



MEMBERSHIP AUDIT: CLASS \_\_\_\_\_

AUDITORS:

DATE OF AUDIT:

SIGNED:

CAPACITY:

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## Introduction

ARTSM requires its members to comply with its audit process.

Since many of our members are required to complete a format of PAS91 – Construction Prequalification Questionnaire – we have elected to adopt this as our audit document and we follow the conventions and rules as set out therein (see below). (Should you wish to review these they can be found at <https://shop.bsigroup.com/forms/PASs/PAS-91/PAS-91download/>)

If you have already completed such a process with another body, then ARTSM will accept this as part of their audit process.

BSI PAS 91 is a publicly available specification (PAS) that sets out the content, format and use of questions that are widely applicable to prequalification for construction tendering. The PAS sets out, not only the questions that are to be asked in a prequalification system claimed to be compliant with PAS 91, but also establishes rules for their application.

ARTSM will provide you with a copy of the completed document on request.

This questionnaire has been adapted in its entirety from PAS91:2013+A1:2017, published and issued by The British Standards Institution.

ARTSM have excluded questions from PAS91:2013 as follows :

4.3 – Public Sector Procurement (Tables 9 & 10)

4.4 – Defence and Security Contract Procurement (Tables 11 & 12)

ARTSM have added the following supplementary questions:

Table 1 C1:Q8:2 & C1:Q8:3

Table 5 O1:Q11 – Q13

Table 7 O3:Q7 – Q10

Table 8 S1:Q1 – S1:Q

If you already hold a completed SSIP registration then you will only be required to evidence these supplementary questions.

## Rules for the use of questions

### General application

Applications claimed to be compliant with this audit, shall:

**3.1.1.1** respond to all the (core) questions set out in **Tables 1 to 4** without modification of the individual questions, only permitting exemption as shown in the module Table;

**3.1.1.2** where the module topic is relevant, use (optional) question modules selected from **Tables 5 to 8**, asking all the questions included in the selected module(s) without modification and only permitting exemption as shown in the module Table;

**3.1.1.3** require from suppliers only documentary evidence that is related and proportionate to the application for membership of ARTSM

**NOTE** *The forms of evidence described in relation to the various questions are provided for guidance only.*

**Table 1 – Core Questions: Supplier identity, key roles and contact information**

Q Ref		Nature of information	Description of response expected, which will be taken into account in assessment	Response
C1-Q1		Name of legal entity or sole-trader	Unique name of legal entity or name of individual	
C1-Q2		Registered office Address	C1-Q2-1 Address line 1 (Property name/number)	
			C1-Q2-2 Address line 2	
			C1-Q2-3 Address line 3	
			C1-Q2-4 Town	
			C1-Q2-5 County	
			C1-Q2-6 Postcode	
		Website address	C1-Q2-7 website (if applicable)	
C1-Q3		Contact Details for Enquiries / trading address	C1-Q3-1 Title (Mr, Mrs, Ms, etc.)	
			C1-Q3-2 Forename	
			C1-Q3-3 Family name	
			C1-Q3-4 Job title	
			C1-Q3-5 e-mail	
			C1-Q3-6 Telephone number	
			C1-Q3-7 Fax number	
			C1-Q3-8 Address line 1 (Property name/number)	
			C1-Q3-9 Address line 2	
			C1-Q3-10 Address line 3	
			C1-Q3-11 Town	
			C1-Q3-12 County	
			C1-Q3-13 Postcode	
	Do you currently hold a SSIP or equivalent certificate		If yes, please provide all appropriate certificates	

C1-Q4	Registration number, if registered with Companies House or equivalent	C1-Q4-1 Registration number with Companies House	
		C1-Q4-2 Registration number with equivalent body	
C1-Q5	Charity registration number		
C1-Q6	VAT registration number		
C1-Q7	Name of immediate parent company		
C1-Q8:1	Name of ultimate parent company		
C1-Q8:2	Names of any subsidiary companies owned		
C1-Q8:3	DUNS Numbers (Dunn & Bradstreet)		
C1-Q9	Type of organisation	<i>e.g. PLC; limited company; LLP; other partnership; sole trader; other (please specify)</i>	
C1-Q10	Size of business	Are you a micro, a small, or a medium-sized enterprise <sup>(1)</sup> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
C1-Q11	Sheltered workshop/"social business"	C1-Q11-1 Is your organisation a sheltered workshop, a "social business" <sup>(3)</sup> or will it provide for the performance of the contract in the context of sheltered employment programmes?  IF YES  Please respond to C1-Q11-2 and C1-Q11-3 below	Yes <input type="checkbox"/> No <input type="checkbox"/>
		C1-Q11-2 What is the corresponding percentage of disabled or disadvantaged workers?	
		C1-Q11-3 Please specify which category or categories of disabled or disadvantaged workers the employees concerned belong to	

