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## Two Day Audit Report

Contractor / Installer (v2.6)

**Company Name:** Waverley Contract & Supply Limited

**Company ID:** 4901530

**Audit dates:** 4<sup>th</sup> & 5<sup>th</sup> March 2020

**Auditor:** Joss Carter

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## Issue Record

This document 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.

Document	Version	Date	Author	Comments
<b>Audit Report</b>	1.0	13/11/08	W Nelson	
<b>Audit Report</b>	2.0	15/03/10	W Nelson	Revision following question development
<b>Audit Report</b>	3.1	08/09/14	K Whitfield	Offline reporting
<b>Audit Report</b>	4.0	30/06/16	M Ferris	Rebrand, Rename, Modern Slavery Act Inclusion
<b>Audit Report</b>	5.0	10/03/17	M Ferris	Formatting and spell check functionality amendments.
<b>Audit Report</b>	6.0	16/07/18	M Ferris	New question 7.5 added to section 7 'Supply Chain Management' and New Achilles logo

## Introduction

The company, Waverley Contract & Supply Limited, worked in the “Manufacture, installation and commissioning of blinds, curtain tracks, curtains, solar film and security systems” in London and around the M25, with Birmingham considered. The company’s management systems were certified to ISO 9001, 14001 and OHSAS 18001 with a UKAS accredited certifying body.

The company had been in operation since 2011 and held over 30 years' experience. They also worked in the selection of Principal Contractors such as Multiplex, and a range of schools. Industries included the residential, commercial and education sectors.

The company employed 35 employees and 20 subcontractors at time of audit. The company’s registration number (07549979) was seen as active on Companies House on 04/03/2020.

**Location:** Rowan House, Guildford Road Trading Estate, FARNHAM, GU9 9PZ, United Kingdom

**Auditee(s):** Gordon Bairstow – Management Consultant

## Executive Summary

The audit identified two (2) Observations

The company, Waverley Contract & Supply Limited, outlined their capability and geographical area of operation, as well as their insurance policies and policy statements, which were communicated on the company's notice board in reception. The company had set measurable KPI's for ISO 9001, 14001 and OHSAS 18001. The organisational chart was seen, and responsibilities were detailed for all roles within the organisation. The company were certified to ISO 9001, 14001 and OHSAS 18001 with a UKAS accredited certificating body. The document control procedure was seen in the integrated management system manual but did not include all of the company's templates, policies and procedures. An example site inspection was sampled dated 3<sup>rd</sup> April 2019 and the management review meeting minutes were sampled dated 18<sup>th</sup> Sep 2019.

In terms of legislation, the company were updated for changes to legislation by their SHEQ Consultant. The company held BSEN 1090 to EXC 2, and this ensured they had full traceability of all components for the aluminium canopies. Risk assessments were sampled for the projects, such as the control of dust and the aspects and impacts register was sampled. A PPE register was sampled for a project and items had been issued between 09/10/2020 – 19/02/2020. The COSHH register for the production factory was sampled but the COSHH assessment did not use hazard warning labels pictorially. Medically, the company had a medical health questionnaire that was completed by new starters to make the company aware of any pre-existing conditions. A first aid certificate was sampled as having expiry on 15<sup>th</sup> April 2021. Another was sampled as emergency first aid certificate with expiry 28<sup>th</sup> Feb 2022. Sampled were two passport copies, the first was a European passport with the paperwork from the HMRC template that verified the documents as either List A or List B.

Regarding quality management controls, the company's factory undertook maintenance and inspection of their equipment, sampled was the air compressor service log that recorded the changing of filters dated October 2019. PAT test records were seen dated 01/05/2020 for the factory. Projects were seen to start with enquiries being received and passed to the estimator who would review the documentation and RFI's as needed. The NCR procedure was held in the IMS manual, and this stated that all NCR's would be recorded in the NCR register. The company used an external IT provider who managed the system and provided email and web hosting. They did have protocols in place, such as password and firewalls, and access was controlled to the file folders. An O&M manual was also sampled, and the company provided a five (5) year warranty with their products as sampled within the O&M appendix.

