). The policy or equivalent document(s) should include: • The preventative measures your company takes to ensure members of your workforce do not attend site under the influence of alcohol and/or drugs • Testing requirements, including frequency, substances tested for, and management of results • Post-incident and/or reasonable cause drug and alcohol testing	**Exemption if ISO 45001 / SSIP Certificate** **Document:** Drugs and Alcohol Policy

		• Return-to-duty testing process and unannounced testing programmes for workers following a policy violation and/or substance abuse treatment. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may provide a written statement rather than a policy.	
75	Does your company have a Behavioural Safety Programme?	Guidance can be found here: • https://www.hse.gov.uk/humanfactors/topics/behaviouralintor.htm • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=106&modtype=scorm Please answer *yes* or *no*. If *yes*, please provide details or a copy of your Behavioural Safety Programme. If you are a micro-business, you may answer *N/A*.	**Exemption if ISO 45001 / SSIP Certificate** **Advisory** **Document:** Behavioural Safety Programme
76	Does your company have arrangements in place for the management of occupational health issues, including mental health and fatigue?	Guidance can be found here: • https://www.hse.gov.uk/health-surveillance/occupational-health/index.htm	**Exemption if ISO 45001 / SSIP Certificate**

		• https://www.hse.gov.uk/humanfactors/topics/fatigue.htm • https://www.hse.gov.uk/stress/ • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=5212&modtype=page Please answer *yes* or *no*. If *yes*, please upload an Occupational Health Policy or other document which could include the following: • Employee assistance programme • Participation in a mental health at work initiative • Implementation of mental health core standards in Thriving at Work • Training on occupational health issues and wellbeing for your workforce If you are a micro-business, you may provide a written statement rather than a policy. https://www.legislation.gov.uk/uksi/1999/3242/regulation/6	**Advisory** **Document:** Occupational Health Policy
77	Is your company part of a fleet management scheme?	If the company does not operate a fleet or commercial vehicles, please answer *N/A*. If *yes*, please provide a copy of your fleet management scheme certificate which may include: • Construction Logistics and Community Safety (CLOCS) • Fleet Operator Recognition Scheme (FORS) for each depot that has been assessed • Mission Zero • Truck Excellence • Van Compliance Scheme • Van Excellence.	**Exemption if ISO 45001 / SSIP Certificate** **Advisory** **Document:** Fleet management scheme certificate
78	Does your company have arrangements in place to check, review and, where necessary, improve your H&S performance?	Please answer *yes* or *no*. If *yes*, please provide evidence of recent monitoring and management response. This could be through formal audit	**Exemption if ISO 45001/ SSIP Certificate**

		or discussions/reports to senior managers or from copies of workplace/site inspection reports. https://www.legislation.gov.uk/uksi/1999/3242/regulation/5	
79	Does your company have arrangements in place to identify significant H&S hazards and produce risk assessments to support safe systems of work?	Please answer *yes* or *no*. Please provide evidence of how the company identifies significant H&S hazards and how the assessed risks will be controlled. This could include: • Sample risk assessments • Safe systems of work • Method statements. If you **have fewer than five employees** and do not have written arrangements, you should be able to describe how you achieve the above. If you are a **Principal Contractor**, **or where relevant, a Contractor,** please also provide a sample Construction Phase Plan which should be: • Proportionate to the size and nature of the work, and the risks involved • Workable and realistic • Sufficiently developed to allow work to start on site • Regularly reviewed and added to as new trades start. https://www.legislation.gov.uk/uksi/1999/3242/regulation/3	**Exemption if ISO 45001 / SSIP Certificate**
80	Does your company have arrangements in place to ensure that your H&S measures are effective in reducing and/or preventing work-related incidents, occupational ill-health and accidents?	Please answer *yes* or *no*. If *yes,* please provide evidence of the arrangements which the company has made for putting its H&S policy into effect and for discharging its duties under current relevant H&S legislation.	**Exemption if ISO 45001/ SSIP Certificate**
81	Does your company have access to competent H&S advice and assistance?	Guidance can be found here: https://www.hse.gov.uk/simple-health-safety/gettinghelp/index.htm	**Exemption if ISO 45001/ SSIP Certificate**

		Please answer *yes* or *no*. If *yes*, please provide the name and competence details of the source of advice along with two examples from the last 12 months of advice given and action taken. The source of advice could include: • Competent employee • Consultant who provides H&S information and advice • Safety group • Industry trade body https://www.legislation.gov.uk/uksi/1999/3242/regulation/7	
82	Does your company have arrangements in place to provide your workforce with training and other information appropriate for the activities that your company is likely to undertake?	Guidance can be found here: https://www.supplychainschool.co.uk/ Please answer *yes* or *no*. If *yes*, please provide supporting evidence which could include: • Training manuals and/or training records • Evidence of a H&S training culture including records, certificates of attendance and adequate H&S induction training • Evidence of an active CPD programme • Example of 'toolbox talk' type training • Evidence of relevant training as required by H&S legislation or approved codes of practice (e.g. asbestos awareness training). https://www.legislation.gov.uk/ukpga/1974/37/section/2	**Exemption if ISO 45001/ SSIP Certificate**
83	Does your company have arrangements in place to ensure that your workforce has H&S and other relevant skills, knowledge and experience for the activities that your company is likely to undertake?	Please answer *yes* or *no*. If *yes*, please provide details of qualifications and/or experience of specific corporate post holders, for example board members, H&S advisor etc. relevant for the industry sector for both construction and non-construction activities. Other key roles should be named or identified and details	**Exemption if ISO 45001/ SSIP Certificate**

		of relevant qualifications and experience provided. If you are a **Principal Contractor or Contractor**, please provide supporting evidence of the skills, knowledge and experience of H&S in construction in the company. For individual roles within the company: • **Site managers:** Details of any specific training such as the CITB 'Site Management Safety Training Scheme' Certificate or equivalent. • **Professionals:** Details of qualifications and/or professional institution membership. • **Site operatives:** Details of any relevant qualifications or training such as S/NVQ Certificate, apprenticeship certificate, evidence of CSCS Alliance Scheme verified certification level, and evidence of a company-based training programme suitable for the work to be carried out. If you are a **Principal Contractor**, please also provide details of number/percentage of people engaged in the company who have passed a construction H&S assessment, for example the CITB HS&E test or similar schemes, such as the CCNSG or sector specific assessment. If you are a **Principal Designer**, please provide supporting evidence of the skills, knowledge and experience of H&S in construction in the company: • Details of qualifications to confirm the company's operational capability to manage construction H&S which may include NEBOSH Construction, NVQ in Occupational Health & Safety, or NCRQ in applied health & safety etc. • Details of qualifications relevant to specific area of expertise, which may include Higher National Diploma or Certificate, Bachelor degree or Masters etc. • Details of relevant professional institution membership such as member of the registers administered by the APS or ICS, or the ICE construction health & safety register etc.	

		• Evidence of a clear commitment to continued improvement, training and the Continued Professional Development of the workforce in relevant areas of expertise and health & safety. If you are a **Designer**, please provide supporting evidence of the qualifications and experience of H&S in construction in the company: • Details of qualifications relevant to specific area of expertise, which may include Higher National Diploma or Certificate, Bachelor degree or Masters etc. • Details of professional institution membership such as RiBA, ICE, APS, RiAS, CIAT, ARB, IstructE etc. • Evidence of a clear commitment to the continued improvement, training and Continued Professional Development of the workforce in relevant areas of expertise and H&S. https://www.legislation.gov.uk/uksi/1999/3242/regulation/13	
84	Does your company have arrangements in place for ensuring that your sub-contractors also apply H&S measures to a standard appropriate to the activities that your company is likely to undertake?	Guidance can be found here: http://www.hse.gov.uk/pubns/indg368.pdf Please answer *yes* or *no*. If *yes,* please provide evidence of how you ensure sub-contractors are competent. This could include: • Written procedures or arrangements • Documented examples of sub-contractor assessments you have carried out • How you require similar standards of competence assessment from sub-contractors • How you monitor sub-contractor performance. https://www.legislation.gov.uk/uksi/2015/51/regulation/8	**Exemption if ISO 45001/ SSIP Certificate**
85	Does your company have arrangements in place to involve your workforce in the planning and implementation of H&S measures?	Please answer *yes* or *no*.	**Exemption if ISO 45001/ SSIP Certificate**