**Table 2 – Core Question: Financial information**

Q Ref	Information required	Description of information expected, which will be taken into account in assessment	Tick as applicable	Supplier's unique reference to relevant supporting information
<b>C2-Q1</b>	<i>Please select the one organisation description that most closely matches your organisation and provide information accordingly</i>			
	<b>C2-Q1-1 Financial information for a start-up business that has not reported accounts to the Inland Revenue or Companies House</b>	Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, or an alternative means of demonstrating financial status (See Note 2 to this Table)	<input type="checkbox"/>	N/A
	<b>C2-Q1-2 Accounts for an unincorporated business (sole traders and partnerships)</b>	Copy of the most recent accounts that contain turnover, profit before tax, and balance sheet (if prepared) covering the most recent two-year period of trading or. 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.	<input type="checkbox"/>	
	<b>C2-Q1-3 Accounts for a small company or limited liability partnership with a turnover below the audit threshold at which the preparation of audited accounts is not required</b>	Copy of the most recent accounts as submitted to the Inland Revenue covering the most recent two-year period of trading. Abbreviated accounts are not acceptable	<input type="checkbox"/>	
	<b>C2-Q1-4 Accounts for a medium to large incorporated entity and all other organisations that are required to prepare audited accounts</b>	Copy of the most recent audited accounts covering the most recent two-year period of trading.	<input type="checkbox"/>	
	<b>C2-Q1-5 Accounts for other organisation types (e.g. not for profit entities, local authorities, housing associations, charities)</b>	In most cases it is likely that audited accounts will have been prepared and the accounts required at C2-Q1-4 above will suffice. Where this is not the case, an unaudited copy of the most recent accounts as described in C2-Q1-2 above should be provided.	<input type="checkbox"/>	
<b>C2-Q2</b>	<b>Insurance statement and certificates</b>	<b>Please enter the requested information in the response column</b>	<b>Response</b>	
		<b>C2-Q2-1</b>	<b>C2-Q2-1-1 Policy No.</b>	

		<b>Employers' liability insurance</b>	<b>C2-Q2-1-2 Limit of indemnity</b>	
			<b>C2-Q2-1-3 Excess</b>	
			<b>C2-Q2-1-4 Limit for a single event</b>	
			<b>C2-Q2-1-5 Expiry date</b>	
		<b>C2-Q2-2 Public liability insurance</b>	<b>C2-Q2-2-1 Policy No.</b>	
			<b>C2-Q2-2-2 Limit of indemnity</b>	
			<b>C2-Q2-2-3 Excess</b>	
			<b>C2-Q2-2-4 Limit for a single event</b>	
			<b>C2-Q2-2-5 Expiry date</b>	
		<b>C2-Q2-3 Professional indemnity insurance</b> <i>(Where consultancy input involved)</i>	<b>C2-Q2-3-1 Policy No.</b>	
			<b>C2-Q2-3-2 Limit of indemnity</b>	
			<b>C2-Q2-3-3 Excess</b>	
			<b>C2-Q2-3-4 Expiry date</b>	
		<b>C2-Q2-4 Product liability insurance</b> <i>(Where product is to be supplied)</i>	<b>C2-Q2-4-1 Policy No.</b>	
			<b>C2-Q2-4-2 Limit of indemnity</b>	
			<b>C2-Q2-4-3 Excess</b>	
			<b>C2-Q2-4-4 Expiry date</b>	



**Table 3 – Core Questions: Business and professional standing**

Q Ref	Core question	Information required	YES	NO	Supplier's unique reference to relevant supporting information.
C3-Q1	Has your company or any of its Directors and/ or Executive Officers been the subject of criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, for which the outcome was a judgement against you or them?	Details of any such action.	<input type="checkbox"/>	<input type="checkbox"/>	
C3-Q2	If your company or any of its Directors and/ or Executive Officers are the subject of ongoing or pending criminal or civil court action (including for bankruptcy or insolvency) in respect of the business activities currently engaged in, have all claims been properly notified in accordance with relevant Insurance policy requirements and been accepted by the insurers?	Details of any such action, insurance notification requirements where relevant, and confirmation, with references, of relevant insurance notification and insurer acceptance.	<input type="checkbox"/>	<input type="checkbox"/>	
C3-Q3	Has your company or any of its Directors and/ or Executive Officers been in receipt of enforcement/remedial orders that are still unresolved (such as those in relation to Environment Agency or Office of Rail Regulation enforcement), in the last three years?	Details, including the status of the required action.	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 4 – Core Questions: Health and safety: policy and capability**

