



BESA CAS Guide V5.4 September 2023

# **INTRODUCTION**

The Business Management Review has 7 sections to complete. This guide is intended to be used as preparation for the review and as further explanatory notes when completing the online BMR.

| Section   | Title                                   | Number of<br>questions | Exempt if<br>you have<br>relevant ISO<br>Certification | Exempt if you have either:<br>CHAS Elite, Construction<br>Line Gold/Platinum, Achilles<br>Building Confidence, CQMS<br>Safety-Scheme Premium Elite<br>or SCCS Build Assured CAS | Exempt if you have<br>either an SSIP<br>accreditation or<br>ISO45001 Occupational<br>H&S certificate |
|-----------|---|------------------------|--|---|--|
| Section A | Audit Details                           | 5                      | -  | No  | -  |
| Section B | Financial<br>Management                 | 7                      | -  | Yes   | -  |
| Section C | Professional<br>Integrity               | 6                      | -  | Yes   | -  |
| Section D | Quality<br>Management                   | 10                     | Yes  | Yes   | -  |
| Section E | Health<br>& Safety<br>Management        | 5                      | Yes  | Yes   | Yes  |
| Section F | Environmental<br>Management             | 4                      | Yes  | Yes   | -  |
| Section G | Employment,<br>Training and<br>Equality | 4                      | -  | Yes   | -  |

You only complete the questions you need to – if you already have certain types of certifications, these can exempt you from answering some or all of the audit questions, for example:

- Upload CHAS Elite, Constructionline Gold/Platinum, Achilles Building Confidence CQMS Safety-Scheme Premium/ Elite or SCCS Build Assured CAS in Section A2. Your Business Management Review is now complete, no further questions require an answer.
- By uploading either an SSIP accreditation or ISO45001 Occupational H&S certificate in Section A this will automatically exempt you from answering questions in Section E.

If you employ less than 5 employees some questions are either exempt or require a reduced amount of evidence.

The following guide explains each question, what evidence we are looking for and examples of certificates, policy, procedures. We suggest you read through the guide before you start and gather all the documents and evidence you need. We have also provided quick 'How to' videos for each question to show you how to upload your evidence or supporting documentation in the BESCA portal.

Don't forget your BESA Membership Team and BESCA Auditors are on hand to help you through the audit process so don't hesitate to get in touch:

BESA: 0345 646 1044 or membership@thebesa.com

BESCA: **0800 652 5533** or **info@besca.org.uk**.



# **SECTION A - AUDIT DETAILS**

#### Guidance

# Upload Template Example



This section is pre-populated with your company details

You will be asked to check the details are correct, make any changes and specify a client and site details of an installation against which we will carry out your technical evaluation against. For FM companies, your evaluation will be relevant to your Maintenance & Inspection works and will be completed via a desk-based evaluation.

N/A

Click here for How To Video



Does your organisation hold any of the following certification?

- CHAS Elite
- Construction Line Gold/Platinum
- Achilles Building Confidence
  - CQMS Safety-Scheme Premium/Elite
- SCCS Build Assured CAS

We are looking for you to demonstrate that your company meets the Build UK pre-qualification Common Assessment Standard. If your company holds a current certificate issued by one of the above organisations you will have fully met the BESA Business Management Review (BMR) audit criteria. Congratulations your BMR is now complete! If you don't have a certificate, then simply carry on with the audit questions.

Select NO:

Carry on with audit questions

### Select YES:

- Upload your in-date certificate
- 2. Enter the Expiry Date

The remainder of the BMR is now exempt.



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Does your organisation hold a UKAS (or mutually regonised by UKAS) accredited independent third-party certificate of compliance with BS EN ISO 9001?

We are looking for your ISO9001 Quality Management System Certificate. It must have been issued by an accredited UKAS (or mutually regonised by UKAS) third party organisation and must not have expired. Select NO:

Carry on with audit questions

### Select YES:

- 1. Upload your in-date certificate
- 2. Enter the Expiry Date

By uploading your certificate, the Quality Management questions in Section D will be exempt.

