

Guidance

on the questions in
the **Building Safety**
section of the **Common
Assessment Standard**





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Building Safety Requirement Overview

Under the Building Safety Act, organisations are required to show that they have the necessary organisational capability to carry out their roles, as defined in Regulation 11Q of the Building Regulations in the secondary legislation and several PAS documents, such as PAS8672, PAS8671, and BS 8670-1:2024.

Companies must prove they have the proper policies, procedures, and systems in place to obtain certification, which must be updated to align with the new Building Safety Regulations.

The Building Safety module is designed to help contractors and designers demonstrate their organisational capability under the new legislation and confirm their ability to perform their roles, 'depending on the responsibilities of the duty holder role(s) they are fulfilling.

Before starting the questions, we have listed some examples of the types of documentation and information that may be required to meet each question's criteria within this section. Please review this before starting.

Quality Management Policy:

The policy outlines the company's commitment to ensuring that all building work meets the highest standards of quality. The focus is on adhering to key requirements related to safety, design, materials, and structural integrity.

- ✓ **Fire Safety:** The company ensures all buildings comply with fire safety regulations, including the installation of fire detection systems, the provision of clear emergency routes, and the use of materials that meet fire resistance standards.
- ✓ **Design Requirements:** All building designs are carefully evaluated to ensure compliance with relevant legislation, addressing structural integrity, environmental impact, accessibility, and more.
- ✓ **Choice of Building Materials:** We select materials considering safety standards, focusing on fire resistance, sustainability, and durability.
- ✓ **Process of Build and Structural Elements:** Construction methods follow approved building practices, ensuring that structural design specifications are met to guarantee stability and safety.

Staying Updated with Relevant Changes:

Established systems to stay informed about and adapt to changes in building safety laws and regulations. These systems include:

- ✓ **The Building Safety Act:** Ongoing monitoring of amendments related to building safety, with particular attention to legislation for higher-risk buildings.
- ✓ **Building Regulations:** Regular review of updates to building regulations, particularly those concerning energy efficiency, Part B: Fire Safety and structural integrity.
- ✓ **Other Legislation and Industry Standards:** The organisation actively tracks changes in laws and technical standards concerning sustainability, accessibility, fire safety and building safety.

Planning, Managing, and Monitoring Compliance:

Established procedures to ensure building work complies with all applicable regulations. This includes:

- ✓ **Planning:** Comprehensive project planning to ensure all regulatory requirements are integrated from the beginning.
- ✓ **Management:** Continuous supervision to maintain compliance with legislation throughout the building process.
- ✓ **Monitoring:** Regular inspections and reviews to ensure compliance is sustained throughout the project, with necessary adjustments made as needed.

Information Management:

Effective systems are in place to collect, store, and manage critical information related to building construction:

- ✓ **Organizing and Updating Information:** Ensuring regular updates of building-related data, including changes in materials, construction methods, and design.
- ✓ **Verification and Sharing of Information:** Information is verified for accuracy and shared with all duty holders, including designers, contractors, and safety officers, to ensure everyone is informed and compliant.

Coordination for Mandatory Occurrence Reporting (MOR):

Ensure a coordinated approach with all duty holders to implement a Mandatory Occurrence Reporting (MOR) system for higher-risk buildings:

- ✓ **Setting Up the MOR System:** A formal process is in place to record and report any occurrences that may affect safety or compliance, such as near-misses or safety incidents.
- ✓ **Submitting Mandatory Reports:** Any deviations, incidents, or other relevant occurrences are promptly reported to authorities and documented for future analysis.

Workforce and Contractor/Sub-contractor Training:

A clear training process is in place to ensure all workforce members, including contractors and subcontractors, are up to date on safety regulations and best practices:

- ✓ **Training for Compliance:** All workers are educated on the legal and regulatory requirements for fire safety, structural integrity, and building safety.
- ✓ **Ongoing Education:** Continuous training sessions are provided to ensure the workforce remains informed of any updates to safety protocols or regulations.

Procedural Arrangements:

Have established formal procedures for all aspects of the building process, from planning to post-construction:

- ✓ **Standard Operating Procedures (SOPs):** These procedures address how building work will be carried out, ensuring compliance with regulations and managing risk.
- ✓ **Contingency Plans:** Clear procedures are in place for handling unexpected situations, such as safety incidents, or changes in design.