Q Ref	Exemptions and pertinent question selection	Exemption(s) Claimed	
	CDM – Construction Design Management	Please tick i and /or ii for C4-Q1-1a, b and /or c, as appropriate, and for i, also state the CDM duty holder role(s) for which exemption is claimed	Supplier's unique reference to certificates or other supporting information
<b>C4-Q1</b>	<p>In the circumstances set out in C4-Q1-1a) to C4-Q1-1c), if your organisation meets the relevant criteria in respect of exemption categories i) and/or ii) below:</p> <p>i. one or more of the following CDM duty holder roles: contractor, principal contractor, designer, principal designer;</p> <p>ii. general health and safety: policy and capability;</p> <p>and you can provide the supporting information to evidence this, the following exemptions apply:</p> <ul style="list-style-type: none"> <li>for an exemption under i) or ii) above: questions <b>C4-Q2 to C4-Q11</b> need not be completed</li> <li>for an exemption under i) above questions <b>C4-Q12 to C4-Q22</b> also need not be completed in respect of the role(s) identified.</li> </ul> <p>If you are not claiming an exemption, please move to question C4-Q2.</p> <p>However, if you are claiming exemption(s), but such exemption(s) does not cover all the categories/roles relevant to your application, please:</p> <ul style="list-style-type: none"> <li>complete questions C4-Q12 to C4-Q22 in respect of each relevant category/role not covered by an exemption; and</li> <li>provide any additional information required for C4-Q2 to C4-Q11 in respect of relevant categories/ roles that are not covered by an exemption.*</li> </ul> <p><i>NOTE *Additional information to that relevant to the exemption(s) claimed could be required to demonstrate satisfactory organisation and arrangements appropriate to the categories/roles not covered by such exemption(s).</i></p>		
	<b>Circumstances of exemption</b>		
	<b>C4-Q1-1a)</b> You have, within the last twelve months, successfully completed a prequalification application undertaken by an assessment provider able to demonstrate that its information gathering process is equivalent to that of PAS 91.	For i) <input type="checkbox"/> CDM duty holder role(s) claimed. ..... For ii) <input type="checkbox"/>	
	<b>C4-Q1-1b)</b> You have, within the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum	For i) <input type="checkbox"/> CDM duty holder role(s) claimed. ..... For ii) <input type="checkbox"/>	
	<b>C4-Q1-1c)</b> You hold a certificate of compliance with BS OHSAS 18001 (or equivalent) issued by a Conformity	For i) <input type="checkbox"/>	

	Assessment Body accredited to provide conformity assessment services to that standard, <sup>1</sup> e.g. accredited by UKAS.	CDM duty holder role(s) claimed. .....			
		For ii) <input type="checkbox"/>			
Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	Yes	No	Supplier's unique reference to relevant supporting information
C4-Q2	Are you able to show that you have a general policy and an organisation which is responsible for ensuring effective health and safety (H&S) management?	Evidence of periodically reviewed general H&S policy, signed and dated by a senior person within the organisation. The H&S policy should also contain the organisation and arrangements. These should be relevant to the anticipated nature and scale of activity to be undertaken, and set out responsibilities for H&S management at all levels in the organisation. <i>(Organisations with fewer than 5 employees, see Note 4 to this Table)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q3	Are you able to show your arrangements for ensuring that your H&S measures are effective in reducing/ preventing work-related incidents, occupational ill-health and accidents?	Details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken, and how these arrangements are communicated to workers. <i>(Organisations with fewer than 5 employees, see Note 4 to this Table)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q4	Do you have ready access to competent H&S advice/ assistance?	Evidence of how your organisation has ready access to competent H&S advice, for both general health and safety and, for CDM duty holders, construction-related health and safety.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q5	Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organisation is likely to undertake?	Evidence that your organisation implements relevant training arrangements to ensure that employees/other workforce have sufficient skills and understanding to discharge their various duties. This should include refresher training on relevant good H&S practice and, for CDM contractors and principal contractors, Construction Phase Plans (CPP) may be used to show how information is disseminated or communicated on-site (see note 5 to this Table).	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q6	Do your employees/other workforce have H&S and other relevant knowledge, experience and skills to carry out activities that your organisation is likely to undertake?	Evidence that your employees/other workforce have suitable knowledge, experience and skills for the activities assigned to them, unless there are specific situations where they need to work under competent control and/or supervision (e.g. apprentices and other trainees).	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>1</sup> In C4-Q1-1c), 'accredited' means having undergone third-party attestation by an organization that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multi-lateral agreements.