		If *yes,* please provide evidence, which is no more than 12 months old, of how consultation is carried out which could include: • Records of H&S committees • Names of appointed safety representatives (trade union or other). If you **have fewer than five employees**, please describe how you consult with your employees to achieve the consultation required. Legislation: https://www.legislation.gov.uk/uksi/1977/500 https://www.legislation.gov.uk/uksi/1996/1513	
86	Does all your workforce (including those who are self-employed), who are working on construction sites undertaking a recognised construction occupation, hold the relevant CSCS Alliance Scheme cards?	Guidance can be found here: • https://www.cscs.uk.com/about/ • https://www.cscs.uk.com/about/cscs-alliance/ Please answer *yes* or *no*. If *no*, you may wish to explain why.	**Exemption if relevant SSIP Certificate** **Advisory**
87	Does your company have arrangements in place to record and review any accidents, incidents and near misses, and to undertake appropriate follow-up actions?	Please answer *yes* or *no*. If *yes,* please provide evidence of how you record and investigate accidents, incidents and near misses. This could include: • Records of the last two accidents/incidents and action taken to prevent recurrence • Information on enforcement taken by HSE over the last five years from the HSE website • Records of any enforcement action taken over the last five years • What action was taken to put matters right. For **large companies**, please also provide simple statistics showing incidence rates of fatalities, specified injuries, over seven-day injuries, reportable cases of ill health and dangerous occurrences for the last three years. Records	**Exemption if ISO 45001 / SSIP Certificate**

		should include any incidents that occurred to direct employees or sub-contractors. https://www.legislation.gov.uk/uksi/2013/1471/contents	
88	Does your company have arrangements in place to ensure that, if a building is occupied where you are undertaking work, you properly consider the H&S of occupants, including residents, first responders and others in and around where you are working?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence, such as a construction phase plan or risk and method statement, which shows how you ensure that if a building is occupied where work is taking place, you take into consideration occupants including residents, first responders and others in and around the building. https://www.legislation.gov.uk/uksi/2015/51/regulation/13	**Exemption if ISO 45001 / SSIP certificate**
89	Does your company fulfil any of the following CDM dutyholder roles: • Principal Contractor • Contractor • Principal Designer • Designer? *If Principal Contractor, you will need to complete questions 90 – 99.* *If Contractor, you will need to complete questions 90 – 93.* *If Principal Designer, you will need to complete questions 90, 91 and 98 – 109.* *If Designer, you will need to complete questions 90, 100 – 103.*	Further information on the roles and responsibilities of dutyholders can be found here: • Principal Contractor - http://www.hse.gov.uk/construction/cdm/2015/principal-contractors.htm • Contractor - http://www.hse.gov.uk/construction/cdm/2015/contractors.htm • Principal Designer - http://www.hse.gov.uk/construction/cdm/2015/principal-designers.htm • Designer - http://www.hse.gov.uk/construction/cdm/2015/designers.htm Please answer *yes* or *no*. If *yes*, please select all the dutyholder roles that apply to your company.	**Exemption if relevant ISO 45001 / SSIP Certificate**
90	Does your company have the skills, knowledge and experience necessary to fulfil your dutyholder role(s) in a	Please answer *yes* or *no*.	**Exemption if**

	manner that secures the H&S of those affected by your functions and activities?	If *yes,* please provide supporting evidence of the skills, knowledge and experience of construction H&S in the company. For individual roles within the company: • **Site managers:** Details of any specific training such as the CITB 'Site Management Safety Training Scheme' Certificate or equivalent. • **Professionals:** Details of qualifications (e.g. NEBOSH Construction, NVQ in Occupational Health & Safety, NCRQ in applied H&S, Higher National Diploma, Bachelor Degree etc.) and/or professional institution membership (e.g. APS, CIAT, ICS, ICE, RIBA etc) • **Site operatives:** Details of any relevant qualifications or training such as S/NVQ Certificate, apprenticeship Certificate, evidence of CSCS Alliance Scheme verified certification level, and evidence of a company-based training programme suitable for the work to be carried out. If you are a **Principal Contractor**, please also provide details of number/percentage of people engaged in the company who have passed a construction H&S assessment, for example the CITB HS&E test or similar schemes, such as the CCNSG or sector specific assessment. https://www.legislation.gov.uk/uksi/2015/51/regulation/8	**relevant ISO 45001 / SSIP Certificate**
91	Does your company have arrangements in place to review and develop its effectiveness in its dutyholder roles?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence which should confirm that there are arrangements in place for reviewing and developing your effectiveness in the dutyholder role(s) including: • Monitoring procedures • Periodic checking or auditing of procedures • Periodic reviews of practices and management response • Post-project review. https://www.legislation.gov.uk/uksi/2015/51/regulation/8	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor, Contractor or**

			Principal Designer
92	Does your company have arrangements in place to coordinate your work with other dutyholders, and to ensure their cooperation with each other?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence which could include: • Sample risk assessments • Procedural arrangements • How the company coordinates its work with other interested parties • Project team meeting notes.	**Exemption if relevant ISO 45001 / SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor or Contractor**
93	Does your company have arrangements in place to ensure on-site welfare for your workforce?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7143&modtype=resource Please answer *yes* or *no*. If *yes*, please provide supporting evidence which could include: • H&S Policy • Contracts with welfare facility providers including cleaning arrangements. If you are a **Principal Contractor**, please also provide evidence of compliance to Schedule 2 of the CDM Regulations and details of the type of welfare facilities provided on previous projects. https://www.legislation.gov.uk/uksi/2015/51/schedule/2	**Exemption if relevant ISO 45001 / SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor or Contractor** **Document:** H&S Policy
94	Does your company have arrangements in place to plan, manage, monitor and coordinate H&S in the construction phase, including communication with the Client, Principal Designer and other Contractors?	Please answer *yes* or *no*. If *yes*, please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which should confirm that there are arrangements in place for planning, managing, monitoring and co-ordinating	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in**

		H&S in the construction phase, including communication with the Client, Principal Designer and other Contractors. https://www.legislation.gov.uk/uksi/2015/51/regulation/13	**question *89* that you are a Principal Contractor**
95	Does your company have arrangements in place to prepare, review and maintain Construction Phase Plans?	Please answer *yes* or *no*. If *yes,* please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include previous Construction Phase Plans. https://www.legislation.gov.uk/uksi/2015/51/regulation/12	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor**
96	Does your company have arrangements in place to cooperate with, and to coordinate work with, other dutyholders?	Please answer *yes* or *no*. If *yes,* please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include: • Notes of meetings and other discussions • Examples of exchanges of safety information • Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, and design interfaces etc. https://www.legislation.gov.uk/uksi/2015/51/regulation/8	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor**
97	Does your company have arrangements in place to ensure suitable site inductions are provided?	Please answer *yes* or *no*. If *yes,* please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include previous site inductions and attendance sheets. https://www.legislation.gov.uk/uksi/2015/51/regulation/15	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor**

98	Does your company have arrangements in place to provide the Principal Designer with information for the H&S File?	Please answer *yes* or *no*. If *yes*, please provide concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, which could include examples of previously prepared information for the H&S File. https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Contractor**
99	Does your company have arrangements in place to ensure that it produces and implements a site-specific emergency plan prior to the commencement of works?	Guidance can be found here: https://www.hse.gov.uk/workplace-health/emergency-procedures.htm Please answer *yes* or *no*. If *yes*, please provide supporting evidence which could include a template document, Construction Phase Plan or previous site-specific emergency plan which includes hazard identification and emergency procedures. https://www.legislation.gov.uk/uksi/2015/51/regulation/30	**Exemption if did not indicate in question *89* that you are a Principal Contractor**
100	Does your company have arrangements in place to ensure that the Client is aware of its duties before commencing work?	Please answer *yes* or *no*. If *yes*, please provide evidence of arrangements in place for helping Clients to meet their duties under the CDM Regulations. https://www.legislation.gov.uk/uksi/2015/51/part/3	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer or Designer**
101	Does your company have arrangements in place when preparing or modifying designs to take into account the general principles of prevention to eliminate, as far as is	Please answer *yes* or *no*.	**Exemption if relevant ISO 45001/**

	reasonably practicable, foreseeable risks to the H&S of any person or, if not possible to eliminate, to reduce or control the risks?	If *yes,* 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: • Ensures co-operation and co-ordination of design work within the design team and with other Designers/Contractors • Takes into account the general principles of prevention when preparing or modifying a design with the first aim to eliminate risks or, if that is not possible, to reduce or control the risks • Provides information about the risks arising from the design during construction, maintenance/cleaning and use of the building as a workplace i.e. residual risk • Ensures that significant risks that may arise to people, including building occupants, from fire, explosions and/or structural issues during the construction phase are eliminated, reduced or controlled • How design changes are managed during pre-construction and construction phases • Ensure that any structure which will be used as a workplace will meet the relevant requirements of the Workplace (Health, Safety and Welfare) Regulations. The level of detail required in passing on information about risks should be proportionate to the risks involved. https://www.legislation.gov.uk/uksi/2015/51/part/3	**SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer or Designer**
102	Does your company have arrangements in place to manage design changes, and to ensure that the H&S File is appropriately reviewed and updated?	Please answer *yes* or *no*. Please provide evidence which shows that there are arrangements in place for managing design changes and ensuring that the H&S File is appropriately reviewed and updated. https://www.legislation.gov.uk/uksi/2015/51/part/3	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal**