Key Point: Please **DO NOT** provide evidence that **ONLY** refers to CDM 2015. The core piece of legislation underpinning the Building Safety section is the Building Regulations, NOT CDM 2015.



Additional guidance and support can be found on our [Building Safety Act Hub webpage](#).



All Duty Holders

REF: 9957 *Please provide your arrangements for managing and recording key competencies (Skills, Knowledge, Experience and Behaviours) for your workforce and sub-contractors.*

What does this mean?

Managing and recording key competencies must align with legislations such as the Building Safety Act 2022/ Building Regulations in addition to industry standards. Regular audits and reviews should ensure that competency requirements are up-to-date, and procedures must be in place to report incidents related to competency failures. A structured competency framework must be in place, outlining the required skills, knowledge, experience, and behaviours for each role on the site. Competencies should be categorised based on trade, specialisation, and responsibilities, such as electricians, bricklayers, site supervisors, and project managers, to ensure clarity and alignment with project needs. During onboarding, it's essential to verify competency documents to confirm the qualifications of new team members. Competency assessments should be carried out both initially and periodically. Behavioural assessments should be conducted to evaluate leadership, teamwork, and professionalism and address skills gaps.

Regular performance appraisals should be linked to competency tracking, and on-the-job training programs or mentorship should be available for skill development. Managing the competencies of subcontractors requires pre-qualification checks before appointed to work on a project to ensure compliance with industry standards. Contractual obligations should be established for competency verification and training compliance. Ongoing monitoring through site inspections and project audits ensures subcontractor competencies are maintained, and non-conformance procedures should be in place. Competency management systems should be used to centralise data storage, integrating with timekeeping and project management tools. This system should maintain audit trails to demonstrate compliance with legal, safety, and industry standards, with easy retrieval of records for inspections, client requirements, and regulatory bodies.

To assess whether a subcontractor possesses the necessary organisational capability to carry out work in accordance with the Building Regulations and the Building Safety Act 2022, you may also want to consider using an assessment scheme that is aligned with BS 8670-1:2024. Constructionline provides this level of assessment via its Building Safety Act Assessment scheme. Further details, visit [Constructionline.co.uk/building-safety-act-assessments](https://www.constructionline.co.uk/building-safety-act-assessments)

How does this relate back to the Building Regulations and Building Safety Act?

To ensure compliance with legal requirements, including the Building Safety Act 2022 companies must adopt several key practices for managing workforce and subcontractor competency:

- 1. Understanding Competency Requirements:** Recognise the competency needs as mandated by the Building Safety Act.
- 2. Determining Training and Information:** Provide training aligned with the Building Safety Act, ensuring workers meet legal and industry standards.
- 3. Monitoring Training Effectiveness:** Regularly evaluate training programs and ensure critical safety information is effectively communicated and understood.
- 4. Ensuring Workforce and Contractor/Sub-contractor Competence:** Ensure all personnel possess the required skills and knowledge as outlined in the Legislation, industry standards and guidance and BS 8670-1:2024.
- 5. Implementing Refresher Training:** Maintain a refresher training program to keep employees updated on regulatory changes and best practices, along with ongoing CPD.
- 6. Maintaining Competency Records:** Keep detailed records of competencies to meet the "Golden Thread of Information" principle and comply with regulations.

What is Constructionline's Acceptance Criteria for this question?

This is best evidenced through a policy and/or procedure for identifying competence requirements for the workforce and key sub-contractors carrying out building or design work that directly feeds into a structured competency framework. This relates to obligations under The Building Regulations 2010, Chapter 3, Section 11F (1) and (2).
<https://www.legislation.gov.uk/uksi/2010/2214/regulation/11F>

Job to be analysed:

Goal	Job behaviours	Skills / Knowledge	Skills / Knowledge Level	Need for training	Training recommendations
What organizational goal are we trying to achieve	Which job behaviours contribute to achieving this goal	Which skills and knowledge components are required to display this relevant behaviours	What are the levels of the required skills and knowledge on a scale 1 - 5 (1 - lowest level 5 - Highest level) ?	What is the level of need for training	What type of training is need to close the skills and knowledge gaps?