C4-Q7	Do you check, review and, where necessary, improve your H&S performance?	Evidence that your organisation has an effective, ongoing system for monitoring H&S procedures, and for periodically reviewing and updating that system as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q8	Do you have procedures for involving your employees/other workforce in the planning and implementation of H&S measures?	Evidence that your organisation implements a means of consulting with its employees/other workforce on H&S matters and how comments, concerns or complaints submitted by employees/other workforce are taken into account.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q9	Do you routinely record and review accidents/incidents and undertake follow-up action?	Evidence that your organisation maintains records of all RIDDOR-reportable (see note 6 to this Table) and other incidents for at least the last three years. Evidence that your organisation has an effective system for reviewing significant incidents, and recording any resulting action taken (including your response to any H&S enforcement activity).	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q10	Do you have arrangements for ensuring that your suppliers also apply H&S measures that are appropriate to the activities that your organisation is likely to undertake?	Evidence that your organisation implements arrangements for ensuring and monitoring H&S skills, knowledge and experience, and performance, throughout your entire supply chain, appropriate to the work likely to be undertaken.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q11	Do you operate a process of risk assessment, capable of supporting safe systems of work?	Evidence that your organisation implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work ("method statements"). Please provide indicative examples, which must include: the identification and control of any significant occupational health (not just safety) issues, appropriate to the work likely to be undertaken. ( <i>Organisations with fewer than 5 employees, see Note 4 to this Table</i> ) <b>NOTE</b> Risk assessments should focus on, and be proportionate to, the risks arising from the type of work to be undertaken. The need to reduce documentation requirements on micro-businesses in particular should be taken into account.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q12	<b>CDM duty holder related question selection:</b> The questions asked in <b>C4-Q13 to C4-Q22</b> (in conjunction with questions C4-Q2 to C4-Q11) are appropriate for particular construction duties and have been colour coded accordingly to assist identification. Please indicate below which duty (or duties) best describes your organisation's activity and then only provide responses to the questions colour coded to the duty (or duties) you have selected.  <b>NOTE</b> The questions refer to duty holders under the Construction (Design and Management) Regulations 2015, which defines the scope of "construction" activity. If your organisation potentially fills more than one role (e.g. "Design and Build"), please provide responses to the questions applying to all relevant duty holder roles (e.g. Designer and Principal Contractor)				

CDM DUTY HOLDER ROLE(S) IDENTIFIED <i>Please respond "yes" or "no" to each role identified below</i> NOTE 1 If none of the duty holder roles identified below are relevant, you do not need to respond to any of questions C4-Q13 to C4-Q22 NOTE 2 Principal contractors will also need to respond to questions applicable to contractors, and principal designers will also need to respond to questions applicable to designers					
Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
	<b>C4-Q12-a) Contractor/principal contractor (respond to grey shaded questions C4-Q13 to C4-Q16)</b>		<input type="checkbox"/>	<input type="checkbox"/>	None required
	<b>C4-Q12-b) Principal contractor (in addition to C4-Q13 to C4-Q16 also respond to yellow shaded question C4-Q17)</b>		<input type="checkbox"/>	<input type="checkbox"/>	
	<b>C4-Q12-c) Designer/ principal designer (respond to red shaded questions C4-Q18 to C4-Q19)</b>		<input type="checkbox"/>	<input type="checkbox"/>	
	<b>C4-Q12-d) Principal designer (in addition to C4-Q18 to C4-Q19 also respond to green shaded questions C4-Q20 to C4-Q22)</b>		<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q13</b> Contract or/principal contractor	<b>Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?</b>	Describe how co-operation and co-ordination of the work is achieved in practice, and how any other organisations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q14</b> Contract or/principal contractor	<b>Do you have arrangements for ensuring on-site welfare for your employees/other workforce?</b>	Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided by a site-specific arrangement with others, or your own measures. This may include CPPs.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q15</b> Contract or/principal contractor	<b>Are you able to provide evidence of the skills, knowledge and experience of H&amp;S in construction in your organisation?</b>	Examples of actual knowledge, skills and experience within your organisation. This may include: NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g. provided in a skills matrix for key personnel)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q16</b> Contract or/principal contractor	<b>Do you review and develop your effectiveness in the contractor/principal contractor role?</b>	Evidence that your organisation Implements an ongoing system for monitoring performance, including post-project review.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q17</b> Principal contractor	<b>Do you implement arrangements to meet the 'principal contractor' duties under the Construction (Design and Management) Regulations 2015?</b>	Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organisation meets the requirements of principal	<input type="checkbox"/>	<input type="checkbox"/>	