			Designer or Designer
103	Does your company have arrangements in place to review and monitor your design performance, notably in relation to H&S?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence which shows that there are arrangements in place for reviewing, developing and monitoring design performance including: • Monitoring procedures • Periodic checking or auditing of procedures • Periodic reviews of practices and management response • Post-project review. https://www.legislation.gov.uk/uksi/2015/51/part/3	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer or Designer**
104	Does your company have arrangements in place to provide the Client with pre-construction information?	Please answer *yes* or *no*. If *yes*, please provide evidence of arrangements in place for communicating with Clients and helping them to meet their duties under the CDM Regulations (e.g. meeting minutes or examples of pre-construction information collated for a project and distributed to the relevant project team members). https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer**
105	Does your company have arrangements in place to gather, prepare, communicate and coordinate information, including design information, with other dutyholders during the pre-construction phase?	Please answer *yes* or *no*. If *yes*, 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 dutyholders during the pre-construction phase. https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer**
106	Does your company have arrangements in place to plan, manage and monitor H&S related information, including design information, in the pre-construction phase, with the	Please answer *yes* or *no*.	**Exemption if relevant ISO 45001/**

	aim of identifying and eliminating or controlling foreseeable risks?	If *yes,* please provide evidence which shows that there are arrangements in place for planning, managing and monitoring H&S related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling as far as is reasonably practicable foreseeable risks. https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer**
107	Does your company have arrangements in place to ensure that Designers carry out their duties, and that all dutyholders cooperate with each other in the pre-construction phase, including the sharing of pre-construction information?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence which shows that there are arrangements in place for ensuring Designers carry out their duties, including oversight and co-ordination within the design team and with other Designers/Contractors, in the pre-construction phase. https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer**
108	Does your company have arrangements in place to liaise with the Principal Contractor to share information on the planning, management and monitoring of the construction phase and the co-ordination of H&S matters during the construction phase?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence which shows that there are arrangements in place for ensuring successful liaison with the Principal Contractor on a project. Evidence could include: • Notes of meetings and other discussions • Examples of exchanges of safety information • Previous agreements on issues which affect other site users such as emergency arrangements/procedures, deliveries, traffic routes, and design interfaces etc. https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**Exemption if relevant ISO 45001/ SSIP Certificate** **Exemption if did not indicate in question *89* that you are a Principal Designer**
109	Does your company have arrangements in place to provide pre-construction and H&S File information to other dutyholders?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence, such as examples of previously prepared information, which shows that there are arrangements in place for the provision of	**Exemption if relevant ISO 45001/ SSIP Certificate**

		relevant information to other dutyholders, including for the H&S File. • https://www.legislation.gov.uk/uksi/2015/51/regulation/11	**Exemption if did not indicate in question *89* that you are a Principal Designer**

Section 5: Environmental

Question Number	Question	Guidance	Information
110	Does your company hold a valid BS EN ISO 14001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body or a valid EMAS Certificate? *If yes, you do **not** need to complete questions 111 - 115.*	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1082&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=3521&modtype=url If *yes*, please provide a copy of your BS EN ISO 14001 Certificate (or equivalent) or EMAS Certificate.	**Document:** BS EN ISO 14001 or EMAS Certificate
111	Does your company have an Environmental Management Policy?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1011&modtype=scorm • https://advisera.com/14001academy/knowledgebase/how-to-write-an-iso-14001-environmental-policy/ Please answer *yes* or *no*. If *yes*, please provide a copy of your Environmental Management Policy or equivalent document(s). The policy or equivalent document(s) should be relevant to the nature and scale of the company and set out the responsibilities for environmental management throughout the company. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide:	**Exemption if ISO 14001/ EMAS** **Document:** Environmental Management Policy

		• Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may provide a written statement rather than a policy.	
112	Does your company have arrangements in place for ensuring that your environmental management procedures are effective in managing and mitigating impacts on the environment?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1011&modtype=scorm Please answer *yes* or *no*. • Please provide evidence, such as an environmental aspects and impact register or environmental risk assessment, showing that your arrangements: Confirm how the company aims to discharge relevant legal responsibilities • Identify key environmental aspects related to the work that the company undertakes, such as carbon emissions, materials procurement (e.g. BES6001, FSC/PEFC), noise, waste, energy, water, air quality and biodiversity, and how their impact on the environment is managed or mitigated • Are communicated to your workforce • Include arrangements for responding to, monitoring and recording environmental incidents, emergencies and complaints. If you are a micro-business, you may answer *N/A*.	**Exemption if ISO 14001/ EMAS**
113	Does your company have arrangements in place for providing relevant members of your workforce with training and information on construction-related environmental issues?	Guidance can be found here: • https://www.supplychainschool.co.uk/topics/sustainability/environmental-management/ • https://learn.supplychainschool.co.uk/local/tlactionplans/resources.php?subtopics=environmental%20management • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=3533&modtype=page	**Exemption if ISO 14001/ EMAS**

		Please answer *yes* or *no*. If *yes,* please provide evidence, such as training manuals and training records, which shows that your company has training arrangements in place to ensure that the workforce has sufficient skills and understanding to carry out their various duties. This should include a programme of refresher training that will keep the workforce updated on relevant legal requirements, good environmental management practice and wider environmental issues such as carbon emissions, materials procurement (e.g. BES6001, FSC/PEFC), noise, waste, energy, water, air quality and biodiversity. If you are a micro-business, you may answer N/A.	
114	Does your company have arrangements in place to check, review and, where necessary, improve your environmental management performance?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=756&modtype=scorm Please answer *yes* or *no*. If *yes*, please provide evidence that your company has arrangements for reviewing environmental management procedures on an ongoing basis and updating them at periodic intervals, which may be part of an environmental management system (EMS). If you are a micro-business, you may answer *N/A*.	**Exemption if ISO 14001/ EMAS**
115	Does your company have arrangements in place for ensuring that your sub-contractors have environmental management procedures to a standard appropriate to the activities that your company is likely to undertake?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=8991&modtype=url Please answer *yes* or *no*. If *yes,* please provide evidence, such as your Environmental Management Policy or criteria to be on an approved supply chain register, that your company has arrangements for monitoring sub-contractor's environmental management	**Exemption if ISO 14001/ EMAS** **Exemption if answered *no* to question *21* and do not employ sub-contractors** **Document:**

		procedures. This should also ensure that environmental performance appropriate for the activity to be undertaken is delivered your company's supply chain. If you are a micro-business, you may answer *N/A*.	Environmental Management Policy or Sub-Contractor Selection Policy
116	Does your company have access to competent environmental advice and assistance?	Please answer *yes* or *no*. If *yes,* please provide the name and competence details of the source of advice along with two examples from the last 12 months of advice given and action taken. The source of advice could include: • Competent employee • Consultant who provides environmental information and advice • Safety group • Industry trade body. If you are a micro-business, you may answer *N/A*.	**Advisory**
117	Does your company have a Waste Carrier, Broker or Dealer Licence or are you a Registered Professional Carrier and Transporter of Waste?	If your company is not required to have a Waste Carrier, Broker or Dealer Licence or be registered as a Professional Carrier and Transporter of Waste, please answer *N/A*. If *yes*, please upload a copy of your Waste Carrier, Broker or Dealer Licence (England, Wales and/or Northern Ireland) or details of your registration as a Registered Professional Carrier and Transporter of Waste (Scotland). If you upload a Waste Carrier, Broker or Dealer Licence, please include the tier of your licence. If your company is required to hold a Waste Carrier, Broker or Dealer Licence or be registered as a Professional Carrier and Transporter of Waste but do not, please answer *no*. https://www.legislation.gov.uk/ukpga/1990/43/section/34	**Document:** Waste Carrier, Broker or Dealer Licence and/or Professional Carrier and Transporter of Waste Registration

118	Is your company legally required to report your carbon emissions under the Streamlined Energy and Carbon Reporting (SECR) Regulations?	Guidance can be found here: • https://www.gov.uk/guidance/measuring-and-reporting-environmental-impacts-guidance-for-businesses • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=6793&modtype=scorm • https://carbon.sustainabilitytool.com/ If you are not a large company, please answer *N/A*. If you are a large company, please answer *yes* or *no*. If y*es,* please provide a copy of your Carbon Emissions Report which contains the following information about your company: • Energy use • Carbon emissions • Energy efficiency actions. https://www.legislation.gov.uk/uksi/2008/410/schedule/7/part/7	**Advisory if not a large company** **Document** Carbon Emissions Report
119	Does your company have a Carbon Emissions Reduction Plan?	Guidance, including a Carbon Emissions Reduction Plan template, can be found here: • 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://knowledge.bsigroup.com/products/climate-change-management-transition-to-net-zero-carbon-neutrality?version=standard • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=7208&modtype=url Please answer *yes* or *no*. If *yes*, please provide a copy of your Carbon Emissions Reduction Plan, which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). This information may also be provided as part of your Environmental Management Policy.	**Advisory** **Document:** Carbon Emissions Reduction Plan

		Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. The plan should cover measures aimed at reducing carbon dioxide as well as any other relevant greenhouse gas (GHG) emissions and include: • Your selected baseline carbon/GHG emissions footprint • Your current carbon/GHG emissions footprint (if available) • Your carbon/GHG emissions reduction targets • The standard you use to measure your carbon/GHG emissions footprint • Whether your plan is third-party verified • Any carbon/GHG reduction initiatives you have completed or are part of. If you are a micro-business, you may answer *N/A*.	
120	Does your company operate in accordance with any national or industry-recognised sustainability standards, charters, pledges or good/best practice guidance?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=4088&modtype=resource • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=976&modtype=url • https://www.constructionleadershipcouncil.co.uk/workstream/co2nstructzero/ Please answer *yes* or *no*. If *yes*, please provide evidence which could be a certificate from a UKAS (or mutually recognised by UKAS) accredited	**Advisory**

		certification body or an industry-recognised institution, formal evidence of sign-up to an industry-recognised charter, pledge, or information operating in line with good/best practice sustainability guidance.	