In terms of training and competence, the company had a recruitment and selection policy that stated they were an equal opportunities employer and that they would plan recruitment to meet their company's needs. The company also had a training matrix for their installers; this included items such as PASMA and IPAF training. The company showed their resources for HSEQ and employment support.

For social & ethical behaviour, the company's CSR policy was seen to state that the company would recognise their partners and that they would work closely with Clientele. The bribery policy was seen to refer to the Bribery Act 2010 and the modern slavery policy was seen to refer to the Modern Slavery Act 2015. An employment contract was also seen.

For sustainability, contract terms with clients varied, depending on the project; this could include payment for areas of work or a staged payment process. The factory did seek to minimise waste and to reuse components where possible and water was only used for domestic purposes.

In terms of supply chain management, the company's list of approved suppliers was seen, as was the supplier questionnaire. The selection of supplier processes was sampled within a flow chart and the company did not often undertake design. The company would use aluminium that was traceable to meet the requirements of the BSEN 1090 certified products where this was required and would continually assess the performance of their supply chain.

The accident reporting procedure was sampled from the IMS manual and an example near-miss report detailed an incident that had occurred, and the actions taken to rectify the matter through tool box talks and PPE use. The business continuity plan was seen to have been issued on 01/04/2019 and considered workspace, IT systems and key staff. The company worked from an office that used an intercom system and electric magnets for access.

## Recommendation

Passed

## Findings

### A1 Legislative Non Compliance

Question	A1 Legislative Non Compliance
NA	None identified at the time of audit

### A1 Non Compliance

Question	A1 Non Compliance
NA	None identified at the time of audit

### A2 Non Compliance

Question	A2 Non Compliance
NA	None identified at the time of audit

### A3 Non Compliance

Question	A3 Non Compliance
NA	None identified at the time of audit

### Observations

Question	Observations
1.7	The document control register did not include all of the company's templates, policies and procedures
2.6	The COSHH assessment did not use hazard warning labels pictorially

### PQQ Errors

Question	PQQ Errors
NA	None identified at the time of audit

### Positive Elements

Question	Positive Elements
NA	None identified at the time of audit

## Report

### 1. Management Controls

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

Scope	The ISO 9001:2015 certificate stated, "Manufacture, installation and commissioning of blinds, curtain tracks, curtains, solar film and security systems"
MD	Daniel James
Parent Company	No
Subcontractors	Yes – circa 20 subcontractors
Employees	Circa 35 directly employed
Registration No	07549979 seen as active on 04/03/2020, incorporated on 3 March 2011
Country	United Kingdom
Area of works	London and M25 based with Birmingham considered
Turnover	£9.3M for 2019
CDM Role	Contractor
Design	No

The company provided the following insurance documentation:

Employer's liability – to £10M, expiry 04/05/2020

Public / product liability – £5M

Contractors all risk – £350k

Professional Indemnity – £5M expiry 04/05/2020

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

The following policy statements were sampled:

Health and safety – This referred to the HASAWA 1974 and was signed by the Director dated Jan 2020.

Environment – This referred to SIO 14001:2015 and was signed by the Director dated Jan 2020.

Quality – This stated how the company sought to comply with ISO 9001:2015 and was signed by the Director dated Jan 2020.

Work safe – This stated that employees had a right to refuse work to protect them and subcontractors. This was signed by the Director dated Jan 2020.

The policies were communicated on the company's notice board in reception. They were also delivered in the company induction for all new starters as sampled within the induction. The company had also recently implemented a document sharing system that communicated policies to employees on-site electronically.

It was noted that in the 2019 BuildingConfidence audit, the issue was raised of an A3 finding that policies did not have a comment to state, "uncontrolled if printed." This had been amended at the time of audit.



### 1.3 (MC.3.1) - How does the Organisation communicate its corporate culture and objectives?

The company had set measurable KPI's for ISO 9001, 14001 and OHSAS 18001. These included:

- Reducing snags to below 5%
- No environmental notices or complaints
- Improve H&S training with toolbox talks every 3 months

The method, and how it would be measured, with thresholds, was then included. Also, the measurement frequency was discussed to ensure that they remained a constant focus.