		<p>contractor. In particular, provide evidence of how you:</p> <p><b>C4-Q17-1</b> Plan, manage, monitor and coordinate H&amp;S in the construction phase, including communication with the client, principal designer and contractors;</p> <p><b>C4-Q17-2</b> Prepare, review and maintain CPPs;</p> <p><b>C4-Q17-3</b> Organize co-operation between contractors and others, and coordinate the work;</p> <p><b>C4-Q17-4</b> Ensure relevant and suitable site inductions;</p> <p><b>C4-Q17-5</b> Provide information for the H&amp;S file.</p>			
<b>C4-Q18</b> Designer/ principal designer	<b>Do you implement arrangements to meet the 'designer' duties under the Construction (Design and Management) Regulations 2015?</b>	<p>Evidence showing how you address <b>C4-Q18-1</b> to <b>C4-Q18-4</b> below. Provide relevant examples showing how risk was reduced through design.</p> <p><b>NOTE</b> <i>Emphasis should be on practical, proportionate measures that address significant risks arising from designs for relevant construction, not on lengthy documentation about generic risks.</i></p> <p><b>C4-Q18-1</b> Check that the client is aware of their duties</p> <p><b>C4-Q18-2</b> Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015?</p> <p>Provide relevant evidence of:</p> <ul style="list-style-type: none"> <li>• your CPD programme and/or examples of training and development plans (which may include in-house training).</li> <li>• your relevant qualifications, e.g. membership of a professional institution such as CIAT; CIBSE; ICE or RIBA.</li> <li>• how you maintain your technical knowledge and understanding of construction design.</li> </ul> <p><b>C4-Q18-3</b> Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use).</p> <p><b>C4-Q18-4</b> Effectively manage design changes, with regard to ensuring H&amp;S during and post-completion.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q19</b> Designer /principal designer	<b>Do you review and monitor your design performance, notably in relation to H&amp;S?</b>	<p>Evidence that your organisation implements an ongoing system for monitoring H&amp;S design procedures and for reviewing and updating that system as necessary, e.g. through</p>	<input type="checkbox"/>	<input type="checkbox"/>	

		project design review (during and post-completion).			
<b>C4-Q20</b> Principal Designer	<b>Do you implement arrangements to meet the “principal designer” duties under the Construction (Design and Management) Regulations 2015?</b>	Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organisation meets the requirements of principal designer. In particular, evidence of how you: <b>C4–Q20-1</b> Help the client to meet its duties under CDM 2015 <b>C4–Q20-2</b> Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase <b>C4–Q20-3</b> Plan, manage and monitor health and safety-related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling foreseeable risks; <b>C4–Q20-4</b> Ensure designers carry out their duties, including oversight and co-ordination within the design team and with other designers/contractors; <b>C4–Q20-5</b> Liaise with the principal contractor; <b>C4–Q20-6</b> Prepare and provide relevant information to other duty holders, including the H&S file.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q21</b> Principal designer	<b>Are you able to provide evidence of the skills, knowledge and experience of H&amp;S in construction in your organisation?</b>	Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications. <i>For example, a member of the registers administered by the Association for Project Safety or the Institution of Construction Safety (formerly known as the CDM co-ordinator’s register), or the ICE construction health and safety register.</i>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>C4-Q22</b> Principal designer	<b>Do you review and develop your effectiveness in the principal designer role?</b>	Evidence that your organisation implements, an ongoing system for monitoring performance, including post-project review.	<input type="checkbox"/>	<input type="checkbox"/>	

#### NOTES TO TABLE 4

**NOTE 1** Assessors should not request unnecessary paperwork and may not necessarily require evidence of all the examples in column 3 of Table 4. Suppliers (including contractors, consultants and others) should only be required to produce enough evidence to show that they meet the relevant criteria, taking account of the nature of activities/projects likely to be involved, and the hazards and risks. This requires assessors to make a judgement as to whether the evidence provided meets the standard to be achieved. If that judgement is reasonable, and clearly based on the evidence requested, assessors cannot be criticised if the supplier they appoint subsequently proves not to have the necessary capability (essential knowledge, skills and experience) when carrying out the activity.

**NOTE 2** For suppliers that will be CDM duty holders - The core questions in Table 4 align with legal requirements on the relevant duty holder under the Construction (Design and Management) Regulations (CDM 2015).

**NOTE 3** For suppliers that will be CDM duty holders - Asking the questions in Table 4 does not remove the buyer’s requirement to make further enquiries about the supplier’s H&S capability, as required for specific projects, services or other activities.

**Stage 1:** An assessment of the supplier's organisation and arrangements for H&S, to determine whether these are sufficient to enable the supplier to carry out the activity safely and without risk to health. Stage 1 assessments assess the general (basic) capability of the supplier and are within the scope of PAS 91.

**Stage 2:** Stage 2 assessments are outside the scope of PAS 91\*. They involve an additional assessment of the supplier's experience, technical capability and track record, to establish that: it is capable of carrying out the actual construction activity/project required (i.e. project, activity or service-specific enquiries), and notably in relation to higher hazard activity; that the supplier recognizes any limitations and how these should be overcome; and appreciates the hazards associated with the activity and how the risk should be effectively controlled.