If your certificate does not display the UKAS logo, it cannot be used in this section. Search accredited organisations **here**.





Does your organisation hold a UKAS (or equivalent) accredited independent third-party certificate of compliance with BS EN ISO 14001 or a valid EMAS certificate?

We are looking for your ISO14001 Environmental Management System Certificate. It must have been issued by an accredited UKAS (or equivalent) third party organisation and must not have expired. Select NO:

Carry on with audit questions

#### Select YES:

- I. Upload your in-date certificate
- 2. Enter the Expiry Date

By uploading your certificate, the Environmental Management questions in Section F will be exempt.



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Click here for How To Video



Does your organisation hold a SSIP Certificate or UKAS (or mutually regonised by UKAS) accredited independent third-party certificate of compliance with BS EN ISO 45001 occupational Health and Safety?

We are looking for either your ISO45001 Occupational Health & Safety Certificate or SSIP certification. It must have been issued by an accredited SSIP assessment body or UKAS (or equivalent) third party organisation and must not have expired.

Click here for How To Video



Carry on with audit questions

#### Select YES:

- 1. Upload your in-date certificate
- 2. Enter the Expiry Date

By uploading your certificate, the Health & Safety Management questions in Section E will be exempt.

If your certificate does not display the UKAS logo, it cannot be used in this section. Search accredited organisations **here**.



# **SECTION B - FINANCIAL MANAGEMENT**

### Guidance

### **Upload Template Example**



Financial Information about your company.

We are looking for evidence of your accounts, this could be financial information e.g. forecasts for a start-up business, copy of most recent accounts that contain turnover, balance sheet etc for a sole trader or partnerships or a financial statement from Companies House for incorporated businesses.

In the BMR portal follow the guidance and select from Type 1-5 the accounts evidence that you will upload on behalf of the business.

If you are a company based outside the UK and registered with Companies House, please ensure that your registration number includes the prefix FC.



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Please provide a copy of your Employers Liability Insurance.

This question is not applicable when you're the sole director of your limited company, own 50% or more of the shares, and have no employees – in which case Employers' Liability Insurance isn't required. In this case select N/A.

Upload a copy of your policy certificate.

Insert your policy expiry date.

Click here for How To Video



**B3** 

Please provide a copy of your Public Liability Insurance. (Minimum £2m required)

This is a mandatory question and evidence requirement for all businesses.

Upload a copy of your policy certificate. You must be able to evidence at least £2m of insurance cover.

Insert your policy expiry date.

Click here for How To Video



В4

Please provide a copy of your Professional Indemnity Insurance if your business is involved in any of the following categories:

- design work; or
- acting as a consultant; or
- providing professional services; or
- providing professional advice and/or assessments.

Click here for How To Video

**Select N/A** if your business does not require PI insurance.

#### If Yes:

Upload a copy of your policy certificate.

Insert your policy expiry date.



**B**5

Please provide a copy of your Product Liability Insurance cover.

This question is only applicable where products are being supplied **if not** please select N/A.

Click here for How To Video

**Select N/A** if your business does not require PL insurance.

#### If Yes

Upload a copy of your policy certificate.

Insert your policy expiry date.



В6

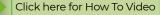
If you use sub-contractors, do you check whether your sub-contractors are financially stable and have met all their obligations to HMRC?

This is a Yes or N/A answer and may be followed up as part of the technical evaluation of your audit. We are looking for a statement/policy/document that provides details on your sub-contractor selection, suitability and financial checks. For example, this could be a pre-qualification questionnaire.

**Select N/A** if your business does not use contractors.

#### Select Yes:

Upload a copy of your subcontractor checks.





Have you been under investigation/enquiry or served any fines/penalties by HMRC or an overseas authority in the last 6 years? **Select No:** if the question is not relevant.

