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One Day Audit Protocol

Manufacturer

Version: 2.5

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Preface

This document contains the Core Audit Module by which BuildingConfidence members will measure their supply chain. The principle constituents of this process are the verification and assessment of the management systems used by the supply chain; looking at both the quality and applicability of these systems.

The Core Audit Module is intended to verify information submitted at the prequalification (PQQ) stage and to assess additional areas of compliance. Auditors and auditees will be required to familiarise themselves with the information supplied at the prequalification stage prior to the audit commencing.

Please note that all text in green is either new or revised as part of the reissue process of the protocol.

Compliance with Legislation & CDM Regulations

Please note that questions marked with an “L” denote there is a legislative compliance requirement supporting all or part of the question. Questions marked with a “CDM” denote there is a specific requirement against the Construction (Design and Management) Regulations. Questions without legislative or specific CDM requirements are left blank

CDM	Legislative requirement against the CDM Regulations
L	Legislative requirement other than the CDM Regulations

Auditor application of the guidance notes

The bullet-pointed guidance notes are provided to assist auditor and auditee to provide consistency across the scheme. The auditor may apply whichever of these points they see fit to assure themselves that the suitable controls are in place for the activity of the organisation being audited.

Each question has been assigned a unique identifying number; e.g. MC.1.1 = MC (audit section).1 (audit question).1 (audit question guidance). Therefore, the numbering may not appear in order or consecutive

PAS 91 Compliance and alignment

This protocol has been reviewed to ensure that it at least aligns with the requirements of PAS91; Organisations accredited to the BuildingConfidence standard can have confidence that they are also aligned with these principles.

Assessment Requirements

1. Management Controls

1.1 (MC.1.1) - What is the Organisation's capability and geographical area of operation?

Please note that this is a scoping question to assist the audit to collate information for Introductions and assess accuracy against the Pre-Qualifying Questionnaire

Guidance:

- *Company House / Charity Registration numbers to be included within the scope of the audit.*
- *The type of activities to be audited.*
- *What do you consider to be your standard and specialist areas of expertise*
- *What is the geographical scope of the Organisation*
- *The geographical locations to be included within the scope*
- *What are size, number of personnel and types of facility to be included within the scope*
- *Does the same management system operate across all its offices within the scope of the audit?*
- *Does the Organisation work on construction works sites*
- *What activities under the Construction (Design and Management) Regulations (CDM) do they undertake? (if applicable)*
- *Does the Organisation:*
 1. *Assume the responsibilities of Designer under the CDM Regulations*
 2. *Undertake Permanent Design responsibility but utilises third parties for design delivery*
 3. *Provide small scale design solutions via CDP packages*
 4. *Provide temporary works design*
 5. *Work to drawings provided by Principal Contractors/Designers*
- *Have there been any changes since the PQQ was submitted?*
- *Are the insurance levels unaltered and up to date?*
- *Are there any limitations identified within the insurance?*
- *Is the Organisation working or seeking to work for the nuclear/ defence industries?*

1.2 (MC.2.1) How does the Organisation issue and control its company policies? L

Guidance:

- *The following Policies have been published (where applicable):*
 1. *Health & Safety*
 2. *Environment*
 3. *Quality*
 4. *Sustainable Timber Procurement Policy*
 5. *Equal Opportunities Policy*
 6. *Anti-Bribery, Corruption, Fraud and Malpractice Policy*
 7. *Ethical Code of Conduct or Policy (Corporate Social Responsibility)*
 8. *'Worksafe' Policy – right to refuse to work under health & safety concerns*
 9. *Security Policy for permanent and peripatetic sites*
- *What is the process for reviewing policies and who is involved in the review?*
- *Are the HSEQ and Sustainable Timber (where applicable) Policies reviewed annually?*
- *Are they signed by the Senior Manager responsible for that area?*
- *Does the Health & Safety Policy state that Health & Safety should never be compromised for other objectives?*
- *Do the HSEQ policies include a statement on continual improvement?*
- *Where the policies are displayed (incl. websites)?*
- *Are the policies briefed to personnel?*

1.3 (MC.4.1) How does the Organisation clarify its management structure and responsibilities? L

Guidance:

- *Is the management structure defined*
- *Job descriptions and deputising arrangements defined (SQEP roles, if applicable)*
- *If there are different structures on projects how this relates to the overall hierarchy. (if applicable)*
- *Are there designated responsibilities for the following:*
 1. *Health & safety*
 2. *Occupational health*
 3. *Accident reporting under RIDDOR*
 4. *Quality (incl. Quality Control)*
 5. *Environment and sustainability*
 6. *Compliance with the CDM Regulations (if applicable)*
 7. *Design (including temporary works)*
 8. *Compliance with anti-bribery and corruption law and policies*
 9. *Training & competence*
 10. *Supply chain*
 11. *Corporate social responsibility*
 12. *Business continuity and emergency planning (incl. Fire)*
 13. *Facilities management*
 14. *Workplace security*
- *Project Level Requirements (if applicable):*
 1. *Fire Safety*
 2. *Supply Chain Management*
 3. *Delivery of temporary works*
 4. *Site Security and emergency planning (if different from above)*
 5. *Accident Reporting under RIDDOR (if different from above)*

1.4 (MC.5.2) How does the Organisation assure itself and its clients that it has control of its activities? L

Guidance:

- *Does the organisation have arrangements to control the following:*
 1. *Health & safety*
 2. *Quality*
 3. *Environment*
 4. *Training and competence*
- (e.g. Policy, Risk and Impact Assessments, Procedures, Aspects & Impacts Register, Register of Legislation etc.)*
- *Are there controls to manage contractual issues with the client and supply chain*
 - *Does the Organisation have written standard operating procedures*
 - *Does the Organisation have processes in place to deliver/manage design, including temporary works (if applicable)*

External Accreditation

- *Preferable - Are Management Systems certified to ISO/OHSAS standards by a UKAS-accredited body?*
- *Certified to Chain of Custody or other scheme certifications? (if applicable)*
- *Has the Organisation received any awards in the previous 12 months?*

1.5 (MC.7.1) How does the Organisation control its documents? L

Guidance:

- *The organisation has a Document Control Procedure that identifies the key documents requiring control, How documents are reviewed and changes identified.*
- 1. *How documents are issued and reach their point of use; in particular multi-site operations.*
- 2. *There is a process for identifying documentation with expiry dates*
- 3. *The process for cancelled and superseded documentation.*
- 4. *Archiving processes*
- 5. *A master list of controlled documents and their status is maintained.*
- *How does the Organisation ensure that records and associated documentation is maintained, available for verification, yet secure?*
- *Process to ensure that client document issue/ handover requirements are met*

1.6 (MC.8.1) How does the Organisation monitor its performance? L

Guidance:

- *How is health & safety, environmental and quality performance formally monitored and reviewed?*
- *How does the Organisation ensure that it is meeting its contractual and programme delivery requirements*
- *How is progress against objectives and targets communicated both internally and externally?*
- *Does the Organisation produce and analyse accident and incident Statistics?*
- *Does the organisation produce regular reports detailing accidents, incidents and dangerous occurrences statistics? Are these reports available?*
- *Does the Organisation have evidence of lessons learned being used for improvement of processes?*
- *Does the Organisation undertake staff satisfaction surveys?*
- *Does the Organisation review the levels and potential causes of staff turnover/ sickness absence?*

KPI's

- *Does the Organisation monitor their performance against set Key Performance Indicators (KPI's), such as: (as applicable)*
- 1. *client satisfaction*
- 2. *ecological*
- 3. *Community*
- 4. *economic*
- 5. *sustainability (material, water, energy use and embodied carbon)*
- 6. *waste arising*
- *Do the Organisation's KPI scopes include offices and/or peripatetic sites (if applicable)?*
- *Has the Organisation based its KPI objectives on the best practice (ISO supporting information, Constructing Excellence advice)*
- *Does the Organisation use recognised levels of performance BREEAM, Carbon Buzz, WRAP's Halving Waste to Landfill Commitment etc.)*
- *Does the Organisation have evidence of corrective action in response to performance indicators not being met?*

Internal Audit

- *That the management systems are assessed internally on a regular basis by objective, competent personnel.*
- *That a documented audit schedule is prepared.*
- *That internal audit reports are available.*
- *That corrective actions raised through the internal audit process are reviewed by management and that the Organisation has a managed process for the control of corrective actions.*
- *Auditor to check whether there has been any demonstrated improvements*

2. Legislation and Other Requirements Compliance

2.1 (LC.1.1) How does the Organisation ensure that it is: L

- a) Aware existing legislation relevant to its activities
- b) Aware of proposed changes to/ new legislation?

Guidance:

- *How the organisation accesses and reviews legislation and regulations, including:*
 1. Health & Safety
 2. Environment (including waste)
 3. Employment Law
 4. Anti-bribery and corruption law
 5. Competition Law
- *Does the Organisation have a mechanism to maintain a register of applicable Legislation?*
Auditor Note: record the methodology used and how changes are dealt with & managed. This should include frequency of review.
- *If consultants are used, how does the outside party communicate requirements/ changes?*
- *Has the Organisation been prosecuted (or had notices issued) within the last five years for either a health & safety or an environmental offence?*
- *Have any statutory bodies made any written allegations or complaints within the last five years that your organisation may have infringed Competition Law and which have led to an internal enquiry or investigation?*
- *Has the Organisation (or any of its directors, senior officers or senior managers) been investigated, prosecuted, convicted, or been the subject of other enforcement action taken within the last five years for bribery or corruption offences?*
- *Has the Organisation entered into any kind of civil settlement within the last five years with regulatory authorities in relation to acts of acts of bribery and corruption*
- *Does the Organisation have the processes in place to comply with Waste Legislation (SWMP, Duty of Care, Waste Transfer Licenses and consignment notes, European Waste Coding)*
- *Assess compliance with IPPC processes (if applicable).*

2.2 (LC.5.1) How does the Organisation identify and control its risks/impacts and opportunities? L

Guidance:

- *That the production of health & safety risk (incl. occupational health) and environmental impact assessments are formally documented within the Organisation's management system.*
- *Does the Organisation retain a register of its environmental aspects and impacts appropriate to the scope of its services/products*
- *The responsibility for compiling and authorising the risk/impact assessments.*
- *Defined the minimum competency for personnel authorised to compile risk/aspect assessments*
- *Whether risk/aspect assessments are generic to the Organisation's scope of operations or unique to each particular contract.*
- *Are assessments of a safe working environment supported by temporary works made, even if they are not the direct responsibility of the contractor.*
- *How the Organisation ensures that all applicable site issues are incorporated into the relevant risk/impact assessments. (Limitations of size, gradient, climate, time the activity is to be completed, Noise, light, deliveries etc.)*
- *How risk/impact assessments are communicated to staff, clients and Organisations/subcontractors.*
- *That a record of risk/aspect assessment briefing is retained.*
- *That where method statements are produced, are risk assessments incorporated or referenced.*
- *Periodic reviews of risk/aspect assessments are undertaken*
- *Are Manual Handling, DSE, Lifting Operations assessments are undertaken (as applicable)*
- *Are Site Inspections undertaken to ensure controls are maintained?*
- *How does Organisation consult with employees and subcontractors regarding Health and Safety (Method Statement Briefings etc)*