Toolbox talk examples were sampled dated 09/12/2019 regarding unsafe stacking on-site, this had been signed for by five (5) employees and included the discussion.

### 1.4 (MC.4.1) - How does the Organisation clarify its management structure and responsibilities?

The organisational chart held the following roles and layers of management:

- MD – with assistance from QA Consultant and Environmental Consultant
- Marketing Director, Sales Director, Operations Director, Accounts Manager
- Contracts teams, Marketing, Project Manager
- Warehouse and Admin support
- Factory staff and fitters

The responsibilities were detailed for all roles within the organisation, and these were seen to include the MD who was responsible for providing compliance with contract requirements and relevant standards, as well as for chairing the management review meetings amongst other duties.

Also sampled were the fitters and sub-contractors; these were responsible for ensuring that products were installed in a timely manner that met client approval. They were also required to ensure that they disposed of all waste correctly.

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

The company were certified to ISO 9001, 14001 and OHSAS 18001 with a UKAS accredited certifying body, they also held BSEN1090 EXC 2 for the aluminium canopies they installed.

The company had been in operation since 2011 and held over 30 years' experience. They also worked in the selection of Principal Contractors such as Multiplex, and a range of schools. Industries included the residential, commercial and education sectors.

The company worked closely with their subcontractors, and this was managed through the annual fitter's day that was held on 7<sup>th</sup> Jan 2020, with the minutes from the day sampled. They also held an end of year event with subcontractors to involve them in the team's operation and to build relationships. The company also held strategy meetings quarterly for all employees to ensure that all employees understood the company's focus and efforts.



### 1.6 (MC.6.1) – Are the Organisation's arrangements independently verified by external audit regimes?

The company held the following certification, accreditation and memberships:

- ISO 9001:2015
- ISO 14001:2015
- OHSAS 18001:2007
- BSEN 1090 execution class 2, expiry 28<sup>th</sup> April 2022.
- CHAS
- ConstructionLine Gold
- Safe Contractor
- Cyber essentials

### 1.7 (MC.7.1) - How does the Organisation control its documents?

The document control procedure was seen in the integrated management system manual. This stated that requirements within section 4 of the manual and a flow chart were also sampled and detailed how documents would be reviewed, updated and approved. A flow chart was also in place to detail how the control of drawings would be managed. These flow charts were both seen to be dated 16/09/2019.

The document control record was seen within the header of the integrated management system, and this tracked the changes and the dates that they had implemented for the IMS manual.

The document control requirements were listed in the IMS that stated changes in the key-controlled documents, this did not cover all policies and procedures but could be extended to cover additional documentation to ensure the revision status was clarified.

#### **Observation**

The document control register did not include all of the company's templates, policies and procedures

### 1.8 (MC.8.1) - How does the Organisation monitor its performance?

An example site inspection was sampled dated 3<sup>rd</sup> April 2019 this held the following sections:

- Safety defects
- Matters from last inspection
- Site layout
- Welfare
- First aid
- Plant and equipment, etc.

The company used colour coding for any areas and photos were used to illustrate any findings that were not given a green status. Issues that had been raised were seen to have been communicated with the PC for their action.

The management review meeting minutes were sampled dated 18<sup>th</sup> Sep 2019, and these held the following agenda:

- Review of previous meeting
- Quality objectives
- Risks to the QMS
- Changes in internal or external issues
- Changes and needs of interested parties
- Customer satisfaction
- Recent communication and feedback from interested parties
- Process performance and conformity of products and services
- No-conformities and corrective actions
- Audit results
- Monitoring and measuring, etc.

Also sampled was the environmental management meeting minutes dated 18<sup>th</sup> Sep 2019 as was the H&S management review meeting minutes.

## 2. Legislation and Other Requirements Compliance

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

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

The company were updated for changes to legislation by their SHEQ Consultant, and they had employees with IOSH memberships that were also updated for changes to the industry.

The legal register was seen to include:

- Bribery Act 2010
- Building Regs 2000
- Corporate Manslaughter Act 2007
- Control of Pollution Act 1989

The company also recorded the controls on how they complied with the legislation and the interested parties.