**Select Yes:** Provide details of any investigations/ enquiries/fines or penalties.

# SECTION C - PROFESSIONAL INTEGRITY

#### Guidance **Upload Template Example** Do you have an anti-bribery and corruption policy? Select No: Explain reasons BESA Bribery policy guidance: why in further details. C1 Here You should have an anti-bribery policy if there is a risk that someone **who works for you** or on your Select Yes: Upload a copy of your behalf might be exposed to bribery. policy. **BESA Anti-Corruption and** Your anti-bribery policy should be appropriate to the Bribery compliance: level of risk your business faces. Your policy should Click here for How To Video include: your approach to reducing and controlling Here the risks of bribery. Your policy should include: your approach to reducing and controlling the risks of bribery rules about accepting gifts, hospitality or donations guidance on how to conduct your business, eg negotiating contracts rules on avoiding or stopping conflicts of interest HSE Managing drug and Do you have a drug and alcohol policy? Select No: Explain reasons why in further details. alcohol misuse at work: We are looking for a copy of your policy. The Health Click here and Safety Executive (HSE) advises that employers Select Yes: should have a clear policy on misuse of drugs or Upload a copy of your and policy: alcohol. This could be included in your H&S Policy or policy. a stand-alone document if your business is under 5 Click here Click here for How To Video employees. Do you have a Corporate Social Select Yes: please upload copies of relevant documents Considerate Responsibility Policy? -this could be either a single corporate social responsibility Constructors policy or multiple codes of practice. The documents could Scheme CSR Policy We are looking for a copy of include examples of your company's approach to: compliance; Template: your policy. protecting people and the environment; volunteering; learning; supporting the community; business ethics; treatment of workers etc. Click here If you are a micro-business, you may answer N/A. Do you have an Anti-Slavery Select N/A if turnover less Guidance can be found here Statement or Policy? than £36m If your annual turnover is more than £36million, We are looking for a copy Select No: Explain why in you are legally required to have an anti-slavery further details. and human trafficking statement and this of your policy. question is mandatory. Please provide a copy of Select Yes: Upload a copy of your statement which must define the steps the organisation has taken during the financial year vour policy. to ensure that slavery and human trafficking is Insert your policy expiry date. not taking place in any of its supply chains and in any part of its own business. Are any Directors or Executive Officers the subject of N/A Select No: if no action has criminal or civil court action for bankruptcy, insolvency, been served Select Yes: provide details We are seeking a declaration from the company of circumstances and that its senior officers have not been subject to court actions. action or, in the case of action being applied, the Click here for How To Video details of the event(s). Are there any unsatisfied County or High Court Select No: if no action has N/A judgements or any enforcements and/or remedial been served. **C6** orders (HSE, EA, HMRI, etc.) in the last three years? Select Yes: provide details of Like the previous question, we require information circumstances and actions.