2.3 (LC.11.3) How does the Organisation ensure it identifies and controls the effects of potentially harmful substances? L

Guidance:

- *The Organisation is aware of REACH and has undertaken an assessment to confirm if the rules are applicable to them and their operation (if applicable).*
- *If classified as a downstream user what mechanism is in place if they find they cannot use the products needed for their process as they have not been registered in the EU?(if applicable)*
- *Has the facility confirmed if they have a designated status under the REACH regulations?(if applicable)*
- *Has the Organisation identified any substances used that may fall within the scope of the COSHH Regulations?*
- *If the Organisation holds Material Safety Data sheets for all substances used.*
- *That the Organisation has undertaken formal COSHH assessments based upon the Material Safety Data Sheets (Auditor to look at the Organisation's head office and determine how this is discharged to project work.)*

2.4 (LC.14.1) How does the Organisation meet occupational health surveillance requirements? L

Guidance:

- *Are long-term health issues risk assessed? (LC.14)*
- *Who has been involved in setting up the occupational health process (employees, specialist advice, Unions or representatives)*
- *How are the potential hazards identified?*
- *What control options are considered to bring the risks down to as low as is reasonably practicable?*
- *Do employees have pre-employment medicals before they start working for the Organisation?*
- *If personnel changes roles are their occupational health requirements assessed prior to starting?*
- *Does the Organisation undertake a programme of routine health surveillance?*
- *What processes are in place to ensure that control measures remain appropriate to individual's condition/ requirements*
- *Is occupational health surveillance/ advice undertaken in-house or by a specialist provider?*
- *Are occupational health personnel on-site or are they remote?*
- *Is there statutory/client requirement for regular surveillance?*
- *How are results fed back to the Organisation?*
- *How often is the occupational health process reviewed? Is this review recorded?*
- *How does the Organisation manage their subcontractors in this area, if applicable?*

Occupational Health Records

- *Where does the Organisation store its OH information on employees?*
- *Do employees have the opportunity to review the Records kept regarding them if requested?*
- *Does the Organisation have a policy for how long records must be retained? Does this comply with COSHH requirements for the retention of heavy metals, asbestos, compressed air, ionising radiation etc.- minimum 40 years)*

2.5 (LC.16.1) What arrangements does the Organisation have in place to ensure that it has adequate first aid cover? L

Guidance:

- *An assessment has been undertaken to identify first aid requirements based on work activity.*
- *If first aid cover is provided by the Principal Contractor, how are these arrangements confirmed?*
- *The number of workers engaged by the Organisation.*
- *Does the Organisation provide first aid to self employed workers?*
- *The number of First Aid at Work trained personnel (3-day certificated course/ 2-Day requalification/ 1-day EFAW Course).*
- *The number of Appointed Persons*

2.6 (LC.13.1) How does the Organisation ensure that personnel recruited are entitled to work in the United Kingdom? L

Guidance:

- *Has the Organisation identified any foreign workers and their nationalities*
- *That the Organisation has documented controls to demonstrate compliance with Sections 15 to 25 of the Immigration, Asylum & Nationality Act 2006.*
- *That controls are applicable to all potential or current employees.*
- *Evidence that documents used to verify right to work are compliant with the Home Office Guidance "Comprehensive Guidance for Employers on Preventing Illegal Working".*
- *Confirmation that copies of all documents verified are retained for at least 2 years after the individual has left the employer.*
- *How does the Organisation assure itself that all agency, self-employed, subcontracted personnel are eligible to work in the UK*
- *That the Organisation has a mechanism for periodic review of right to work of all workers including agency temporary and seasonal employees (if applicable).*

3. Quality Management Controls

3.1 (QM.1.3) How does the Organisation identify and ensure that its product/service will meet?

- a) Specification
- b) Client's Requirements and Expectations?

Guidance:

- *Is product standard or bespoke including input and output requirements?*
- *Are products supplied in line with recognised standards (national/ international/product)?*
- *What is the process of specification review?*
- *What are the materials specifications?*
- *Is there a process for clarifying, verifying and validating the client's expectations?*
- *What are the testing specifications required by the client?*
- *How are lead-in times communicated with the Client?*
- *If the Client's delivery dates cannot be met, how is this controlled?*
- *How are specified requirements and compliance issues communicated to the client? Are there work instructions, process maps and documentation available to achieve the specified requirements? (e.g. Ongoing metrics & control charts, Standard Operating Procedures, Process Control Plans)*
- *How are work instructions, process maps and documentation communicated to the workforce?*
- *Has the organisation measured the capability of its processes to achieve desired product requirements?*
- *Has the organisation measured and evaluated the quality of its products during pilot test trials?*
- *Can the organisation demonstrate that the achievement of production objectives has met the satisfaction of customer and other interested parties prior to full scale production?*
- *Are there recorded acceptance criteria available for each product to ensure conformance to the finished specification?*
- *What Warranty mechanism is in place within the product range of the Organisation?*
- *Are two-way communications established at appropriate levels in both organisations to facilitate the rapid solution of problems, and to avoid costly delays or disputes?*

3.2 (QM.2.3) How does the Organisation control non-conforming products/ services, including complaints?