The company's waste carriers' licence was sampled as CBDL16971 dated from 21<sup>st</sup> May 2014. They had not been subject to any enforcement action from the HSE or the EA at the time of audit.

### 2.2 (LC.4.1) - How does the Organisation ensure that they comply with quality requirements and best practice standards?

The company held BSEN 1090 to EXC 2, and this ensured they had full traceability of all components for the aluminium canopies, this also was CE marked. The company would follow the designs for the Client and all products were BS5867 compliant for the fire resistance of the fabric.

### 2.3 (LC.5.1) - How does the Organisation identify and control its risks / impacts and opportunities?

Risk assessments were sampled for the projects, such as the control of dust. These included the legal requirements under COSHH 2002 and the control measures. The hazards were graded for severity and likelihood from 1-5 both before and after controls were applied.

The aspects and impacts register was sampled; this included environmental considerations such as electricity and water use and how these resources would be used with their environmental impact. The company listed the current controls and if they had either control or influence over the matter. Risk was graded for normal, abnormal or emergency conditions and the timeframe and geography were also stated.

### 2.4 (LC.8.1) - How does the Organisation comply with the relevant requirements within the Construction (Design and Management) Regulations?

The company worked solely as a Contractor within the realms of CDM 2015, and the legislation register was seen to refer to CDM 2015 and included that the company had CDM advice within their RAMS template to ensure compliance. The company were aware of the requirement to notify of CDM projects above the thresholds, and they ensured they met their PC's requirements on site.

## **2.5 (LC.10.1) - What are the Organisations arrangements for the issuing, checking and monitoring of personal protective equipment (PPE)?**

A PPE register was sampled for a project, and this was seen to record the issue of a range of items including:

- Safety boots
- Hi-Viz
- Gloves
- Helmets

Items had been issued between 09/10/2020 – 19/02/2020.

The company issued FFP3 masks and sampled was a face fit record dated 07/08/2019 from an operative.

## **2.6 (LC.11.1) - How does the Organisation ensure it identifies and controls the effects of potentially harmful substances?**

The COSHH register for the production factory was sampled, this had 12 items and recorded that the COSHH assessments had been completed on 07/10/2019

Sampled was “Mapei ultimate leveller”. This was seen to be harmful to the environment and included the PPE requirements. However, it did not use the COSHH hazard warning labels pictorially. The MSDS for the product was seen to also be noted as harmful to the environment in line with CLP guidance requirements.

### **Observation**

The COSHH assessment did not use hazard warning labels pictorially

## **2.7 (LC.12.1) - What processes are in place to work under a permit system (if applicable)?**

The company did not undertake works that would require a permit to work.

## **2.8 (LC.14.1) - How does the Organisation meet occupational health surveillance requirements?**

The company had a medical health questionnaire that was completed by new starters to make the company aware of any pre-existing conditions.

The nature of works held minimal risk, as such no occupational health screening was deemed as necessary. However, the concern of asbestos was communicated, and employees were required to undertake asbestos awareness training to ensure they were aware of how to react in the event of exposure due to the drilling works undertaken.

## **2.9 (LC.16.1) - What arrangements does the Organisation have in place to ensure that it has adequate first aid cover?**

The company had trained first aiders; however, they also relied on the Principal Contractor on-site to provide first aid coverage.

A first aid certificate was sampled as having expiry on 15<sup>th</sup> April 2021. Another was sampled as emergency first aid certificate with expiry 28<sup>th</sup> Feb 2022.

## **2.10 (LC.13.1) - How does the Organisation ensure that personnel recruited are entitled to work in the United Kingdom?**

It was noted that this was raised as an A3 non-compliance at the 2019 BuildingConfidence audit, the company had since implemented a right to work procedure as per below.

The company right to work process was to ensure that all employees had the right to work in the UK through checking the necessary documentation. The process was seen to list the necessary documentation required, including passports and the requirements for persons not from within the European Economic Area. This policy was signed by the MD dated Jan 2020.

Sampled were two passport copies, the first was a European passport with the paperwork from the HMRC template that verified the documents as either List A or List B. The second was a British passport that also used the HMRC guidance template to confirm the documents and record the person who had seen the original documents.