on any court actions within the past 3-years

Click here for How To Video

Continued on next page

# **SECTION D - QUALITY MANAGEMENT**

#### Guidance **Upload Template Example** Please provide evidence of processes that meet the Upload examples of business needs and enables the effective planning business management D1 Click here for How To Video documentation - you can and delivery of business operations. upload multiple files. We are looking for evidence on how your business operations are managed. Typical examples include functional processes and procedures e.g. organisational chart, quality manuals. **BESA Guide to Customer** Please provide evidence of your company's Customer **Upload Complaints** Complaints procedure? Procedure. Complaints handling: **D2** It is important that the company has a clear and Click here Provide further detail visible complaints policy. It should contain clear on staff awareness of guidance on how to complain and response times. complaints procedure and record keeping. We may also check your complaints record by sampling during the conference call. Click here for How To Video Do you have processes in place for the selection and Upload Documents and **Document pack D3** control of sub-contractors? provide further written Contractor questionare less **D3** than 5 details as appropriate. We are looking for evidence on your selection and Contractor questionnarie control procedures/documents when you engage a Select N/A if you do not use more than 5 Proceedure for the hire of sub-contractor to carry out work for your business. sub-contractors. It is important robust subcontractor competency contractors check(s) takes place. Download the full BESA Click here for How To Video BMR Document Pack Here Upload your sub-contractor Subcontracting: How is on-site & ongoing Document pack D4 performance monitoring and review carried out? monitoring document if you Site safety audit Contractor induction have one. Once onboard we need to see evidence that your Contractor H&S Checklist sub-contractors are monitored to ensure quality Or, describe the process in Download the full BESA performance is evaluated. which sub-contractors are BMR Document Pack Here Evidence of checks completed such as site safety supervised and how their audits. performance is reported on. Click here for How To Video Select N/A if you do not use sub-contractors Upload Document and Please provide supporting evidence which Document pack D5 demonstrates you have risk management policies, provide further written Risk assessment policy D5 procedures and systems. details if appropriate. arrangement & procedure We require evidence of reference documents either Download the full BESA hard-copy or electronic relating to your scope BMR Document Pack Here of work. These include as examples Approved Documents, Specifications and British Standards. Click here for How To Video Are records of business activities kept and retained for Upload evidence of retention. BESA guide to at least six years? Document Retention D6 click here We are looking for evidence of record keeping for six years in line with Government guidance if you run a Limited company. Sole Traders must keep records for at least 5 years. Click here for How To Video Self-employed **Limited Business**



# **SECTION D - QUALITY MANAGEMENT** (continued)

#### Guidance **Upload Template Example** Upload evidence. Does the company have access to National Specifications, Standards and/or Regulations that **D7** apply to their scope of work? Provide details in text box. You don't need to upload all documents, evidence that you or your employees have access will suffice e.g. screenshot of online access or photograph of hard copies. Click here for How To Video All 'in scope' notifiable works registered with local Select No: Provide detail in authorities within 30 days and certified to customer? box provided. Click here for How To Video D8 All controlled services work is required to be notified Select N/A: Move on to next to LABC. There are various methods this can be question. TB053: Notification of done either through Local Authorities Building Works under Building Regulations for England Control, Competent Person Schemes, Full Plans, Select Yes: Upload evidence. Principal Contractor etc. Please provide evidence of written quotations, Upload quotation document. showing breakdown of elements involved for works **D9** Click here for How To Video carried out. The quotation submitted should be in relation to the completed works submitted for technical review and detailed in section A. Are written terms of contract in place for the Upload contract document completed works being reviewed in the technical audit? or section of. **D10**

Please provide evidence of conditions under which the quotation is accepted, and subsequent work is managed and delivered. This should be specific to the works being reviewed as part of your technical audit.

Click here for How To Video

# SECTION E - HEALTH & SAFETY MANAGEMENT

# Guidance

### **Upload Template Example**



Please provide evidence of your company's Health & Safety policy.

We are looking for a copy of your health and safety policy document. You are expected to have and implement an appropriate policy, signed by the Managing Director or equivalent. The policy must be relevant to the nature and scale of your work and set out the responsibilities for Health & Safety management at all levels within the organisation.

If business is under 5 employee's Regulation 2 (3) of the Health and Safety at Work etc. Act will require just a written policy statement. Click here for How To Video

#### **HSE Policy Template**

Click here

BESA has produced a policy template to help you.

Below are a selection of useful documents accesible in the template pack that accompanies this guide.

### Document pack E1

Policy template for over 5 employees. Policy statement for under 5 employees.

Download the full BESA BMR Document Pack Here



Please provide evidence of how your organisation provides it employees/other workforce with health and safety training

Upload training evidence

Click here for How To Video Evidence of H&S culture including records, Mental Health at Work Programme, certificates of attendance and adequate H&S induction training. Example of 'Toolbox Talk', type training. Evidence of relevant training as required by H&S legislation or approved code of practice e.g. Asbestos Awareness Training



Do you routinely record and review accidents/incidents/ near misses and undertake follow-up action?