Section 6: Quality

Question Number	Question	Guidance	Information
121	Does your company hold a valid BS 99001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body? *If yes, you do **not** need to complete questions 124 - 138 and any of the questions in Section 7: Building Safety (139 – 158).*	Guidance can be found here: • https://www.bsigroup.com/en-GB/capabilities/buildings-and-construction/bs-99001-quality-management-systems-standard-for-the-built-environment/ Please answer *yes* or *no*. If *yes*, please provide a copy of your BS 99001 Certificate (or equivalent).	**Document:** BS 99001
122	Does your company hold a valid BS EN ISO 9001 (or equivalent) issued by a UKAS (or mutually recognised by UKAS) accredited certification body? *If yes, you do **not** need to complete questions 124 – 132, 135* and *136*	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=96&modtype=page Please answer *yes* or *no*. If *yes*, please provide a copy of your BS EN ISO 9001 Certificate (or equivalent).	**Document:** BS EN ISO 9001
123	Who is ultimately responsible for quality within your company?	Please provide details of the person with ultimate responsibility for quality, who should be a company Director or equivalent such as a Managing Director, Company Director or another suitably senior individual.	
124	Does your company have a Quality Management Policy?	Please answer *yes* or *no*. If yes, please provide a copy of your Quality Management Policy or equivalent document(s). The policy or equivalent document(s) should set out the responsibilities for quality management throughout the company. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a	**Exemption if BS 99001 or ISO 9001** **Document:** Quality Management Policy

		Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may provide a written statement rather than a policy.	
125	Does your company have a Risk Management Policy?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1808&modtype=scorm • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=6248&modtype=page Please answer *yes* or *no*. If *yes*, please provide a copy of your Risk Management Policy or equivalent document(s). The policy or equivalent document(s) should confirm: • How the company identifies risks • How they review and update risk management processes • The responsibility for compiling and authorising risk/impact assessments • How the company ensures site issues are incorporated into relevant risk/impact assessments • How risk/impact assessments are communicated to the workforce, clients and sub-contractors, and how such briefings are retained • Method statements refer to risk/impact assessments and that periodic reviews are undertaken. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months).	**Exemption if BS 99001 or ISO 9001** **Advisory if micro-business** **Document:** Risk Management Policy

		Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, this question is advisory.	
126	Does your company have arrangements in place for ensuring that your quality management is effective in preventing or reducing incidents of sub-standard delivery?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1748&modtype=scorm Please answer *yes* or *no*. If *yes*, please provide evidence that demonstrates the effectiveness of your quality management in preventing or reducing sub-standard delivery of construction output and general performance. This could include: • A Quality Management Policy or procedures for monitoring and inspecting quality and managing non-conformance and sign-off • Copies of internal and external audits • A complaints procedure for managing issues with sub-standard delivery • Analysis of complaints or client feedback • How the arrangements are communicated to the workforce If you are a micro-business, this question is advisory.	**Exemption if BS 99001 or ISO 9001** **Advisory if micro-business**
127	Does your company have arrangements in place for providing your workforce with quality-related training and	Guidance can be found here: https://www.supplychainschool.co.uk/topics/management/quality-management/	**Exemption if BS 99001 or ISO 9001**

	information appropriate to the type of work your company carries out?	Please answer *yes* or *no*. If *yes*, please provide evidence, which could include your training records or training programme, that demonstrates that your workforce is kept up to date with required knowledge about quality-related issues and has sufficient skills and understanding to discharge their various responsibilities. If you are a micro-business, this question is advisory.	**Advisory if micro-business**
128	Does your company have arrangements in place for periodically reviewing, correcting and improving quality management?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1748&modtype=scorm Please answer *yes* or *no*. If *yes*, please provide evidence that your company has a system for monitoring quality management on an ongoing basis including periodic reviews and actions taken to improve quality in respect of construction output and general performance. If you are a micro-business, this question is advisory.	**Exemption if BS 99001 or ISO 9001** **Advisory if micro-business**
129	Does your company have arrangements in place to ensure that all products and systems meet required regulations and standards, and are only used for their intended purpose?	Guidance can be found here: • https://www.gov.uk/guidance/construction-products-regulation-in-great-britain • https://www.cpicode.org.uk Please answer *yes* or *no*. For products with either designated standards (UK Conformity Assessed (UKCA) marks, UK(NI) marks or CE marks) or independent certification, please provide supporting evidence which could include: • A Quality Management Policy or procedures for product and system selection, approval, compliance checking, and managing non-compliance	**Exemption if BS 99001** **Document:** FPC Certificate (if applicable)

		• Certificates of conformity or third-party certifications (e.g. CE/UKCA, test reports) • A copy of a product's Code for Construction Product Information (CCPI) license mark • Product specifications and datasheets showing compliance with relevant standards and certifications • Design specifications, schedules, or drawings showing products selected for their intended use • Inspection, test, and commissioning records • Field of application / scope of approval documents confirming permitted uses and limitations • Approval or sign-off records (design reviews, technical approvals, change control) If your company issues the UK Conformity Assessed (UKCA) mark or UK(NI) mark for your own products, then please upload a copy of your Factory Production Control (FPC) Certificate. Legislation: • https://www.legislation.gov.uk/uksi/2013/1387/contents • https://www.legislation.gov.uk/uksi/2010/2214/regulation/7	
130	Does your company have arrangements in place to ensure that construction products used together are specified, tested, and certified as a complete system?	Please answer *yes* or *no*. If *yes*, please provide evidence on your arrangements to confirm that where individual construction products are brought together as part of the design or construction phase, they have suitable classification standards as part of a system. This could include: • A Quality Management Policy or procedures for specifying products as part of a system • Technical submittals or approval records demonstrating system-based product selection • Design reviews or verification records confirming compliance at system level	**Exemption if BS 99001 or ISO 9001**

		• Copies of system test reports or classification reports showing how products perform when used together • Copies of manufacturer guidance confirming compatible products and permitted combinations https://www.legislation.gov.uk/uksi/2010/2214/regulation/7	
131	Does your company have arrangements in place to ensure that the installation of construction products and systems are checked and approved by a competent person?	Please answer *yes* or *no*. Please provide supporting evidence which could include: • A Quality Management Policy • An inspection and test plan • A benchmarking plan.	**Exemption if BS 99001**
132	Does your company have arrangements in place to ensure you keep up to date with changes to legislation, standards and products which may impact upon quality management?	Please answer *yes* or *no*. If *yes*, please provide evidence of how you ensure the company keeps up to date with changes to legislation, standards and products which may impact upon quality management which could include: • A policy or procedure describing how the company monitors changes, how often updates are reviewed, and how you assess their impact on quality management • Audit or review records showing compliance with new or updated legislation, standards and products • Details of any subscriptions that monitor or provide information on changes • Training logs or updates reflecting sharing information on changes • Any internal communications (emails, bulletins, newsletters) informing staff of changes • Meeting minutes where changes are discussed • How staff are kept informed or trained on changes.	**Exemption if BS 99001 or ISO 9001**
133	Does your company have arrangements in place to manage and record evidence of competence (Skills, Knowledge, Experience and Behaviours) for your workforce?	Guidance can be found here: • https://competence.bsigroup.com/files/file/131-setting-expectations-on-competence-management-icc-advice-for-industry/	**Exemption if BS 99001**

		• https://competence.bsigroup.com/files/file/132-managing-competence-in-the-built-environment-an-industry-guide-on-how-to-meet-the-icc-principles/ Please answer *yes* or *no*. If *yes*, please provide supporting evidence of your arrangements to manage and record evidence of competence of your workforce which could include: • A Competence Management Policy or procedure which includes managing and recording evidence of competence, as well as maintaining it • A process for identifying competence requirements for the entire workforce • Training and qualification records, certificates of attendance, CPD programmes, induction and onboarding records, skills management matrixes, performance appraisals, copies of CSCS Alliance cards etc. • A Training Needs Analysis (TNA) for the entire workforce	
134	Does your company have arrangements in place for your workforce to receive appropriate supervision, instruction and information to ensure that any work your company undertakes meets required legislation or standards?	Please answer *yes* or *no*. If *yes*, please provide evidence of how you ensure your workforce receives appropriate supervision, instruction and information so that work meets required legislation or standards, which could include: • A Quality Management Policy or procedures • A process or organogram to ensure that each team has a named supervisor who is accountable for their work • A skills matrix/framework which shows the level of supervision for each activity on site • Site supervision logs, inspection records, work instructions, standard operating procedures or method statements • Communication records (emails, notices, meeting minutes) providing instructions or updates • Performance monitoring or observation records.	**Exemption if BS 99001**

135	Does your company have processes in place for the selection and monitoring of sub-contractors?	Please answer *yes* or *no*. If *yes*, please provide a copy of your Sub-Contractor Selection Policy (approved by the appropriate company Director and regularly reviewed (within the last 12 months)) or equivalent document(s) which shows the selection standard/criteria sub-contractors must meet and your monitoring arrangements. Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. The policy or equivalent document(s) should confirm: • A mechanism for periodic monitoring of supply chain insurances, licences and professional memberships • Whether the supplier has identified and checked the minimum levels of insurance applicable and required to be held by its supply chain • How does the supplier assure itself that the supply chain has a suitable defects/non-conformance processes to meet requirements • Whether the supplier undertakes audits of its supply chain and, if not, whether the supplier recorded the rationale for not auditing all/part of the supply chain • Whether the supplier has a process for the recording and monitoring of any corrective actions raised at supply chain audits • Whether the supplier undertakes post contract reviews of supply chain performance and how are the results of these reviews recorded, analysed and communicated.	**Exemption if BS 99001 or ISO 9001** **Exemption if answered *no* to question *21* and do not employ sub-contractors** **Document:** Sub-Contractor Selection Policy