### 3. Quality Management Controls

#### 3.1 (QM.5.1) - How does the Organisation ensure that its work equipment is fit for purpose?

The company's factory undertook maintenance and inspection of their equipment, sampled was the air compressor service log that recorded the changing of filters dated October 2019.

The LOLER report of thorough examination for the combi lift was also sampled, this was dated 30/10/2019 with expiry due one year later.

PAT test records were seen dated 01/05/2020 for the factory. They also had their fixed appliance test which had been conducted in June 2016 with 5-year validity.

#### 3.2 (QM.1.1) - How does the Organisation identify and ensure that its product/service will meet?

##### a) Specification

##### b) Client's requirements and expectations?

The company had a set an enquiry and tender procedure that detailed the responsibilities of the departments within the the business when producing a quote; this included the:

- Customer
- Central business team
- Estimator
- Spec sales
- Project Manager
- Sales Manager
- Finance Team

Projects were seen to start with enquiries being received and passed to the estimator who would review the documentation and RFI's as needed. He would then seek quotes from suppliers and send quotes to the Central business team who would review prices and identify the project needs. Other departments would review and record progress as necessary before it was passed to the project team for installation.

#### 3.3 (QM.2.1) - How does the Organisation control non-conforming products / services, including complaints?

The NCR procedure was held in the IMS manual, and this stated that all NCR's would be recorded in the NCR register, and this was seen to record the following information:

- Date recorded
- Person raising the NCR
- Aspect or area of concern
- Details of issue
- Action required
- Cause or NCR
- Action taken

An example was seen to have been closed out to demonstrate how NCR's and improvements would be made.

### **3.4 (QM.4.1) - What controls are in place to manage the design process within the Organisation?**

The company did not provide a design function at the time of audit.

### **3.5 (QM.18.1) - How does the Organisation meet the Temporary Works requirements? (If applicable)**

The company did not undertake temporary works at the time of audit.

### **3.6 (QM.7.1) - How does the Organisation ensure control of the design information it possesses?**

The company did not undertake design; however, they did use Client protocols to communicate information as required for each project.

### **3.7 (QM.6.1) - How does the Organisation ensure the security of the information it possesses?**

The company used an external IT provider who managed the system and provided email and web hosting. They did have protocols in place, such as password and firewalls, and access was controlled to the file folders.

The company had also gained cyber essentials certification, which was dated for expiry on 11/12/2020.

The company's risk register was sampled, and the SWOT analysis included concerns such as the potential for hacking and how the company sought to minimise the potential effect of this.

### **3.8 (QM.12.1) - How does the Organisation control its resources to ensure that projects are delivered to programme and cost?**

The company's Project Managers were responsible for running projects and tracking performance. A strict management meeting plan was in place to ensure that all concerns could be discussed and planned for. The company used software to ensure that they could visualise their plans and projects.

Project review meetings were held with Client's to ensure that they could foresee any concerns and could work with the PC and other subcontractors as required to foresee the project's requirements and the materials needed.

### **3.9 (QM.13.1) - How does the Organisation manage change?**

The company's scope of works was the provision of blinds to windows, these were set parameters and as such change was limited, although additional works may be requested. In this case, the additional areas would be measured and added to the quote as necessary. Where change was identified, it would either be communicated on-site to the Project Manager or back to the office via formal email. The change would then be calculated by the estimating department for a variation to the costs.



### **3.10 (QM.14.1) - How does the Organisation control and produce documentation to prove compliance to requirements?**

Post-works the company undertook snagging and recorded any additional works that were needed for the full and final handover of the product.

An O&M manual was also sampled that included the following sections:

- Subcontractor details
- Scope of works
- Products installed
- Operating instructions
- Manufacturer details
- Test certificates
- As-built drawings
- Guarantees applications
- Cleaning and maintenance instructions
- Spare parts availability

The company provided a five (5) year warranty with their products as sampled within the O&M appendix.

## 4. Training and Competence

### 4.1 (TC.2.1) - How does the Organisation control its recruitment process?

The company had a recruitment and selection policy that stated they were an equal opportunities employer and that they would plan recruitment to meet their company's needs. Recruitment files would be opened when a new candidate was needed, and they would be monitored throughout their application to the company.