REF: 9958 *Please provide evidence demonstrating your systems for managing and recording key competencies (Skills, Knowledge, Experience and Behaviours) for your workforce and subcontractors. This may be evidenced by a Training Matrix, Training Records, upcoming Training / CPD programmes.*

A centralised database or digital system is crucial for tracking qualifications and certifications. A verification process should be established to check licenses and accreditations, such as : CSCS or Alliance Cards, NVQs, CITB certifications, and SMSTS/SSSTS. The system should also maintain records of mandatory training, with a tracking system for the expiry of renewable certifications and automatic alerts for renewals.

What are Constructionline's Acceptance Criteria for this question?

- ✓ **A process for identifying workforce and subcontractor competency** requirements in line with BS 8670.
- ✓ **Documentation of training records**, including certificates of attendance, CPD programs, competency management matrices, CSCS Alliance card copies, and other relevant materials.
- ✓ **Proof of a strong training culture**, supported by records and certificates of attendance, and comprehensive induction training. Training should be accessible and available in a range of formats, including oral, written, visual, digital, or graphic.
- ✓ **Dedicated training on your Quality Management Policy** or related arrangements.
- ✓ **Evidence of an active Continuing Professional Development (CPD) program.**
- ✓ **Examples of 'toolbox talk'-style training sessions.**
- ✓ **Proof of training required by legislation or approved codes of practice, such as fire safety or Building Regulations.**

REF: 9959 *Please provide evidence showing your procedures for providing appropriate supervision, instruction and information to your workforce and key Contractor/Sub-contractor roles under your control to ensure that any work your company undertakes meets relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).*

What does this mean?

Proper supervision and clear instructions help minimise mistakes, defects, and unsafe practices, protecting workers and the public. They define roles and responsibilities, reducing confusion and ensuring accountability. Standardised processes streamline workflows, reduce delays, and improve communication, contributing to more reliable and efficient projects. Non-compliance can lead to severe legal and financial consequences, including stop-work orders, fines, or even imprisonment, and may invalidate insurance coverage, leading to financial losses.

What should be included in these procedures?

Your procedures for **supervision, instruction, and information** should be **clear, structured, and aligned with legal and industry requirements**.

- 1. Purpose & Scope:** Clearly define the purpose of the procedures, such as compliance with the Building Safety Act, Building Regulations and specify which roles they apply to, including employees, subcontractors, and site managers.
- 2. Roles & Responsibilities:** Outline the duties of supervisors/managers (ensuring compliance and conducting checks), employees (following instructions and reporting hazards), and Contractors/Sub-contractors (adhering to policies and maintaining safety).
- 3. Supervision Procedures:** Include site inspections, audits, permit-to-work systems, competency checks, and performance monitoring to ensure work meets quality and safety standards.
- 4. Instruction & Training:** Establish induction processes for new staff and Contractors/Sub-contractors, regular toolbox talks, formal training programs, and clear emergency procedures.
- 5. Communication & Information Sharing:** Define communication methods, update workers on regulatory changes, and outline the process for reporting issues or non-compliance.
- 6. Compliance & Enforcement:** Implement regular audits and inspections to ensure compliance, and outline consequences for non-compliance, including disciplinary actions, contract termination, or retraining.
- 7. Document Control & Record-Keeping:** Maintain records of training, inductions, site inspections, incident reports, and communication logs. Ensure records are secure, up-to-date, and easily accessible for audits or legal checks.

This is best evidenced through a policy and/or procedure showing how the company provides its workforce and subcontractors with supervision, instruction and information, standardised per job role, relating to their work. This relates to obligations under The Building Regulations 2010, Chapter 4, Section 11L (1) and (2). <https://www.legislation.gov.uk/uksi/2010/2214/regulation/11L>

REF: 9960 *Please provide evidence of how you communicate (or intend to communicate) with the client confirming that they are aware of their duties under The Building Safety Act.*

What does this mean?

All suppliers should show competency to help the client understand and fulfil their legal responsibilities. This communication also clarifies roles and responsibilities, making it easier to establish accountability and avoid misunderstandings. Ensuring the client is aware of safety and structural integrity duties reduces risks and protects workers, tenants, public. Additionally, confirming their awareness promotes smoother collaboration, fewer delays, and a higher likelihood of meeting safety standards by demonstrating due diligence, showing that you are committed to maintaining the highest building safety standards.