136	Does your company have arrangements in place for ensuring that your sub-contractors apply quality management processes that are appropriate to the work for which they are being engaged?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=1748&modtype=scorm • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=4029&modtype=scorm Please answer *yes* or *no*. If *yes*, please provide a copy of your Quality Management Policy (approved by the appropriate company Director and regularly reviewed (within the last 12 months)) or equivalent document(s) which show that your company monitors your sub-contractor's quality management, ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your company's supply chain. Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual.	**Exemption if BS 99001 or ISO 9001** **Exemption if answered *no* to question *21* and do not employ sub-contractors** **Document:** Quality Management Policy
137	Does your company have arrangements in place to manage and record evidence of competence (Skills, Knowledge, Experience and Behaviours) for your sub-contractors?	Guidance can be found here: • https://competence.bsigroup.com/files/file/131-setting-expectations-on-competence-management-icc-advice-for-industry/ • https://competence.bsigroup.com/files/file/132-managing-competence-in-the-built-environment-an-industry-guide-on-how-to-meet-the-icc-principles/ Please answer *yes* or *no*. If *yes*, please provide supporting evidence	**Exemption if BS 99001** **Exemption if answered *no* to question *21* and do not employ sub-contractors**

		of your arrangements to manage and record evidence of competence of your workforce which could include: • A Competence Management Policy or procedure which includes managing and recording evidence of competence for sub-contractors • A process for identifying competence requirements for sub-contractors • Evidence of records held including training and qualification records, certificates of attendance, CPD programmes, induction and onboarding records, skills management matrixes, performance appraisals, copies of CSCS Alliance cards etc. • Contracts or appointments defining competence arrangements including managing and recording evidence of competence for sub-contractors	
138	Does your company have arrangements in place for sub-contractors under its control to receive appropriate supervision, instruction and information to ensure that any work they undertake meets required legislation or standards?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence on how you ensure that sub-contractors under your control receive the appropriate supervision, instruction and information to ensure that any work they undertake meets required legislation or standards which could include: • A Quality Management Policy or procedures for ensuring that sub-contractors under your control receive appropriate supervision • A process or organogram to ensure that each team has a named supervisor who is accountable for their work • A skills matrix/framework which shows the level of supervision for each activity on site • Site supervision logs, inspection records, work instructions, standard operating procedures or method statements • Communication records (emails, notices, meeting minutes) providing instructions or updates • Notes of meetings and other discussions with your sub-contractors • Template documents.	**Exemption if BS 99001** **Exemption if answered *no* to question *21* and do not employ sub-contractors**

Section 7: Building Safety

Question Number	Question	Guidance	Information
139	Does your company have arrangements in place for ensuring that it is satisfied that the Client is aware of its duties under the Building Regulations?	Guidance can be found here: • https://www.legislation.gov.uk/uksi/2010/2214/part/2A Please answer *yes* or *no*. If *yes*, please provide supporting evidence on the arrangements in place for ensuring that your company is satisfied that the Client is aware of its duties under the Building Regulations which could include: • A policy or statement detailing how the company communicates dutyholder requirements to a Client • Contracts or agreements referencing the Client's duties • Emails or letters sent to the Client outlining their duties • Signed confirmation from the Client that they understand their duties • Meeting minutes, presentations or records where Client duties were explained or discussed • Construction Phase Plan and site induction records	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if BS 99001**
140	Does your company have arrangements in place to ensure that your workforce has up to date and relevant competence for working in roles that may impact fire safety or potentially cause structural failure in buildings?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence which shows that your workforce has up to date and relevant competence for working in roles that may impact fire safety or potentially cause structure failure in buildings which could include: • A policy or procedure for verifying and monitoring the competence of your workforce in roles that may impact fire safety or potentially cause structural failure in buildings • Competence registers, training or qualification records and/or CPD programmes for your workforce in roles that may impact fire safety or potentially cause structural failure in buildings	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations**

		https://www.legislation.gov.uk/uksi/2010/2214/part/2A	
141	Does your company have arrangements in place for sub-contractors to evidence that their workforce has up to date and relevant competence for working in roles that may impact fire safety or potentially cause structural failure in buildings?	Please answer *yes* or *no*. If *yes*, please provide supporting evidence which shows that you have arrangements in place for sub-contractors to show that their workforce has up to date and relevant competence for working in roles that may impact fire safety or potentially cause structure failure in buildings which could include: • A policy or procedure for verifying and monitoring the competence of sub-contractor workforces in roles that may impact fire safety or potentially cause structural failure in buildings • Subcontractor contracts or agreements requiring proof of competence in roles that may impact fire safety or potentially cause structural failure in buildings • Competence registers, training or qualification records and/or CPD programmes for sub-contractor workforces in roles that may impact fire safety or potentially cause structural failure in buildings https://www.legislation.gov.uk/uksi/2010/2214/part/2A	**Exemption if answered *no* to question *21* and do not employ sub-contractors** **Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if BS 99001**
142	Does your company have arrangements in place to cooperate with other dutyholders to ensure that any building work or design work (whichever is applicable) is compliant with relevant requirements?	Please answer *yes* or *no*. If *yes*, please provide evidence of arrangements to cooperate with other dutyholders to ensure that any building work or design work is compliant with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents) which could include: • Policies or procedures describing coordination with other dutyholders • Contracts or appointments defining roles, responsibilities, and coordination arrangements • Shared risk registers or compliance trackers • Change control or approval records showing joint agreement on changes • Examples of where you have cooperated with other dutyholders to share and receive information on	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if BS 99001**

		projects such as project team meeting notes, emails etc. The information shared could include fire risks, products to be used, suggested work methods and sequences • Examples of where you have provided advice to other dutyholders on whether any work is Higher-Risk Building work • Template documents. https://www.legislation.gov.uk/uksi/2010/2214/part/2A/chapter/4/crossheading/duties-of-dutyholders	
143	Does your company have arrangements in place to notify relevant stakeholders, including manufacturers, suppliers and Accountable Persons, of any defects or issues found in construction products and/or systems which could impact building safety?	Please answer yes or no. If *yes,* please provide supporting evidence which could include: • A Quality Management Policy or statement which covers construction products and systems (including ensuring notification of any defects or issues found in construction products and/or systems) • Documented procedures or arrangements for managing conformance and non-conformance in construction products and systems • Roles and responsibility documents identifying who is responsible for notifications • Training or guidance records on defect reporting and escalation • A benchmarking plan which confirms how products should perform against industry standards. • An inspection and test plan • Product recall or corrective action records • Issue tracking logs showing identification, escalation, and notification actions	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if BS 99001**
144	Excluding Higher-Risk Buildings, which of the following dutyholder roles does your company fulfil, or intend to fulfil, under the Building Regulations?	Guidance can be found here: https://www.gov.uk/guidance/design-and-building-work-meeting-building-requirements Please select the applicable options from the list below: • Principal Contractor *(Please complete questions 145 – 150)*	

		• Contractor *(Please complete questions 145 and 151)* • Principal Designer *(Please complete questions 145 – 149 and 152)* • Designer *(Please complete questions 145 and 152 - 153)*	
145	Does your company have arrangements in place to plan, manage and monitor building and design work it undertakes in accordance with its dutyholder role(s) to ensure the work complies with relevant requirements?	Please answer *yes* or *no*. **If a Principal Contractor**, please provide evidence of arrangements in place to plan, manage and monitor building work during the construction phase to ensure that all building work is compliant with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents) which could include: • A Quality Management Policy or statement which covers relevant requirements of building work (e.g. compliance with Building Regulations such as fire safety and structural elements) • KPIs and how you track them during the project timeline • Monitoring procedures to ensure periodic checking or auditing of practices and management response • Inspection and test plans confirming checks against regulations and standards • Audit or compliance reports showing adherence to procedures and relevant requirements • Meeting minutes or notes documenting coordination, decisions, and corrective actions • Change control records tracking updates to work • Template documents • Post-project review • Examples of exchanges of information on topics such as Building Regulations, fire safety etc. • How the company coordinates its work with other dutyholders. **If a Contractor,** please provide evidence of arrangements in place to plan, manage and monitor your building work to ensure it complies with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents)which could include:	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations Exemption if BS 99001**

		• A Quality Management Policy or statement which covers relevant requirements of building work (e.g. compliance with Building Regulations such as fire safety and structural elements) • Monitoring procedures, including supervision where necessary • Inspection and test plans confirming checks against regulations and standards • Audit or compliance reports showing adherence to procedures and regulatory requirements • Meeting minutes or notes documenting coordination, decisions, and corrective actions • Procedural arrangements • Template documents **If a Principal Designer**, please provide evidence of arrangements in place to plan, manage and monitor design work during the design phase and to coordinate matters relating to design work during a project to ensure any building work if built is compliant with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents), which could include: • A Quality Management Policy or statement which covers relevant requirements of design work (e.g. compliance with buildings regulations such as fire safety and structural elements) • Monitoring procedures to ensure periodic checking or auditing of practices and management response • Design review and approval records confirming checks against regulations and standards • Audit or compliance reports showing adherence to procedures and regulatory requirements • Meeting minutes or notes documenting coordination, decisions, and corrective actions • Change control records tracking updates to designs	