Candidates would be initially screened, and a shortlist produced to identify all possible candidates. The company would then have the interview with the selection panel that normally included the line manager. The candidate would then be notified post-interview and further checks such as references would be undertaken. The induction would then be delivered on commencement of employment with the company.

### 4.2 (TC.1.1) - How does the Organisation control competency management?

The company's training matrix was seen to record qualifications, with expiry dates where applicable. The training matrix included qualifications such as:

- NEBOSH certificates
- First aid qualifications

The company also had a training matrix for their installers; this included items such as PASMA and IPAF training.

The company would discuss the training needs with employees where additional requirements were deemed necessary.

### 4.3 (TC.6.1) - How does the Organisation demonstrate that training and development is properly undertaken?

The company used reputable training companies for the CITB recognised training qualifications. This was seen with the candidate's IPAF and PASMA qualifications. The training matrix was then updated and managed by the administrators to ensure that all candidates were current and valid.

### 4.4 (TC.4.1) - How does the Organisation ensure that they have adequate HSEQ and employment support?

The company held the following resources for support:

Health and safety – The company were supported by an external H&S team who held NEBOSH certificates and a NEBOSH diploma with GradIOSH status.

Environmental – On sites, the company had employees with SMSTS who delivered environmental tool box talks, it was deemed that their environmental risk was minimal at the time of audit.

Quality – The company had access to external quality management who held a range of expertise dating back to BS 5750. They also implemented ISO 9001 certification at a range of businesses in various industries.

Employment – The company were supported by an internal team and had access and guidance through ACAS as needed.

## 5. Social & Ethical Behaviour

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

The company's CSR policy was seen to state that the company would recognise their partners and that they would work closely with Clientele. The company provided charity support for a range of good causes.

### 5.2 (SE.2.1) - How does the Organisation demonstrate equality and diversity within the workplace?

The equality policy was seen to detail the protected characteristics in full, and it also stated that they were protected, and that discrimination was both unfair and illegal.

The policy was monitored by management to ensure that it was fair, and the employees were encouraged to report concerns to their Line Manager if they felt the policy had been breached. The policy was signed by the Director in Jan 2020.

### 5.3 (SE.3.1) - How does the Organisation ensure the ethical treatment of its personnel?

The employment contract held the following terms:

Rate of pay – The company paid above national minimum wage

Hours of Work – 40 hours per week, all employees worked below the 48-hour threshold for the European working time directive

Holiday allowance – 20 days per year plus bank holidays

Probation period – 6 months.

Notice period – during probation – 1 week. After this one month.

Pension – Complied with governmental requirements at the time of audit.

The company also provided lunch for all employees as standard.

### 5.4 (SE.6.1) - How does the Organisation organise its employment contracts?

The employment contract was seen to meet all legal requirements, including those listed in Q5.3.

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

The bribery policy was seen to refer to the Bribery Act 2010, it detailed the company's expectations and that it carried up to 10 years imprisonment if breached. The company kept records of all payments made and the policy was reportable via the whistleblowing policy should concerns be felt. The policy was signed by the Director in Jan 2020.

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

The modern slavery policy was seen to refer to the Modern Slavery Act 2015 and the company's commitments. It detailed the company's expectations and was signed by the Director. The policy was not on the company website as the company turnover was below the £36M threshold.

## 6. Sustainability

### 6.1 (SCM.3.1) - How does the Organisation support the economic sustainability of the project partners?

The company had set payment terms with their subcontractors that met their payment dates from the projects that their subcontractors were assigned to. This was negotiable with the company to meet the needs of individuals.

Contract terms with clients varied, depending on the project; this could include payment for areas of work or a staged payment process.

### 6.2 (Sus.2.1) - How does the Organisation support the reduction in the use of Carbon and energy?

The company had set KPI's for their environmental performance; this set the threshold, such as the requirement to have zero environmental incidents. The company worked locally and promoted the use of public transport where possible.

The company monitored their mileage and electricity use at their management meetings. The fuel bills for the factory and offices were sampled. The company did not record their CO2 output as they were below the required threshold for ESOS to apply.