\*Stage 2 assessments follow Stage 1 enquiries and they should not therefore be asked in relation to PAS 91 (although in the public sector only, stage 2 questions relating to previous experience will be asked in the prequalification questionnaire - if required by law).

**NOTE 4** If a supplier has fewer than five employees it is not legally required to write down its general policy, organisation or arrangements. However, it does need to be able to show that its arrangements are adequate in relation to the type of activity likely to be undertaken.

**NOTE 5** Relevant and proportionate CPPs are required for 'construction work' covered by CDM 2015. CPPs need only be proportionate to the nature of the activity likely to be undertaken.

**NOTE 6** RIDDOR: The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.



**Table 5 – Questions: Equal opportunity and diversity policy and capability**

Q Ref.	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O1-Q1	<p><b>As an employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010?</b></p> <p><i>Note This applies to both public and private procurement</i></p>	<p>In respect of <b>O1-Q1</b>, copies of:</p> <p><b>O1-Q1-1</b> relevant instructions or written statement/evidence of relevant actions</p> <p><b>O1-Q1-2</b> relevant guidance or written statement/evidence of relevant actions</p> <p><b>O1-Q1-3</b> relevant policies/literature or written statement/evidence of relevant actions</p> <p><b>O1-Q1-4</b> evidence of where you believe these policies have made a difference</p>	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q2	<p><b>Is it your policy as an employer to comply with anti-discrimination legislation, and to treat all people fairly and equally so that no one group of people is treated less favourably than others?</b></p>	No supporting evidence required	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q3	<p><b>In the last three years has any finding of unlawful discrimination been made against your organisation by any court or industrial or employment tribunal or equivalent body?</b></p>	Details of any findings	<input type="checkbox"/>	<input type="checkbox"/>	
O1-Q4	<p><b>In the last three years, has your organisation been subject to a compliance action by the Equality and Human Rights Commission or an equivalent body on grounds of alleged unlawful discrimination?</b></p>	Details of any investigations	<input type="checkbox"/>	<input type="checkbox"/>	

<b>O1-Q5</b>	In the last three years, has your organisation been found in breach of section 15 of the Immigration, Asylum and Nationality Act 2006?	Details of any findings	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O1-Q6</b>	In the last three years, has your organisation been found in breach of section 21 of the Immigration, Asylum and Nationality Act 2006?	Details of any findings	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O1-Q7</b>	In the last three years, has your organisation been found to be in breach of the National Minimum Wage Act 1998?	Details of any findings	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O1-Q8</b>	If the answer to any of questions 3 to 7 is “yes”, what steps did your organisation take as a result of that finding or investigation?	Details/evidence of remedial action			
<b>O1-Q9</b>	Does your organisation operate appropriate arrangements to ensure that equality and diversity is embedded within your organisation?	Provide copies of any relevant policies or written statement/evidence of relevant actions	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O1-Q10</b>	<p>Do you actively promote good practice in terms of eliminating discrimination in all forms through:</p> <p><b>O1-Q10-1</b> guidance to your employees/suppliers concerned with recruitment, training and promotion?</p> <p><b>O1-Q10-2</b> making guidance or policy documents concerning how the organisation embeds equality and diversity available to employees/sub-contractors, recognized trade unions or other representative groups of employees?</p> <p><b>O1-Q10-3</b> appropriate recruitment advertisements or other literature?</p>	<p>In respect of <b>O1-Q10-1</b> copies of any relevant guidance or written statement/evidence of relevant actions.</p> <p>In respect of <b>O1-Q10-2</b>, copies of any relevant guidance, policies, or written statement/evidence of relevant actions.</p> <p>In respect of <b>O1-Q10-3</b>, copies of any relevant advertisement or written statement/evidence of relevant actions.</p>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>	

<b>O1-Q11</b>	<b>Do you conduct due diligence in relation to anti slavery laws both in your own company and with your suppliers and contractors?</b>	Policies and checks undertaken			
<b>O1-Q12</b>	<b>Do you conduct due diligence in relation to anti bribery laws both in your own company and with your suppliers and contractors?</b>	Policies and checks undertaken			
<b>O1-Q13</b>	<b>Do you ensure you comply with gender pay gap reporting rules?</b>	Statements and report dates (applicable to businesses with 250 or more employees)			