Guidance:

- *Is there control of activities within the organisation's production process?*
- *How has the Organisation identified activities that will require verification and validation of specifications including product, process, materials, testing and qualification tests including user and consumer information?*
- *Are verification and validation processes used for high value and safety critical products?*
- *How does the organisation analyse their processes including cycle time and dependability? (Defined data analysis methods such as "SPC, Process, lead time or takt time, Histogram, Pareto Analysis, Sampling, Visual QC, FMEA, Data Collection Plan, etc.")*
- *Does the Organisation have a process to identify non-conforming product within the input and output requirements such as resources and specifications?*
- *Is there a process for corrective and preventive actions?*
- *How does the Organisation come to an acceptable sampling ratio?*
- *How are verification and validation processes used to identify deficiencies in the products will be apparent only in use, which processes cannot be repeated and where verification of the product is not possible?*
- *How does the Organisation record the verification process*
- *How does the Organisation communicate these requirements to personnel*
- *How does ensure only competent personnel undertake the verification process*
- *Are any of these processes undertaken by the third party*

- *How are the results of the processes communicated to the client or other affected parties*
- *Is there a process for investigating the root causes of product non-compliance?*
- *Does the facility retain any records or samples of batches produced as part of its internal Quality Control (QC) / customer specification process?*
- *How long are samples retained?*
- *Has the organisation developed a process to undertake a product recall, should it be found to be defective?*
- *Is there a complaints procedure and records maintained?*

3.3 (QM.3.1) Does the Organisation have a product recall process

Guidance:

- *Has the Organisation developed a process to undertake a product recall, should it be found to be defective?*
- *Has the process been initiated in the last five year*
- *Does the Organise undertake desk-top exercises to test the process' effectiveness?*

3.4 (QM.10.1) How does the Organisation control the delivery process? L

Guidance:

- *How are quantities to be delivered verified?*
- *How does the organisation manage the delivery of materials to sites?*
- *How does the Organisation ensure drivers comply with driving time regulations?*
- *How does the Organisation assure itself that all vehicles (owned and contracted) are well maintained?*
- *Are trackers fitted to the vehicles*
- *How are delivery requirements communicated to the drivers?*
- *How are delivery tickets returned to the Organisation as proof of delivery/ acceptance by the Client?*

3.5 (QM.15.1) How does the organisation manage its production facilities? L

The Auditor should establish the following:

- *Are their welfare facilities including hygiene for the workforce working within production plant?*
- *Has the production facility have adequate heating, humidity, light, airflow, including facilities for hygiene?*
- *How does the Organisation ensure the manufacturing areas remain free of pests?*
- *Does the Organisation have a process to identify each item of plant or machinery?*
- *Is the plant and equipment capable of attaining specified requirements and objectives?*
- *Are the plant and equipment's cycle times, throughput and dependability measureable?*
- *Are there safety rules and guidance, including the use of protective equipment and PPE?*
- *Are the production equipment ergonomically designed to minimise injury?*
- *Does the Organisation have processes in place to identify and deliver statutory and other inspections/ service maintenance?*
- *Has the production facility have procedures or processes for controlling its cleanliness, noise, vibration and pollution?*
- *If the Organisation uses equipment from a third party, how does it assure itself that the equipment is fit for purpose?*
- *How are calibration requirements controlled? (if applicable)*
- *Has the production facility have procedures for preventive and predictive maintenance?*
- *Does the organisation measure the "Overall Equipment Effectiveness" including collating data for "Mean Time Between Failures"?*
- *The competence requirements for internal staff involved in maintenance, inspections and servicing of equipment.*
- *That maintenance work plans are signed by a competent person.*
- *What are the Organisation's arrangements to ensure that all plant, small hand tools and equipment are approved prior to use?*
- *Lifting and its ancillary (chains/ slings/ strops) equipment are used, does the Organisation possess processes to ensure they remain safe (if applicable)?*

4. Product and Raw Materials Management

4.1 (QM.17.1) How does the organisation manage its materials prior to production?

The Auditor should establish the following:

- *Are the suppliers aware of relevant statutory and regulatory requirements?*
- *Are products delivered within schedule, support capability and history of performance to requirements?*
- *Are there safety stock levels? (if “just in time or pull systems” are used)*
- *Is there a supply chain risk? (Suppliers, Demand and Environmental)*
- *If the organisation store materials, how are they issued prior to production?*
- *How is the process of inventory/stock control documented?*
- *How are destruction dates for obsolete or out of date materials displayed on the products & or packaging??*
- *How is any material destroyed whilst on site documented?*

4.2 (PRM.2.1) How does the Organisation store materials and product to avoid damage or loss?

Guidance:

- *Are there any special requirements (e.g. licences, inspections) required to store materials or finished product?*
- *How are materials stored on site? Describe the location, type, local or remote. (e.g. racks, pallets, shrink wrapped etc)*
- *Is a stock rotation methodology utilised?*
- *How are orders dealt with internally?*
- *How are combustible/ toxic materials stored*
- *Does the material require cover from inclement weather or specialised storage e.g. specific temperature (Minimum or Maximum) or humidity?*
- *Are stages of the production process physically separated (materials, part-built, complete, rejected)*

4.3 (PRM.4.1) Does the Organisation use packaging within their products?