### 6.3 (Sus.3.1) - How does the Organisation support the reduction in the use of materials and resources?

The company were required to meet the design of the Client and designer for the products used. The factory did seek to minimise waste and to reuse components where possible. Site waste was managed by the PC, and the company would align with their requirements and expectations.

### 6.4 (Sus.4.1) - How does the Organisation support the reduction in the use of water?

The company only used water for domestic purposes.

### 6.5 (Sus.8.5) - How does the Organisation support best practice relating to sustainability?

The company did not encounter protected species working as a second fix trade. They did, however, seek to operate efficiently and considered their environmental outputs through their aspects and impacts register. They also formally monitored their environmental performance through their KPI's as required for their ISO 14001 certification.

## 7. Supply Chain Management

### 7.1 (SCM.1.1) - How does the Organisation ensure effective supply chain management?

The company's list of approved suppliers was seen to record suppliers under the following headers:

- Name
- Reference number
- City
- Category
- Phone number
- Email details
- Balance

The supplier questionnaire was seen to have the following sections:

- Quality management
- Environmental management
- H&S management
- Accident stats
- Code of conduct
- Accreditations

### 7.2 (SCM.10.2) - What controls does the Organisation have to ensure transparency of the selection process?

The selection of supplier processes was sampled within a flow chart; this detailed the choice that would be made from the approved supplier list. The company recorded the category of supplier to ensure that options were available with the selection of supplier, should one not be able to deliver as expected.

As the company did not undertake design often, the supplier would be dictated to them, and they were required to use the specific manufacturer for the components in the products offered.

### 7.3 (SCM.11.1) - What criteria do the Organisation stipulate for the sourcing of product?

The company would use aluminium that was traceable to meet the requirements of the BSEN 1090 certified products where this was required. The company did not typically procure timber, so this was not required of them.

### 7.4 (SCM.4.1) - How does the Organisation assess the performance of its supply chain?

The company would continually assess the performance of their supply chain, throughout all stages of manufacture and installation. Any concerns were reported and recorded as per the NCR procedure. The company would also take feedback externally from their Clients should they have any comments regarding the performance in their supply chain. The approach was to work closely with subcontractors to ensure that they met the company's standards, and an annual meeting was undertaken to ensure their performance was formally reviewed.

**7.5 (SCM.1.8) - How does the Organisation ensure the right to work and the absence of modern slavery for personnel within its supply chain?**

The supplier questionnaire asked if suppliers used slave labour, and if suppliers had a modern slavery policy, this was then to be provided as part of the supplier's submittal of documentation.

## 8. Emergency Preparedness and Site Security

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

The accident reporting procedure was sampled from the IMS manual, this stated that all incidents would be recorded and reported under RIDDOR 2013 as necessary. The company also recorded near-miss reports to minimise the potential of serious injuries.

An example near-miss report detailed an incident that had occurred, and the actions taken to rectify the matter through toolbox talks and PPE use.

The accident stats recorded zero RIDDOR reportable incidents in the five (5) years leading to audit.

### 8.2 (EP.2.1) - What mechanisms and processes are in place to mitigate accidents/ incidents/ unplanned events?

The business continuity plan was seen to have been issued on 01/04/2019 and considered workspace, IT systems and key staff. The recovery objectives included reinstating email and telephone for communication and the company website, all of which had realistic time scales for this to be achieved.

The loss of key staff was sampled and detailed how the company would respond with the responsible persons, and the contact details of the disaster recovery team and the stakeholders included.

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

The company's fire risk assessment was seen to have been conducted on 18<sup>th</sup> July 2019; this had been conducted by an external supplier and the company's building, people and sources of ignition had been reviewed. The company's employees undertook training for fire safety.

The fire drill had been conducted on 18/12/2019 and all persons evacuated in just over 2 min. The fire alarm was tested on a weekly basis.

### 8.4 (EP.4.1) - What controls does the Organisation use to maintain the security of their permanent and temporary (if applicable) sites?

The company worked from an office that used an intercom system and electric magnets for access. The estate had CCTV in place. On sites, the company relied on the Principal Contractor to provide the security provisions.