**Table 6 – Questions: Environmental management policy and capability**

Q Ref	Exemption	Exemption claimed	If exemption claimed, supplier's unique reference to certificates or other supporting information		
O2-Q1	The questions in this module need not be completed if your organisation holds a certificate of compliance with BS EN ISO 14001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard <sup>2</sup> , e.g. accredited by UKAS, or you have a valid EMAS certificate, and can provide information to evidence this.	Yes <input type="checkbox"/> No <input type="checkbox"/>			
Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O2-Q2	<b>Do you have a documented policy and organisation for the management of construction-related environmental issues?</b>	Evidence that you or your organisation has an environmental management policy authorised by the chief executive or equivalent that is regularly reviewed. The policy should be relevant to the nature and scale of the activity and set out the responsibilities for environmental management throughout the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q3	<b>Do you have documented arrangements for ensuring that your environmental management procedures are effective in reducing/preventing significant impacts on the environment?</b>	Evidence that your organisation's environmental policy implementation plan provides information as to how the company aims to discharge relevant legal responsibilities and provides clear indication of how these arrangements are communicated to employees/other workforce, in relation to environmental matters including: <ul style="list-style-type: none"> <li>• sustainable materials procurement;</li> <li>• waste management;</li> <li>• energy management.</li> </ul> This should include the arrangements for responding to, monitoring and recording environmental incidents, emergencies and complaints.	<input type="checkbox"/>	<input type="checkbox"/>	
O2-Q4	<b>Do you have arrangements for providing employees who will engage in construction, with</b>	Evidence that your organisation has in place, and implements, training arrangements	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>2</sup> In O2-Q,1 accredited means having undergone third-party attestation by an organization that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multi-lateral agreements.

	<b>training and information on construction-related environmental issues?</b>	to ensure that its workforce has sufficient skills and understanding to carry out their various duties. This should include a programme of refresher training that will keep employees/other workforce updated on relevant legal requirements and good environmental management practice.			
<b>O2-Q5</b>	<b>Do you check, review and where necessary improve your environmental management performance?</b>	Evidence that your organisation has a system for monitoring environmental management procedures on an ongoing basis and for updating them at periodic interval.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O2-Q6</b>	<b>Do you have arrangements for ensuring that any suppliers you engage apply environmental protection measures that are appropriate to the activity for which they are being engaged?</b>	Evidence that your organisation has procedures for monitoring supplier's environmental management arrangements and ensuring that environmental performance appropriate for the activity to be undertaken is delivered throughout the whole of your organisations supply chain.	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 7 – Questions: Quality management policy and capability**

Q Ref	Exemption	Exemption claimed	If exemption claimed, supplier's unique reference to certificates or other supporting information		
O3-Q1	The questions <b>O3-Q2</b> to <b>O3-Q6</b> , need not be completed if your organisation holds a certificate of compliance with BS EN ISO 9001(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard <sup>3</sup> e.g. accredited by UKAS, and can provide information to evidence this.	Yes <input type="checkbox"/>			
		No <input type="checkbox"/>			
Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
O3-Q2	<b>Do you have a policy and organisation for quality management?</b>	Evidence that your organisation has and implements a quality management policy that is authorised by the chief executive or equivalent that is periodically reviewed at a senior management level. The policy should be relevant to the nature and scale of the work to be undertaken and set out responsibilities for quality management throughout the organisation.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q3	<b>Do you have arrangements for ensuring that your quality management, including the quality of construction output and general performance, is effective in reducing/preventing incidents of sub-standard delivery?</b>	Evidence that your organisation keeps copies of documentation setting out quality management organisation and procedures that meet currently agreed good practice. These should include the arrangements for quality management throughout the organisation. They should set out how the company will carry out its policy, with a clear indication of how the arrangements are communicated to employees/other workforce.	<input type="checkbox"/>	<input type="checkbox"/>	
O3-Q4	<b>Do you have arrangements for providing your workforce with quality-related training and information appropriate to the type of work for which your organisation is likely to bid?</b>	Evidence that your organisation has in place and implements, training arrangements to ensure that its employees/otherworkforce has sufficient skills and understanding to discharge their various responsibilities. These arrangements should include a programme of training that will keep employees/other workforce up to date with required knowledge about quality related issues, including copies of job	<input type="checkbox"/>	<input type="checkbox"/>	

<sup>3</sup> In **O3-Q1** accredited means having undergone third-party attestation by an organization that is a signatory to either or both of the European Accreditation or International Accreditation Forum, multi-lateral agreements.