The Auditor should establish the following:

- *Does the organisation manufacture the packaging or outsource this activity?*
- *Does the packaging provide a true status of the goods at all stages?(if applicable)*
- *What controls are in place to ensure that packaging meets specified requirements?*

5. Training and Competence

5.1 (TC.2.2) How does the Organisation control its recruitment process? L

Guidance:

- How does the Organisation maintain the correct mix of experience/ competence to deliver workload?
- How does the Organisation identify and recruit competent personnel?
- How are security/ police/ *Disclosure & Barring Services (DBS)* checking requirements are fulfilled?
- What are the Organisation's arrangements for ensuring that existing competency documents or licences are checked/ validated?
- A process is in place to ensure the verification of accreditation and certification through the appropriate bodies. (CSCS, PASMA, CITB, RICS, RIBA, CSCS for architect, licences for plant and equipment etc)
- What is the Organisation's policy and arrangements for the induction of employees (this should include employees, contracted personnel and visitors)?
- How are site inductions controlled?
- Certificates of competence for each person signed by the person defined in the competence management system (where applicable).

5.2 (TC.1.1) How does the Organisation control competency management? L CDM

Guidance:

- How does the Organisation identify competence requirements for a particular activity?
- How does the Organisation identify client-specific requirements?
- How does the Organisation record that personnel meet the identified competence requirements (matrix, database, hard-copy files etc.)
- How does the Organisation control the expiry of certification?
- How are the competence requirements of non-directly employed personnel maintained and controlled?
- Are periodic performance reviews/ appraisals undertaken?
- How is Continuous Professional Development undertaken?
- Does the Organisation have succession management plans?
- Are Permanent and Temporary Works Design requirements identified?

5.3 (TC.4.1) How does the Organisation ensure that they have adequate HSEQ and Employment support? L

Guidance:

- Technical support personnel have experience in the relevant sector
- Technical support personnel are suitably qualified?
- That the competent personnel are members of an appropriate professional institution:
 - a) Health & Safety - Institution of Occupational Safety and Health - IOSH; International Institute of Risk & Safety Management – IIRSM.
 - b) Quality – International Register of Certified Auditors, IRCA, Chartered Quality Institute - CQI,
 - c) Environmental –Institute of Environmental Management & Assessment - IEMA.
 - d) Human Resources - Employment - The Chartered Institute of Personnel and Development (CIPD)

6. Social & Ethical Behaviour

6.1 (SE.1.1) Does the Organisation actively engage with the local communities in which it operates?

Guidance:

- *Is there a recorded preference to local sourcing, wherever possible?*
- *When does engagement begin with the local community?*
- *What activities are undertaken to ensure good communication with affected/ interested parties to minimize complaints/ disruption*
- *How are complaints from the community handled*
- *Are methodologies developed to minimise their impact upon the local community*
- *Auditor to verify and record what programmes or policies the Organisation has in place to promote good community relations. Examples might include volunteering programmes, apprenticeship openings and use of local labour*
- *Does the Organisation have processes in place to provide stakeholder engagement (offer of resources/ personnel for meetings, information provided in easy-to-understand précis etc.)*
- *Are the proposed methodologies reviewed to minimise noise, vibration, reduction in air quality, light pollution*
- *Does the logistical management plan take into account local sensibilities (reduction in local transport links, access for emergency services, schools and other facilities, religious holidays etc.?)*
- *Does the Organisation undertake any sponsorship or charitable work?*

6.2 (SE.3.1) How does the Organisation ensure the ethical treatment of its personnel? L

Guidance:

- *How does the Organisation ensure that they pay at least the legal minimum wage*
- *Does the Organisation recognise the London Living Wage?*
- *How are working hours monitored? (in compliance with Working Time Regulations 1998, Opt out option)*
- *Are pension, holidays and other benefits offered to personnel?*
- *Are personnel free to join a trade union if they wish?*
- *Are there anti-bullying processes in place?*
- *What controls are in place to ensure that any recruitment direct from their country of origin does not infringe ethical issues (if applicable)*
- *Auditor to examine the processes in place to ensure that the workers are employed of their own free will.*

6.3 (SE.6.1) How does the Organisation organise its employment contracts? L

Guidance:

- *What type(s) of arrangements does the organisation use to define its relationship with people who undertake work for it?*
 - Full employment contracts
 - Time-limited contracts
 - Zero-hour contracts
 - Working with self-employed individuals
 - Subcontracting out activities

6.4 (SE.4.2) How does the Organisation minimise the likelihood of bribery, corruption, fraud, malpractice and anti-competitive behaviour? L

Guidance:

- What processes the Organisation has for the control of bribery, anti-competitive, fraud and malpractice?
- Has the Organisation reviewed its processes against the requirements of the Bribery Act 2010?
- How are potential acts of bribery, corruption or anti-competitive behaviour reported and investigated within the Organisation?
- What controls do the Organisation have for the receipt of gifts/ hospitality
- Do Organisation policies prohibit the use of “blacklists” in the selection of potential personnel?
- Does the Organisation have a designated person to contact if there are suspicions of bribery or corruption, fraud and malpractice
- Does your organisation have a 'Whistle-Blowing' policy to encourage employees and officers to report suspected illegal behaviour and does it offer protection to individuals who come forward?
- What arrangements are in place to detect and avoid fraud, bribery and anti-competitive behaviour?
- What internal checking process is in place to ensure that all tenders/ work packages are tendered competitively

6.5 (SE.4.3) Does the Organisation prepare and publish an annual Slavery and human trafficking statement in accordance with the Modern Slavery Act? L

Guidance:

- The statement should define;
 - a) The steps the organisation has taken during the financial year to ensure that slavery and human trafficking is not taking place;
 - i. in any of its supply chains, and
 - ii. in any part of its own business
 - or
 - b) Be a statement that the organisation has taken no such steps.