What are Constructionline's Acceptance Criteria for this question?

You must show how you check that the Client is aware of their duties under Building Regulations (as amended by BSA), and how you are satisfied of this BEFORE starting any design or building work.

You should demonstrate that you have a procedure for doing this, which could be accompanied by supporting evidence such as a letter or e-mail template. This relates to The Building Regulations, Part 2A, Chapter 4, 11K(1), 11L(1). The clients duties are also contained within Chapter 1, 11A, 11B and 11C. <https://www.legislation.gov.uk/ukxi/2010/2214/part/2A/chapter/1>

<https://www.legislation.gov.uk/ukxi/2010/2214/part/2A/chapter/4/crossheading/duties-of-dutyholders>

REF: 10005 *Please provide a clear explanation of the arrangements which the company has made to ensure it keeps up to date with changes to relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).*

What does this mean?

Being aware of regulatory updates can prevent costly delays, improve efficiency, and enhance project outcomes. Additionally, staying informed about regulations supports insurance coverage and strengthens client confidence, ultimately contributing to the success of your projects. Regularly engaging with industry groups or following organisations that provide updates can help ensure your business remains compliant and efficient. It ensures legal compliance, protecting your business from penalties or liabilities. Keeping informed helps maintain safety standards, reduces risks, minimises accidents and protects your reputation.

What are Constructionline's Acceptance Criteria for this question?

Your answer should cover how you ensure that the company keeps up to date with changes to industry standards and relevant requirements such as new primary and secondary legislation, and new trade specific technical competencies. You may be a member of an advisory group, get updates from a membership organisation such as Construction Leadership Council (CLC), Industry Competence Committee (ICC), Industry Competence Steering Group (ICSG), Joint Competence Initiative (JCI) or general groups like HSE, Barbour etc.

EXAMPLE: "I regularly monitor updates to building regulations and the Building Safety Act to ensure compliance with the latest legal requirements. This includes subscribing to industry publications, attending relevant training and seminars, and participating in webinars and professional networks focused on building safety and regulatory changes. I also maintain close communication with legal and compliance teams to review updates and discuss how they impact current and upcoming projects. Additionally, I ensure that our team is trained and briefed on any changes to regulations that may affect their work. This proactive approach helps me manage risk, ensure safety, and maintain high standards of compliance in all our projects"



Please note: Simply using this exact text will result in rejection and this is only an example

REF: 9962 *Please provide the arrangements you have in place to ensure that your Contractor's/Sub-contractor's workforce have up to date and relevant competencies for working in roles related to fire safety and structural failure in buildings.*

What does this mean?

Ensuring that Contractors'/Sub-contractors' workforce is competent in fire safety and structural integrity helps ensure legal compliance with building safety regulations, reduces risks of accidents or fatalities, and protects both the workforce and the public. Competent Contractors/Sub-contractors contribute to the quality and safety of the building, improving project integrity. Maintaining competent workers helps safeguard your reputation, meets insurance requirements, and builds client confidence. It also helps avoid costly delays and rework. Please note: Using this exact text will result in rejection, this is only an example.

What should be included in these arrangements?

Subcontractors should undergo site-specific inductions and safety briefings, with designated supervisors ensuring compliance. Mitigation plans should be in place, along with clear fire safety and structural failure procedures. You should show how they evidence with you their regular competency assessments, ensuring ongoing training and development, and maintaining updated certifications and records. Communication with Contractors/Sub-contractors should be open, with regular meetings to discuss safety and compliance performance monitoring, feedback mechanisms, and corrective actions should be established to address any issues.

What is the Constructionline's Acceptance Criteria for this question?

This can be effectively shown through components of a PQQ or a Contractor/Sub-contractor Assessment that explicitly address competencies in Fire Safety and Structural Failure in Buildings. Additionally, you may want to establish procedures that direct subcontractors to the applicable legislation, to ensure that your subcontractors confirm their workers possess current and relevant competencies for roles related to fire safety and structural failure in buildings.