		profiles; training manuals and training records.			
<b>O3-Q5</b>	<b>Do you have procedures for periodically reviewing, correcting and improving quality performance?</b>	Evidence that your organisation has a system for monitoring quality management procedures on an on-going basis. Your organisation should be able to provide evidence of systematic, periodic review and improvement of quality in respect of construction output and general performance.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O3-Q6</b>	<b>Do you have arrangements for ensuring that your own suppliers apply quality management measures that are appropriate to the work for which they are being engaged?</b>	Evidence that your organisation has arrangements for monitoring supplier's quality management arrangements and ensuring that quality performance appropriate for the work to be undertaken is delivered throughout the whole of your organisations supply chain.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O3-Q7</b>	<b>Do you have a GDPR registration with ICO</b>	Evidence of registration – certificate or registration number			
<b>O3-Q8</b>	<b>Please identify which BS EN standards relate to your business</b>				
<b>O3-Q9</b>	<b>Are you registered with National Highways Sector Schemes</b>	Certification and identify of each scheme			
<b>O3-Q10</b>	<b>Are you or you company members of any other Trade Associations or professional bodies</b>	Identify which ones			
<b>O3-Q11</b>	<b>Do you sit on any notified body committees</b>	Which ones.			

Standards which may be relevant	
BS EN 1317	Compliant Road Restraint Systems (Barriers)
BS EN 12899	Fixed Vertical Road Traffic Signs
BS 8442	Miscellaneous portable signs, self righting bollards, crossings
BS EN 12368	Traffic control equipment – signal heads
BS EN 12675	Traffic signal controllers – functional safety
BS EN 12767	Passive safety of support structures for road equipment
BS EN 13422	Portable devices delineators signs cones and cylinders
BS EN 50556	Road Traffic Signal Systems

**Table 8 – Questions: Building information modelling (BIM), policy and capability**

**NOTE** This will be used for UK Government procured projects for Departments that have commenced implementation of the BIM Strategy and may be used by other clients adopting a similar path.

Q Ref	Exemptions	Exemption claimed	If exemption claimed, supplier's unique reference to certificates or other supporting information		
<b>O4-Q1</b>	<p>The questions <b>O4-Q2</b> to <b>O4-Q5</b> need not be completed if your organisation holds a third-party certificate of compliance with PAS 1192-2:2013 *(or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard<sup>4</sup> e.g. accredited by UKAS, and can provide information to evidence this.</p> <p><b>NOTE</b> Such accrediting organisations will be required to have specialized design management competences</p> <p><i>*updated version expected November 2017.</i></p>	<p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p>			
Q Ref	Question	Description of information in support of response, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
<b>O4-Q2</b>	<b>Do you have the capability of working with a project using a "Common Data Environment" as described in PAS 1192-2:2013?</b>	Evidence that your organisation understands the concept of a "Common Data Environment" as described in PAS 1192-2:2013 and is able to exchange information between supply chain members in an efficient and collaborative manner. If you have delivered a project in this way, you may use this to demonstrate your capability. Your explanation should be clear and concise.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O4-Q3</b>	<b>Do you have documented policy, systems and procedures to achieve "Level 2 BIM" maturity as defined in the government's BIM Strategy?</b> (see note to this Table)	Evidence that you or your organisation has a policy authorised by the chief executive or equivalent, that is regularly reviewed. The policy and procedures should be relevant to the nature and scale of the work to be undertaken.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>O4-Q4</b>	<b>Do you have the capability of developing and delivering or working to (depending upon the role(s) that this PQQ covers) a BIM Execution Plan (BEP) as described in PAS 1192-2:2013?</b>	Evidence that your organisation understands the requirements of PAS 1192-2:2013, in particular with respect to BEP. This will include how to create reliable information and exchange it between supply chain members in an efficient and collaborative manner, and where appropriate, to the client, in the form specified (e.g. in accordance with the COBie UK 2012 standard and other typical client's	<input type="checkbox"/>	<input type="checkbox"/>	



		information requirements). If you have delivered a project in this way, you may present an example BEP.			
<b>O4-Q5</b>	<b>Do you have arrangements for training employees in BIM-related skills and do you assess their capabilities?</b>	<p>Evidence that your organisation has in place training arrangements to ensure that its staff/workforce have sufficient skills and understanding to implement and deliver projects in accordance with the policy and procedures established to achieve "Level 2 BIM" maturity. Completed Construction Project Information Exchange (CPIx) templates referred to in the Project Implementation Plan (PIP), part of the BEP defined in PAS 1192-2:2013 would be considered.</p> <p>If this PQQ is for the first such project that you have considered undertaking, a training plan and evidence of how prior training outcomes in other areas have been assessed, would be considered.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p><b>NOTE</b> Level 2 BIM describes a specific range of BIM capabilities (see PAS 1192-2:2013) These involve developing and sharing 3D construction project-related data, via an electronic "BIM environment", with others involved in a project. This includes an as-built "Data Drop" for use by the Client. The electronic BIM environment allows design models (digital objects and supporting information about these objects) to be shared. Each model requires platform software and a database of object information.</p>					