Where a statement has been prepared;

- Typical information *that may be included:*
 - a) organisation's structure, its business and its supply chains.
 - b) the organisation's policies in relation to slavery and human trafficking.
 - c) the organisations due diligence processes in relation to slavery and human trafficking in its business and supply chains.
 - d) The parts of its business and supply chains where there is a risk of slavery and human trafficking taking place and the steps that it has taken to assess and manage the risk.
 - e) Its effectiveness in ensuring that slavery and human trafficking is not taking place in its business or supply chains, measured against such performance indicators as it considers appropriate.
 - f) The training about slavery and human trafficking that is available to its staff.
- Statement approval:
 - a) By the Board of Directors or equivalent management body (for corporate bodies other than a Limited Liability Partnership LLP) and signed by a director (or equivalent).
 - b) For LLP's; must be approved by the members and signed by a designated member.
 - c) For limited partnerships registered under the Limited Partnerships Act 1907, must be signed by a general partner.
 - d) If the organisation is any other kind of partnership; must be signed by a partner.
- Is the statement published or made available to those who may wish to see it? Either by;
 - a) The organisations website (either front page or hyperlink on front page to the statement).

If the organisation does not have a website, it must provide a copy of the slavery and human trafficking statement to anyone who makes a written request for one, and must do so before the end of the period of 30 days beginning with the day on which the request is received.

7. Sustainability

7.1 (Sus.8.3) How does the Organisation support best practice relating to sustainability?

Guidance:

Can the Organisation demonstrate that it is challenging existing practice to improve some or all of the following areas:

Design

- a. The choice of materials for both for the product and the packaging;
- b. The physical characteristics of the product; and
- c. Focus on the opportunities for reduce, reuse and recycling of materials and resources.

Source

- a. Location of suppliers on resource footprint;
- b. Implications of supply source;
- c. Focus on the reduction of natural resources including;
 - Is the usage of water measured?
 - Are facilities reviewed to minimise the usage of water?

Manufacture

- a. Updating plant and equipment to improve energy efficiency;
- b. Over-processing and Over-production;
- c. Reduce waste, rework and scrap;
- d. Reduction and elimination of pollution and emissions; and
- a. Are KPI's to measure energy usage established?

Deliver

- a. Review of delivery methods to minimise transportation costs;
- b. Are KPI's to measure mileage established;
- c. Regular review/updating of vehicles to reduce CO₂ emissions; and
- d. Decision on best type of fuel usage to minimise emissions?

8. Supply Chain Management

8.1 (SCM.1.1) How does the Organisation ensure effective supply chain management? L CDM

Guidance:

Supply Chain Review

- *Does the Organisation maintain an approved supply chain register?*
- *Does the Organisation have a documented process describing the requirements for the supply chain to be entered on to the register?*
- *minimum levels of insurance applicable and required to be held by its supply chain*
- *ability to demonstrate compliance to relevant legislation and standards*
- *Demonstrate supply chain meet competence requirements*
- *the relevant licences held*
- *Membership of trade associations*
- *Supply chain auditing (either internal or by a third party)*
- *How does the Organisation keep its register up to date?*

8.2 (SCM.11.1) What criteria do the Organisation stipulate for the sourcing of product? L

Guidance:

- *Does the Organisation have a written procedure for the procurement of materials?*
- *Does the Organisation conduct anti-bribery and corruption risk assessments and/or due diligence?*
- *Does the supply chain handle timber from legal and sustainable sources? Can they demonstrate full chain of custody?*
- *Does the Organisation require assurance that products are tested to meet European/British standards?*
- *Does the Organisation use ethical supply chains (if applicable)*
- *Does the Organisation participate in 1st, 2nd, 3rd party ethical audit? (E.G. BES 6001)*
- *How does the Organisation assure itself that child/ prison/ forced labour is not utilised?*
- *How does the Organisation assure itself that its supply chain pay a living wage to its personnel?*
- *Are the supply chain required to provide evidence of working hours monitoring the supply chain?*
- *Are suppliers required to publish Corporate Social Responsibility and Environmental Policies?*
- *Does the Organisation actively influence decision-makers to avoid specifying materials that can be sourced from oppressive regimes*
- *Record evidence of how the Organisation has assessed the risk associated with countries with potential ethical issues*

8.3 (SCM.4.1) How does the Organisation assess and the performance of its supply chain? L CDM

Guidance:

- *How the Organisation reviews its supply chain Health & Safety, Quality and Environmental controls.*
- *How is past performance analysed to ensure that the supply chain will deliver the expected services to programme, to budget and to regulatory requirements*
- *Checks on Prosecutions/ Notices from statutory authorities*
- *Can the Organisation demonstrate whether the Organisation gives preference to suppliers with enhanced HSEQ performance? (provide examples)*
- *Does the Organisation measure satisfaction, price and service consistency?*
- *Does the Organisation undertake post contract reviews of supply chain partner performance?*
- *Checks on accident and incident frequency rates as compared to the construction industry rates (if applicable).*
- *Auditor to assess the RIDDOR reporting mechanism of the supply chain to see if it is effective (if applicable).*