Please provide evidence of how you record and investigate accidents and incidents. This could include:

- Records of the last two accidents/incidents and action taken to prevent recurrence
- Records of any enforcement action taken over the last five years
- What action was taken to put matters right (information on enforcement taken by HSE over the last five years is available on the HSE website).

For large companies, please also provide simple statistics showing incidence rates of specified injuries, over seven-day injuries, reportable cases of ill health and dangerous occurrences for the last three years. Records should include any incidents that occurred to direct employees or subcontractors including if the company traded under a different name.

Click here for How To Video L74 First Aid at Work (Approved Code of Practice)

Click here

IND (G) 347 Basic Advice on First Aid at Work

Click here

### **Document Pack E3**

First aid needs assessment template.

Accident investigation template. Riddor and first aid policy and arrangements.

Download the full BESA BMR
Document Pack Here



Please provide evidence of arrangements for cooperating and co-ordinating your work with others (including other suppliers, notably contractors).

Upload details of arrangements

Click here for How To Video Please provide supporting evidence which could include:

- Sample risk assessments
- Procedural arrangements
- How the organisation coordinates its work with other interested parties
- Project team meeting notes



Continued on next page



# **SECTION E - HEALTH & SAFETY MANAGEMENT**

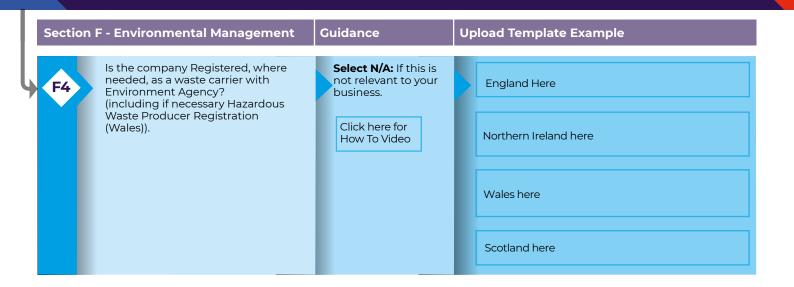
|    |  |  | G                              | uidance |  | Upload Template Example                          |
|----|--|--|--------------------------------|---------|--|--|
| E5 | Please provide evidence of your risk assessments, safe systems of work and method statements.  Evidence showing how the company will identify significant Health & Safety hazards and how the assessed risks will be controlled.  Evidence required, sample risk assessments/safe systems of work/method statements.  If you employ less than five persons and do not have written arrangements, you should be able to describe how you achieve the above. |  | ov. I I                        |         | HSE Risk Assessments here  |  |
|    |  |  | Click here for<br>How To Video |         | BESA has a number of templates<br>to help you complete a risk<br>assessment. Below is a selection of<br>risk assessments accessible in the<br>template pack that accompanies this<br>guide |  |
|    |  |  |                                |         | <b>Document pack E5</b> Risk assessment Templates  |  |
|    |  |  |                                |         |  | Download the full BESA BMR<br>Document Pack Here |

# SECTION F - ENVIRONMENTAL MANAGEMENT

#### Guidance **Upload Template Example** Is there a documented Yes: More and more often companies are being asked to demonstrate their commitment to managing Environmental Management F1 No: Policy that reduces and/or prevents their impacts on the environment. detrimental impacts to aspects of **Details:** company business and resource This could include insurers or financiers wanting depletion? to understand how environmental risk is managed in an organisation, or customers wanting to know that suppliers in their supply chain are taking their own environmental responsibilities seriously Having an Environmental Management Policy is one way for an organisation to demonstrate that it addresses and minimises its environmental impacts, manages its legal compliance and continuously improves its environmental performance. Although there is no legal requirement or standard structure for an environmental policy there are key Click here for areas that such a policy should contain. It should How To Video say what the key objectives that the company is following, who is accountable and how these are going to be achieved and by whom. Areas to look at could include: Transportation Stationery and supplies Improved efficiency Improve recycling/ minimise waste Dealing with other like-minded companies Continuous improvement Document pack F1 **Environmental Policy template** Download the full BESA BMR Document Pack Here Upload documents Document pack F2 How does your organisation effectively deal with waste disposal, Environmental Impact assessment example and provide details: F2 pollution control and recycling, Click here for and how the business works within Download the full BESA BMR Document Pack Here How To Video resource limits? Upload documents Please provide evidence that Please see document pack D3, D4, Environmental environmental policies and and provide details: Policy template & environmental toolbox talk. training are distributed and provided to the necessary people Staff environmental training should be completed in within your business, including relation to the responsibilities held. sub-Contractors where applicable. For small companies, simple online training on environmental awareness, together with in-house Click here for training such as toolbox talks, to explain company How To Video procedures is sufficient. Download the full BESA BMR Document Pack Here Continued on next page