		• Procedural arrangements that cover compliance with Building Regulations including identifying, eliminating and controlling risk of fire • Template documents • Post-project review • Examples of exchanges of information • How the company coordinates its work with other dutyholders. **If a Designer**, please provide evidence of arrangements in place to plan, manage and monitor your design work to ensure it complies with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents) which could include: • A Quality Management Policy or statement which covers relevant requirements of design work (e.g. compliance with buildings regulations such as fire safety and structural elements) • Monitoring procedures, including supervision where necessary • Design review and approval records confirming checks against regulations and standards • Audit or compliance reports showing adherence to procedures and regulatory requirements • Meeting minutes or notes documenting coordination, decisions, and corrective actions • Procedural arrangements • Template documents https://www.legislation.gov.uk/uksi/2010/2214/part/2A/chapter/4/crossheading/duties-of-dutyholders	
146	Does your company have arrangements in place to coordinate with other dutyholders, and to ensure their co-operation with each other, so that all work is compliant with relevant requirements?	Please answer *yes* or *no*. If *yes,* please provide evidence of arrangements to coordinate with other dutyholders, and to ensure their cooperation with each other, so that all work is compliant with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents).	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the**

		If a **Principal Designer**, please ensure your arrangements cover your design work, if built. If a **Principal Contractor**, please ensure your arrangements cover your building work. Supporting evidence could include: • Procedural arrangements describing how you coordinate and cooperate with other dutyholders, and ensure their co-operation with each other • Contracts or appointment letters defining roles, responsibilities, and cooperation between dutyholders • Meeting records (e.g., design review, site coordination, or project meetings) • Communication records such as emails, letters, or shared project updates • Design review or work review records showing joint agreement on compliance • Change control logs demonstrating joint review and approval of changes affecting compliance • Template documents https://www.legislation.gov.uk/uksi/2010/2214/regulation/11N https://www.legislation.gov.uk/uksi/2010/2214/regulation/11M	**Building Regulations Exemption if BS 99001** **Exemption if did not indicate in question *144* that you are a Principal Contractor or Principal Designer**
147	Does your company have arrangements in place to liaise with the Principal Contractor/Principal Designer (whichever is applicable) to share information relevant to the planning, management and monitoring of work, and the co-ordination of work, for the purpose of ensuring compliance with relevant requirements?	Please answer *yes* or *no*. If *yes,* please provide evidence of the arrangements in place to liaise with the Principal Contractor/Principal Designer (whichever is applicable) to share information relevant to the planning, management and monitoring of work, and the co-ordination of work, for the purpose of ensuring compliance with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents). If a **Principal Designer**, please ensure your arrangements cover the sharing of information relevant to the planning, management and monitoring of the building work, and the	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations Exemption if BS 99001** **Exemption if did not indicate in**

		co-ordination of design and building work. If a **Principal Contractor**, please ensure your arrangements cover the sharing of information relevant to the planning, management and monitoring of the design work, and the co-ordination of design and building work. Supporting evidence could include: • Procedural arrangements outlining liaison and information-sharing processes • Contracts or appointment letters defining roles, responsibilities, and communication expectations • Meeting records (site meetings, coordination meetings, design reviews) • Emails or correspondence sharing relevant information, plans or updates • Project plans, schedules and method statements showing coordinated work activities • Design review or approval records confirming shared oversight of compliance • Change control logs demonstrating joint review and approval of changes affecting compliance • Template documents. https://www.legislation.gov.uk/uksi/2010/2214/regulation/11N https://www.legislation.gov.uk/uksi/2010/2214/regulation/11M	**question *144* that you are a Principal Contractor or Principal Designer**
148	Does your company have arrangements in place for reviewing and actioning comments received from the Principal Contractor/Principal Designer (whichever is applicable) regarding compliance with relevant requirements?	Please answer *yes* or *no*. If *yes,* please provide evidence of arrangements in place for reviewing and actioning comments received from the Principal Contractor/Principal Designer (whichever is applicable) regarding compliance with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents) which could include: • Procedural arrangements describing how comments are received, reviewed and actioned	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations Exemption if BS 99001**

		• Records of comments received (emails, letters, forms, or project management system entries) • Action logs or issue tracking records showing how comments were addressed • Meeting minutes documenting discussion and resolution of compliance comments • Design or work review notes showing updates made in response to feedback • Approval or sign-off records confirming actions were completed • Audit or inspection reports showing that feedback has been implemented • Communication logs confirming that responses were shared back with the Principal Contractor/ Principal Designer Template documents. https://www.legislation.gov.uk/uksi/2010/2214/regulation/11N https://www.legislation.gov.uk/uksi/2010/2214/regulation/11M	**Exemption if did not indicate in question *144* that you are a Principal Contractor or Principal Designer**
149	Does your company have arrangements in place to assist the Client to share any necessary information with other Designers and Contractors, and to provide the Client with a document which shows how your role was carried out?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence which shows that there are arrangements in place to assist the Client to share any necessary information with other Designers and Contractors, and to provide the Client with a document which shows how your role was carried out, which could include: • Procedural arrangements outlining how you assist the Client to share information with other Designers and Contractors • Records of information shared (emails, reports, drawings, specifications) • Project coordination or handover documents showing information was provided to all relevant parties • Completion or handover reports summarising the company's role and work carried out • Meeting minutes documenting discussions with the Client and other dutyholders	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations Exemption if BS 99001** **Exemption if did not indicate in question *144* that you are a Principal Contractor or**

		• Confirmation of receipt from the Client acknowledging the information or documents provided • Template documents. https://www.legislation.gov.uk/uksi/2010/2214/regulation/11N https://www.legislation.gov.uk/uksi/2010/2214/regulation/11M	**Principal Designer**
150	Does your company have arrangements in place to ensure that building fire safety information is handed over to the Responsible Person(s) no later than the date of completion of the work, or the date of occupation of the building, whichever is earliest?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence that shows that there are arrangements in place to ensure that building fire safety information is handed over to the Responsible Person(s) no later than the date of completion of the work or the date of occupation of the building (whichever is earliest), which could include: • Procedural arrangements outlining how the company ensures that building fire safety information is handed over to the Responsible Person(s) • Previous examples of handing over building fire safety information to the Responsible Person(s) • Template documents • https://www.legislation.gov.uk/uksi/2010/2214/regulation/38/made	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if BS 99001** **Exemption if did not indicate in question *144* that you are a Principal Contractor**
151	Does your company have arrangements in place to provide other dutyholders with sufficient information about building work being carried out?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence that shows that there are arrangements in place to provide other dutyholders with sufficient information about building work being carried out which could include: • Policies or procedures for sharing information with dutyholders • Project plans, drawings, specifications or method statements distributed to other dutyholders • Minutes from site meetings	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations Exemption if BS 99001**

		• Emails or correspondence sharing relevant updates or information • Handover or progress reports documenting work status and key details • Change control logs showing notifications to other dutyholders • Responsibility matrices or RACI charts clarifying what building work information is shared and with whom • Evidence or acknowledgment from other dutyholders that they received information about building work being carried out Template documents. https://www.legislation.gov.uk/uksi/2010/2214/regulation/11L	**Exemption if did not indicate in question *144* that you are a Contractor**
152	Does your company have arrangements in place to ensure that products specified during the design phase are suitable, work together as a system, and comply with relevant requirements??	Please answer *yes* or *no*. If *yes,* please provide evidence of arrangements in place to ensure that products specified during the design phase are suitable, work together as a system, and comply with relevant requirements (e.g. Building Safety Act and Building Regulations including the Approved Documents) which could include: • A Quality Management Policy or statement which covers products (including ensuring their suitability for building safety) • Procedural arrangements for product assessment and classification during design • Design review or approval records documenting checks for compliance with relevant requirements • Product specifications showing durability, location suitability, and performance requirements • Copies of the Code for Construction Product Information (CCPI) licensed marks for products • Test reports, certification, or lab results confirming product performance and compliance • Correspondence with suppliers or manufacturers providing technical data or certifications.	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations Exemption if BS 99001** **Exemption if did not indicate in question *144* that you are a Principal Designer or Designer**

		https://www.legislation.gov.uk/uksi/2010/2214/regulation/11K https://www.legislation.gov.uk/uksi/2010/2214/regulation/11M	
153	Does your company have arrangements in place to provide other dutyholders with sufficient information about the design, construction and maintenance of the building?	Please answer *yes* or *no*. If *yes,* please provide supporting evidence which shows that there are arrangements in place to provide other dutyholders with sufficient information about the design, construction and maintenance of a building which could include: • Procedural arrangements for sharing design, construction, and maintenance information • Design drawings or specifications distributed to other dutyholders • Project plans and schedules showing information flow and responsibilities • Emails, letters or project management system entries documenting information sharing • Minutes from coordination, design review, or site meetings • Change control logs showing notifications to other dutyholders • Template documents. https://www.legislation.gov.uk/uksi/2010/2214/regulation/11K	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if BS 99001** **Exemption if did not indicate in question *144* that you are a Designer**
154	Which of the following dutyholder roles does your company fulfil, or intend to fulfil, under the Building Regulations for Higher-Risk Buildings (HRBs)?	Guidance can be found here: https://www.gov.uk/guidance/design-and-building-work-meeting-building-requirements Please select the applicable options from the list below: • Principal Contractor *(Please complete questions 154, 155* and *156)* • Contractor *(Please complete questions 155* and *157)* • Principal Designer *(Please complete questions 154, 155* and *156* • Designer *(Please complete questions 155* and *157)*	**Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if did not indicate in**