9. Emergency Preparedness and Site Security

9.1 (EP.1.1) How does the Organisation plan to minimise the impact of an accident/ incident/ unplanned event? L

Guidance:

- *Has the Organisation developed:*
 - a) **An accident/ incident response and reporting process**

Auditor Note: Establishment of a safe situation, a command and control structure, Communications person appointed to deal with media (where applicable), a communication structure including liaison with Client/Principal Contractor, Reporting to the HSE process, Liaison with enforcement authorities, Process for preservation of evidence
 - b) **An accident/ incident investigation process**

Auditor Note: This should include: competent people are undertaking the investigation; all operatives are aware of the investigative process; a mechanism for feeding into the Clients formal enquiry process; that arrangements are in place to assist and provide records to enforcement agencies (Police, Environment Agency, HSE)
 - c) **Business continuity plan (Ref ISO 22301)**

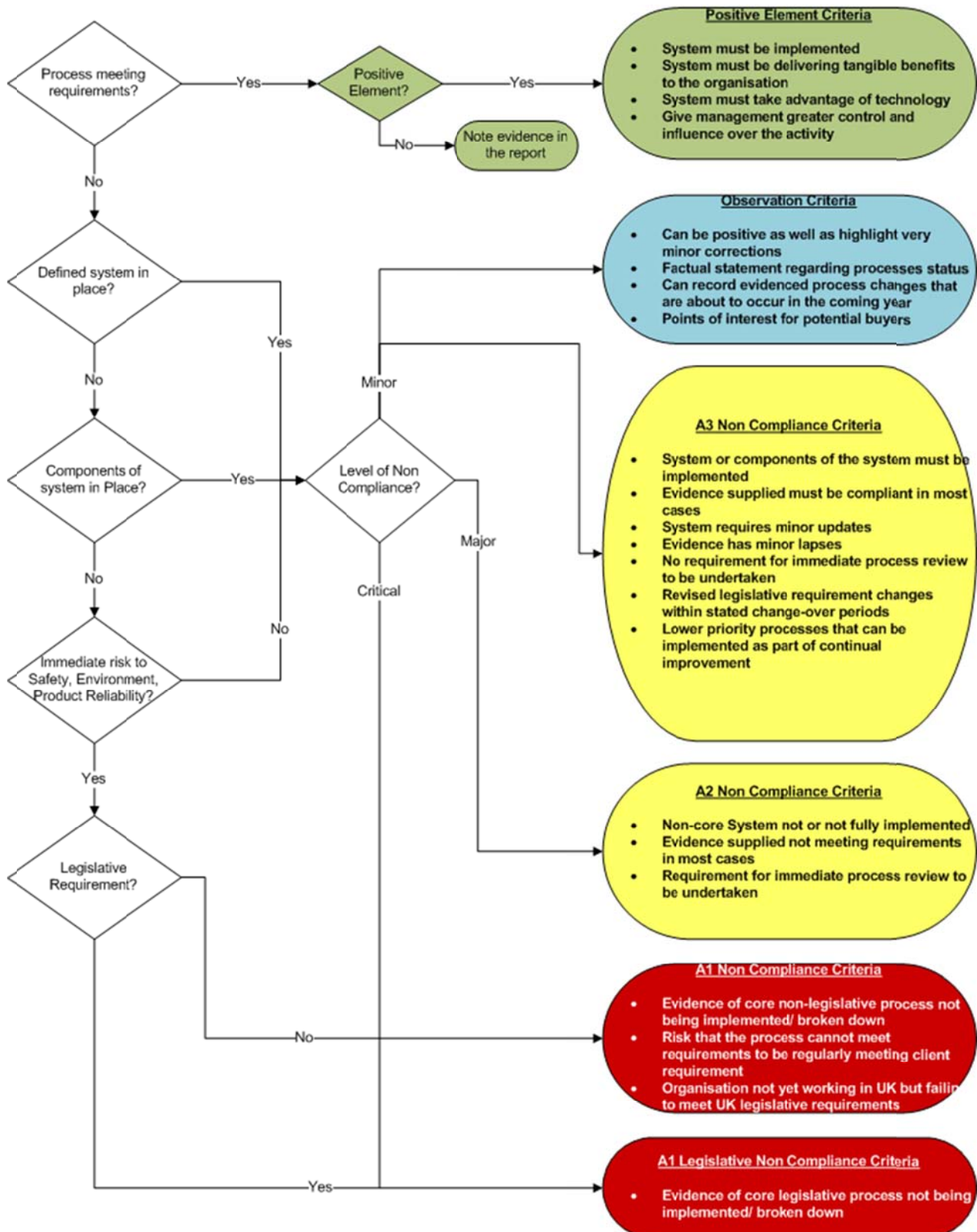
Auditor Note: This should include loss of personnel, IT, sites, data loss, phased recovery plan, communication plan, command structure
- *Does the organisation have emergency evacuation plans in place for all permanent and temporary (if applicable) sites?*
- *The Organisation has communicated the accident reporting process to its workforce and, where applicable, contracted personnel.*
- *That the Organisation has a requirement for testing the emergency processes*
- *If working under a Principal Contractor's emergency arrangements, what is the process for review and communication to personnel.*

9.2 (EP.3.1) What process does the Organisation use to evaluate the effectiveness of their fire mitigation measures? L

Guidance:

- *Are fire risk assessments checked for suitability?*
- *Are drills subject to regular testing?*
- *Are personnel trained in basic firefighting practice?*
- *Is fire-fighting equipment supplied (if applicable)?*

Appendix A. Categorisation of Findings



Appendix B. Reference Legislation, Regulations and Best Practice Guidance

NB - The lists are not exhaustive as particular legislation/ guidance may be inferred and relevant to particular organisations but not referenced here

LEGISLATION (AMENDMENTS NOT LISTED)

1. Health & Safety at Work Act etc. 1974
2. Environmental Protection Act 1990
3. Immigration, Asylum & Nationality Act 2006
4. Bribery Act 2010
5. Equality Act 2010
6. Enterprise Act 2002
7. Carbon Reduction Commitment 2009
8. Integrated Pollution Prevention and Control Directive (IPPC) 2008
9. Corporate Manslaughter and Corporate Homicide Act 2007
10. Employment Relations Act 1999
11. Pollution Prevention Control Act 1999
12. Modern Slavery Act 2015

REGULATIONS (AMENDMENTS NOT LISTED) (ENGLISH/UK REGULATION DATES)

1. Construction (Design and Management) Regulations 2015
2. Protective Equipment at Work Regulations 1992
3. Working Time Regulations 1998
4. First Aid at Work Regulations 1981
5. Reporting of Injuries, Diseases, Dangerous Occurrences Regulations 1995 (2013)
6. Control of Vibration at Work Regulations 2005
7. Control of Substances Hazardous to Health 2002
8. Environmental (Duty of Care) Regulations 1991
9. The List of Wastes Regulations 2005
10. Provision and Use of Work Equipment Regulation 1998
11. Lifting and Other Lifting Equipment Regulations 1998
12. Town and Country Planning (Environmental Impact Assessment) Regulations 1999
13. Environmental Noise Regulations 2010
14. Noise at Work Regulations 2005
15. Hazardous Waste Regulations 2005
16. Management of Health Safety at Work Regulations 1999
17. Work at Height Regulations 2005
18. Confined Spaces Regulations 1997
19. Producer Responsibility Obligations (Packaging Waste) Regulations 2007
20. The Safety Representatives and Safety Committees Regulations 1977
21. National Minimum Wage Regulations 2015
22. Working Time Regulations 2005
23. Agency Workers Regulations 2011
24. Environmental Permitting Regulations 2010
25. Construction Products Regulations 2013
26. European Timber Regulations (EUTR) 2013

BEST PRACTICE GUIDANCE

1. ISO 9001 (2015) – Quality Management Requirements
2. ISO 14001 (2015) – Environmental Management Systems
3. OHSAS 18001 (2007) – Occupational Health & Safety Management Systems
4. ISO 27001 (2013) – Information Security Management Systems
5. ISO 50001 (2011) – Energy Management System
6. ISO 22301 (2014) – Business Continuity Management
7. BS 11000 - Collaborative Business Relationships
8. Forest Stewardship Council (FSC) – Sustainable Timber Chain of Custody
9. FSC-STD-40-004
10. The Programme for the Endorsement of Forest Certification (PEFC) – Chain of Custody of Forest Based Products - Requirements (Annex 4)
11. Strategic Forum for Construction's Health & Safety Code
12. Constructing Excellence– Constructing Excellence Requirements (Chapters 1-6)
13. BS EN 365:2004 - Fall Arrest & Fall Prevention Equipment
14. IND 367 - Fall arrest equipment made from webbing or rope
15. HSG 65 - Guide to measuring health and safety performance
16. BS 8555 - Environmental Management – Work Book
17. Considerate Contractors Requirements
18. BRE Environmental Assessment Method - BREEAM
19. Constructing Excellence Advice
20. BES 6001 – Responsible Sourcing of Construction
21. WRAP – Procurement Requirements for reducing waste and using resources efficiently – www.WRAP.org.uk/procurement
22. Carbon Efficiency Plan guidance – www.WRAP.org.uk/carbonefficientprocurement
23. Water Efficiency Plan guidance - www.WRAP.org.uk/waterefficientprocurement
24. Crossrail ethical trading requirements
25. Ethical Trading Initiative
26. The GLA Group - Responsible Procurement Policy
27. BS5975:2008 - Code of practice for temporary works procedures and the permissible stress design of false work
28. SIM 02/2010/04 - The management of temporary works in the construction industry

Issue Record and Copyright

This protocol will be subject to change and updating as a result in the following areas:

- Changes in applicable statutory instruments.
- Recommendations from enforcement authorities or industry bodies focusing on either prevention of accidents or new best practice.
- Changes in the BuildingConfidence members' contractual conditions.

The document will be made available on the BuildingConfidence portal. An appropriate notification will be placed on the portal advising of any changes made to the document.

Version	Date	Author	Comments
1.1	15/10/08	W. Nelson	First version issued
2.0	31/03/11	S. Long	Protocol amended to align with other BC protocols and a rewrite of a number of sections.
2.1	N/A	N/A	Not used
2.2	14/03/12	W. Nelson	Protocol aligned and amended reflecting feedback from 2.0
2.3	15/10/13	S. Long	Changes include temporary works, employment contracts and other feedback from 2.2
2.3 Issue 1	06/01/14	R Alan	Minor formatting changes only. No change to technical content.
2.4	01/04/15	W. Nelson	Revised in line with CDM 2015
2.5	30/06/16	M. Ferris	Achilles re-branding and audit rename following transition to AP2, new question in relation to Modern Slavery Act 2015.

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