# **SECTION F - ENVIRONMENTAL MANAGEMENT** (continued)



# SECTION G - EMPLOYMENT, TRAINING AND EQUALITY

### Guidance

### **Upload Template Example**



Please provide evidence that employees are issued with a written statement of the main terms and conditions of employment, on or before the commencement of employment. This may be included within an initial offer letter of employment, but must cover statutory requirements of SI ERA '96 (see ACAS template aside).

**Select N/A:** If you are a sole trader.

Click here for How To Video Template Form A (hourly paid, site-based Operatives) and Form B (Student Engineers & Salaried Staff) available on request from BESA Employment Affairs for those Employers that engage employees under the terms of one of BESA's National Working Rule Agreements. Available on request from BESA Employment Affairs. Tel: 020 7313 4915

Email: employment.affairs@thebesa.com

Other Employers – see Written Statement of Employment Particulars template produced by ACAS – access ACAS template **here** 



Please provide evidence that all your workforce (including those who are self-employed), who are working on construction sites undertaking a recognised construction occupation, hold appropriate evidence of qualifications, skills and knowledge.

#### **Upload evidence:**

Click here for How To Video

#### **Evidence could include:**

- Staff training matrix
- · CSCS Card or Partner Card Scheme
- Site SSSTS training course
- Certificates of training attendance
- Adequate health & safety induction training
- Competencies data base
- · Continuing Professional Development (CPD)
- Commitment to health and safety training in the health and safety policy
- Staff CV



Please provide supporting evidence which demonstrates that you are providing your workforce with quality-related training, CPD and information appropriate to the type of work they undertake.

From April 2020, written statement of main terms and conditions of employment requires the employer to stipulate training requirements for the job and who is responsible for providing (& funding) the training (EE or ER).

### **Upload evidence:**

Click here for How To Video Template Form A (hourly paid, site-based Operatives) and Form B (Student Engineers & Salaried Staff) available on request from BESA Employment Affairs.

Note: If your workforce is engaged under the terms of either the HVAC Operative National Working Rule Agreement or Staff Salary Agreement, these provide the qualification frameworks that support the grading definitions.

Other Employers - see Written Statement of Employment Particulars template produced by ACAS (section 12 entitled 'Training' – access ACAS template here https://www.acas.org.uk/templates-for-written-statements/written-statement-employee-template

Tel: 020 7313 4915 Email: employment.affairs@thebesa.com



As an employer, do you meet the requirements of the positive equality duties in relation to the Equalities Act 2010?

Please upload a copy of your Equality, Diversity and Inclusion (EDI) policy, which is applicable to the equality legislation for your country, which should be approved by the appropriate company director and regularly reviewed (within the last 12 months) or you can provide copies of relevant instructions, guidance, policies, literature or written statement/ evidence of relevant actions which demonstrate that you meet the requirements and where you believe they have made a difference.

### **Upload Policy:**

Enter your policy expiry date

Equality Act 2010: Guidance

Click here

Guidance for employers about their responsibilities under the Equality Act 2010

Click here

**Equality Act Guidance** 

Click here