			question *23* that intend to work on Higher-Risk Buildings
155	Does your company have arrangements in place to collect, store, organise, update and share information with other dutyholders to help create a Golden Thread of Information for a Higher-Risk Building?	Guidance can be found here: • https://builduk.org/GoldenThread • https://www.gov.uk/guidance/keeping-information-about-a-higher-risk-building-the-golden-thread • https://www.legislation.gov.uk/ukdsi/2023/9780348253504/schedule/1 Please answer *yes* or *no*. If *yes*, please provide supporting evidence which shows that there are arrangements in place to collect, store, organise, update and share information with other dutyholders to help create a Golden of Information for a Higher-Risk Building which could include: • Procedural arrangements for collecting, storing, organising, updating, and sharing information with other dutyholders • Information management plans • Project documentation systems or platforms used to store and manage design, construction, and maintenance information • Documented workflows showing how information is updated and verified over time • Handover reports or digital records illustrating how information is transferred between dutyholders • Audit or review records showing that information is complete, up-to-date, and accurate • Training records showing staff have been shown how to manage and share information for the Golden Thread • Template documents https://www.legislation.gov.uk/uksi/2024/41/contents/made	**Exemption if BS 99001** **Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if did not indicate in question *23* that intend to work on Higher-Risk Buildings** **Exemption if did not indicate in question *154* that you are a Principal Contractor or Principal Designer**

		https://www.legislation.gov.uk/uksi/2023/911/regulation/6/made	
156	Does your company have arrangements in place to provide the Client and other dutyholders with the appropriate information to update the change control log when changes are made during the design, construction or occupation phases of a Higher-Risk Building?	Guidance can be found here: https://www.gov.uk/guidance/preparing-information-for-a-building-control-approval-application#how-to-record-changes-change-control-log Please answer *yes* or *no*. If *yes,* provide supporting evidence which shows that there are arrangements in place to provide the Client and other dutyholders with the appropriate information to update the change control log when changes are made during the design, construction or occupation phases of a Higher-Risk Building which could include: • Procedural arrangements for notifying changes and updating the change control log • Examples of change control logs or registers showing updates made during design, construction, or occupation • Emails, reports, or correspondence documenting changes shared with the Client and other dutyholders • Minutes from design or coordination meetings where changes were discussed and agreed • Handover or progress reports highlighting changes and actions required • Audit or review records confirming changes were communicated and logged correctly • Template documents https://www.legislation.gov.uk/uksi/2023/909/part/3	**Exemption if BS 99001** **Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if did not indicate in question *23* that intend to work on Higher-Risk Buildings**
157	Does your company have arrangements in place to establish, maintain and operate a Mandatory Occurrence Reporting (MOR) system when working on Higher-Risk Buildings?	Guidance can be found here: • https://builduk.org/MOR • https://builduk.org/templatemorsystem • https://www.gov.uk/guidance/reporting-a-mandatory-occurrence Please answer *yes* or *no*.	**Exemption if BS 99001** **Exemption if answered *no* to question 22 and do not intend to work on any**

		If *yes,* please provide supporting evidence which shows that there are arrangements in place to establish, maintain and operate a MOR system when working on Higher-Risk Buildings which could include: • Procedural arrangements to establish, maintain and operate a MOR system, MOR forms or templates used to capture safety occurrences • Records of reported safety occurrences showing issues identified, reported, tracked and resolved • Communication or notification records sent to relevant dutyholders, clients, or regulators • Audit or review reports confirming the MOR system is being correctly implemented and maintained • Examples of where you have previously helped set up a Mandatory Occurrence Reporting system https://www.legislation.gov.uk/uksi/2023/909/part/4	**projects regulated by the Building Regulations** **Exemption if did not indicate in question *23* that intend to work on Higher-Risk Buildings** **Exemption if did not indicate in question *154* that you are a Principal Contractor or Principal Designer**
158	Does your company have arrangements in place to coordinate with other dutyholders to report building safety incidents and risks when working on a Higher-Risk Building?	Guidance can be found here: • https://www.gov.uk/guidance/reporting-a-mandatory-occurrence • https://www.gov.uk/guidance/submitting-mandatory-occurrence-notices-and-reports#what-to-report-to-bsr Please answer *yes* or *no*. If *yes,* please provide evidence of arrangements in place which confirm how you coordinate with the Principal Contractor (if a Contractor) or with the Principal Designer (if a Designer) and other dutyholders to report any building safety incidents and risks, which should include: • Procedural arrangements that outline the process for reporting building • safety incidents and risks to other dutyholders • Emails, letters, or project management logs documenting reporting to other dutyholders	**Exemption if BS 99001** **Exemption if answered *no* to question 22 and do not intend to work on any projects regulated by the Building Regulations** **Exemption if did not indicate in question *23* that intend to work**

		• Meeting minutes showing discussions on building safety incidents and risks • Confirmation or acknowledgement from other dutyholders that the concern has been received and addressed https://www.legislation.gov.uk/uksi/2023/909/part/4	**on Higher-Risk Buildings** **Exemption if did not indicate in question *154* that you are a Contractor or Designer**

Section 8: Fairness, Inclusion and Respect (FIR)

Question Number	Question	Guidance	Information
159	Does your company have a Fairness, Inclusion and Respect (FIR) Policy?	Guidance can be found here: • https://www.gov.uk/guidance/equality-act-2010-guidance • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=7427 • https://www.acas.org.uk/equality-policy-template • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=426&modtype=url • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=3468&modtype=resource • https://diversity.sustainabilitytool.com/ • https://www.gov.uk/discrimination-your-rights Please answer *yes* or *no.* If *yes,* please upload a copy of your Fairness, Inclusion and Respect (FIR) or equivalent document(s). The policy or equivalent document(s), which may also be known as an Equality, Diversity and Inclusion (EDI) Policy should demonstrate the actions which the company has taken to meet the requirements of the equality duties in relation to the Equalities Act and how they ensure all people are treated fairly and equally so that no one group of people is treated less favourably than others. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide:	**Document:** Fairness, Inclusion and Respect (FIR) Policy

		• Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual.	
160	Does your company communicate its Fairness, Inclusion, and Respect (FIR) Policy to its workforce?	Guidance can be found here: • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=6998 • https://learn.supplychainschool.co.uk/local/resourcelib/catalogitem.php?id=5442 Please answer *yes* or *no*. If *yes,* please provide evidence, such as workforce inductions, workforce documentation or training, of how your company communicates your policy/ statement.	
161	Does your company have arrangements in place to ensure that FIR is embedded throughout your company and to promote good practice in terms of eliminating discrimination in all forms?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=2327&modtype=page Please answer *yes* or *no.* If *yes,* please upload a copy of your FIR Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual.	**Advisory** **Document:** FIR Policy

		Alternatively, you can provide copies of documents which confirm that arrangements are in place to ensure that FIR is embedded within the company and that the company is actively promoting good practice in terms of eliminating discrimination in all forms. This could include guidance to your workforce and sub-contractors concerning recruitment, training and promotion or other guidance you make available to the workforce, recognised trade unions or other representative groups.	
162	In the last three years, has your company: • Had any finding of unlawful discrimination made against it by any court, industrial or employment tribunal, or equivalent body • Been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination • Been found to be in breach of section 15 of the Immigration, Asylum and Nationality Act 2006 • Been found to be in breach of section 21 of the Immigration, Asylum and Nationality Act 2006 • Been found to be in breach of the National Minimum Wage Act 1998?	Please answer *yes* or *no.* If *yes*, please provide the following: • Details of the nature of the breach and any findings • Details/evidence of remedial action taken. Legislation: • https://www.legislation.gov.uk/ukpga/2006/13/section/15 • https://www.legislation.gov.uk/ukpga/2006/13/section/21 • https://www.legislation.gov.uk/ukpga/1998/39/contents	
163	Is your company's recruitment process inclusive and accessible?	Guidance can be found here: https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=598&modtype=scorm Please answer *yes* or *no.* If *yes*, please provide copies of any relevant advertisement or other literature, which confirms that the company actively promotes good practice in terms of eliminating discrimination in all forms through appropriate recruitment processes.	**Advisory**
164	Does your company ensure that your sub-contractors meet the equality duties under the Equality Act?	Guidance can be found here: • https://www.gov.uk/guidance/equality-act-2010-guidance • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=584&modtype=scorm	**Exemption if answered *no* to question *21* and do not employ sub-contractors**

		• https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=9515&modtype=scorm Please answer *yes* or *no.* If *yes*, please upload copies of relevant documents, which could include examples of questions you ask your supply chain, how you evaluate their responses to the questions, and what further information you provide to your supply chain on the Equality Act. If you are a micro-business, you may answer *N/A*. https://www.legislation.gov.uk/ukpga/2010/15/contents	**Advisory**

Section 9: Information Security

Question Number	Question	Guidance	Information
165	Does your company hold a valid BS EN ISO 27001 issued by a UKAS (or mutually recognised by UKAS) accredited certification body? *If yes, you do **not** need to complete questions 168 – 172*	Guidance can be found here: • https://www.iso.org/isoiec-27001-information-security.html • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=6077&modtype=scorm Please answer *yes* or *no*. • If *yes*, please provide a copy of your BS EN ISO 27001 certificate from a UKAS (or mutually recognised by UKAS) accredited certification body.	**Document:** ISO 27001 Certificate
166	Does your company have a Data Protection Officer or someone responsible for data protection?	Please provide details of the person who is your Data Protection Officer or has responsibility for data protection https://www.legislation.gov.uk/eur/2016/679/article/37	
167	Does your company have arrangements in place to report personal data breaches?	Further information can be found here: • https://ico.org.uk/for-organisations/report-a-breach/personal-data-breach/personal-data-breaches-a-guide/ Please answer *yes* or *no*. If *yes,* please provide further information on your arrangements which should include: • How the company identifies and records a personal data breach • Who is responsible for identifying, recording, reporting and handling personal data breaches • How the company handles any personal data breaches, including reporting to the ICO within 72 hours and anyone else affected • How staff are trained on potential personal data breaches and how to mitigate the risks	

		https://www.legislation.gov.uk/ukpga/2018/12/part/3/chapter/4/crossheading/obligations-relating-to-personal-data-breaches	
168	Does your company have a Data Protection Policy and Privacy Notice in place?	Guidance can be found here: https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/data-protection-principles/a-guide-to-the-data-protection-principles/ Please answer *yes* or *no*. If *yes,* please provide copies of your Data Protection Policy and Privacy Notice or equivalent document(s). The policy or equivalent document(s) should cover the company's programme to comply with GDPR, set out the responsibilities for handling sensitive material and data throughout the company, and the arrangements in place regarding IT data security. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may provide a written statement rather than a policy along with your Privacy Notice. https://www.legislation.gov.uk/eur/2016/679/chapter/III	**Exemption if ISO 27001 Certificate** **Document:** Data Protection Policy and Privacy Notice

169	Does your company have data protection procedures in place as required by the Data Protection Act?	Further information can be found here: • https://www.gov.uk/data-protection-your-business • https://ico.org.uk/for-organisations/uk-gdpr-guidance-and-resources/accountability-and-governance/data-protection-impact-assessments-dpias/what-is-a-dpia/ Please answer *yes* or *no*. If *yes*, please provide copies of your procedures which should include: • A Data Protection Impact Assessment to establish what measures the company needs • Documenting the personal data the company holds, where it came from and who it is shared with • Maintaining appropriate records and registers of data processing activities • How to ensure the rights of individuals, including handing subject access requests and requests for deletion of personal data https://www.legislation.gov.uk/ukpga/2018/12/contents	**Exemption if ISO 27001**
170	Does your company have a Cyber Security Policy?	Guidance can be found here: • https://www.ncsc.gov.uk/collection/incident-management/cyber-incident-response-processes • https://www.ncsc.gov.uk/collection/small-business-guidance--response-and-recovery • https://www.ncsc.gov.uk/collection/10-steps • https://learn.supplychainschool.co.uk/local/tlactionplans/resource_intro.php?id=6077&modtype=scorm Please answer *yes* or *no*. If *yes*, please provide a copy of your Cyber Security Policy or equivalent document(s). The policy or equivalent document(s) should set out the responsibilities for cyber security within the company including: • Incident response processes including backups of critical systems	**Exemption if ISO 27001** **Certificate** **Advisory** **Document:** Cyber Security Policy

		• How the company identifies what data and systems they manage as well as ensuring they engage proportionate security controls • Whether the company has logging capabilities • Guidance and threat assessments for home working. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. If you are a micro-business, you may provide a written statement rather than a policy.	
171	Does your company ensure that any sub-contractors it engages have their own cyber security arrangements in place?	Guidance can be found here: https://www.ncsc.gov.uk/blog-post/supplier-assurance-having-confidence-in-your-suppliers Please answer *yes* or *no*. 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 cyber security. If you are a micro-business, you may answer *N/A*.	**Exemption if ISO 27001 Certificate** **Exemption if answered no to question *21* and do not employ sub-contractors** **Advisory**

172	Does your company ensure that any sub-contractors it engages have their own Data Protection Policy and Privacy Notice?	Please answer *yes* or *no*. 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 cyber security. If you are a micro-business, you may answer *N/A*.	**Exemption if ISO 27001 Certificate** **Exemption if answered no to question *21* and do not employ sub-contractors** **Advisory**
173	Does your company hold a valid Cyber Essentials Certificate?	Guidance can be found here: • https://www.ncsc.gov.uk/cyberessentials/overview • https://iasme.co.uk/cyber-essentials/ Please answer *yes* or *no*. If *yes*, please provide a copy of your Cyber Essentials certificate.	**Advisory** **Document:** Cyber Essentials Certificate
174	Does your company hold a valid Cyber Essentials Plus Certificate?	Guidance can be found here: • https://www.ncsc.gov.uk/cyberessentials/overview • https://iasme.co.uk/cyber-essentials/#ceplus Please answer *yes* or *no*. If *yes*, please provide a copy of your Cyber Essentials Plus certificate.	**Advisory** **Document:** Cyber Essentials Plus Certificate

Section 10: Information Management (IM)

Question Number	Question	Guidance	Information
175	Does your company hold a valid BS EN ISO 19650-2 Certificate issued by a UKAS (or mutually recognised by UKAS) accredited certification body? *If yes, you do **not** need to complete questions 176 - 181*	If *yes*, please provide a copy of your BS EN ISO 19650-2 Certificate.	**Exemption if answered *no* to question *24* and do not undertake Information Management (IM) work** **Document:** BS EN ISO 19650-2
176	Does your company have policies and processes in place to control, authorise, approve and exchange information compliant with BS EN ISO 19650-2?	Please answer *yes* or *no*. If *yes,* please provide a copy of your IM Policy or equivalent document(s) The policy or equivalent document(s) should cover your documented processes for management, authorisation, approval and exchange of information, your process maps, your delivery and project teams, and one or two examples of how this is utilised across your company. The policy or equivalent document(s) should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company	**Exemption if BS EN ISO 19650-2** **Exemption if answered *no* to question *24* and do not undertake IM work** **Document:** IM Policy

		• A policy signed or approved by that delegated individual.	
177	If you act, or intend to act, as a Lead Appointed Party, does your company have the resources (people, processes and technologies) to undertake the Lead Appointed Party IM function as defined in BS EN ISO 19650-2?	Guidance can be found here: https://www.ukbimframework.org/wp-content/uploads/2021/02/Guidance-Part-A_The-information-management-function-and-resources_Edition-2.pdf Please answer *yes* or *no*. If *yes*, please provide a copy of your IM Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy should cover the company's resources to undertake the Lead Appointed Party IM function. Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. Alternatively, you can provide copies of relevant guidance, written statements or evidence of relevant actions.	**Exemption if BS EN ISO 19650-2** **Exemption if answered *no* to question *24* and do not undertake IM work** **Document:** IM Policy
178	Does your company have a team and structure in place to generate, approve, authorise and exchange information conforming to BS EN ISO 19650-2?	Please answer *yes* or *no*. If *yes*, please provide details of your relevant organisational structure and of your workforce carrying out IM delivery including: • Who is carrying out the different aspects of IM • Who will be generating or co-ordinating information • How these activities are integrated in the delivery team • Any accredited IM qualifications they hold.	**Exemption if BS EN ISO 19650-2** **Exemption if answered *no* to question *24* and do not undertake IM work**

179	Does your company have arrangements in place to provide your workforce with education and training about IM processes and requirements as defined in BS EN ISO 19650-1 and BS EN ISO 19650-2?	Please answer *yes* or *no*. If *yes,* please provide evidence, such as training manuals and training records, which shows that your company has in place, and implements, training to ensure that your workforce has sufficient skills and understanding to carry out their various duties in line with BS EN ISO 19650-1 and BS EN ISO 19650-2. This should include a programme of refresher training that will keep your workforce updated on relevant legal requirements and good IM practice.	**Exemption if BS EN ISO 19650-2** **Exemption if answered *no* to question *24* and do not undertake IM work**
180	Does your company commit to implementing the principles and procedures set out in the UK IM Framework, including BS EN ISO 19650-1 and BS EN ISO 19650-2, within your policies and processes?	Guidance can be found here: https://www.ukbimframework.org/standards/ Please answer *yes* or *no*. If *yes,* please provide a copy of your IM Policy which should be approved by the appropriate company Director and regularly reviewed (within the last 12 months). The policy should demonstrate how this interacts with and complements your processes. Where your company forms part of a wider group structure and operational authority has been formally delegated to a Managing Director through a documented Power of Attorney or equivalent governance arrangement, please provide: • Confirmation that the individual approving the policy has responsibility for the management and operation of the company • A policy signed or approved by that delegated individual. Alternatively, you can provide copies of other policies, written statements or evidence of relevant actions.	**Exemption if BS EN ISO 19650-2** **Exemption if answered *no* to question *24* and do not undertake IM work** **Document:** IM Policy

181	How has your company used the IM principles and procedures set out in BS EN ISO 19650-2 to add value to a project and to your business and to deliver benefits for your clients?	Please answer *yes* or *no*. If *yes*, please provide a summary of up to two examples that include an explanation of how people, processes and technologies were used to deliver benefits which may include: • Optimised whole life cost • Reduced greenhouse gas emissions • Reduced time to design and construct • Predictable asset operational performance.	**Exemption if BS EN ISO 19650-2** **Exemption if answered *no* to question *24* and do not undertake IM work**