The supporting evidence could additional include:

This is best evidenced through your policy and/or procedure for your sub-contractors to confirm that their workers have up to date and relevant competencies for working in roles related to fire safety and/or structural failure in Standard Construction and/or Higher-Risk Buildings (depending on the work that you do). Please note the broad definitions of fire safety and structural failure in the linked documents and information from the Joint Competency Initiative. This question relates to the following legislation:

Building Regulations 2010 Part 2 Reg 4 and 6, Schedule 1 to the Building Regulations 2010 Part A and B, Approved Document A - Structural Failure, Approved Document B - Fire Safety Vol 1 and 2.

<https://www.legislation.gov.uk/ukxi/2010/2214/schedule/1>
<https://www.legislation.gov.uk/ukxi/2010/2214/part/2>
https://assets.publishing.service.gov.uk/media/5a80437640f0b623026927b2/BR_PDF_AD_A_2013.pdf
https://assets.publishing.service.gov.uk/media/67d2bb074702aacd2251cb94/Approved_Document_B_volume_1_Dwellings_2019_edition_incorporating_2020_2022_and_2025_amendments_collated_with_2026_and_2029_amendments.pdf
https://cdn.shopify.com/s/files/1/0192/5660/6786/files/White_Paper_-_Achieving_Competence_in_the_Building_Envelope_Sector_Publication_Version_09.05.23.pdf?v=1683739099

Additionally, for those companies who intend to work on Higher Risk Buildings, this question also relates to the definitions of fire safety & structural failure within:

Building Safety Act 2022, Part 4 Higher-risk Buildings Section 62
 Building Act 1984 Section 120G and 120H
<https://www.legislation.gov.uk/ukpga/2022/30/section/62>
<https://www.legislation.gov.uk/ukpga/1984/55/part/IV/crossheading/higherrisk-buildings-etc>

REF: 9963 *Please provide the arrangements you have in place to communicate and cooperate with other duty holders to ensure that any work (building or design) is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).*

What does this mean?

By collaborating, all parties can meet their specific legal obligations, manage risks, and maintain safety standards. This helps prevent non-compliance, reduces the risk of accidents, and ensures consistent application of safety measures. It also improves project efficiency, minimises delays, and addresses issues promptly. Clear communication promotes a successful project outcome, fosters client trust, and ensures ethical responsibility for the safety of workers and building occupants. Documentation of decisions and actions further ensures accountability and compliance.

What should I include in these arrangements?

- 1. Communication Protocols and Collaborative Compliance Planning:** Establish effective channels and a regular schedule for communication, designating a central point of contact and ensuring all decisions and communications are documented for auditing. Develop a shared framework for compliance ensuring all duty holders contribute and sign off on plans.
- 2. Training and Competency:** Define required training and competency for each duty holder, with induction processes for new personnel and ongoing updates on regulations.
- 3. Issue Resolution and Escalation:** Implement clear procedures for reporting and addressing issues, including corrective actions and collaborative problem-solving processes.
- 4. Document Management:** Maintain a centralised record of all project documentation, ensuring an audit trail of decisions and actions taken to ensure compliance.
- 5. Monitoring and Review:** Regularly monitor compliance through checks and inspections, gathering feedback from duty holders to address potential issues early and evaluate the process post-project.
- 6. Contingency Plans:** Prepare for unexpected risks with contingency plans and ensure all duty holders are involved in emergency procedures.
- 7. Compliance with Industry Standards:** Ensure adherence to industry guidelines and prepare for inspections by regulatory authorities with the necessary documentation.

What are Constructionline's Acceptance Criteria for this question?

This can be best evidenced through a policy / procedure showing your arrangements to provide other duty holders with relevant information about the works being carried out to assist them in complying with relevant requirements and to receive information from them to ensure that the supplier meets relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards.) This relates to obligations under The Building Regulations 11J 3 and 4. <https://www.legislation.gov.uk/ukxi/2010/2214/regulation/11J>

REF: 9969 *Please provide an explanation detailing the arrangements you have in place to collect, store, organise, update and share information with other duty holders to help create a Golden Thread of Information for a Higher-Risk Building.*

What does this mean?

Establishing effective arrangements for managing, storing, sharing, contributing and accessing information is crucial for ensuring compliance with the requirement for Golden Thread of Information, ensure that safety-critical information is accurately documented and readily available throughout the building's lifecycle, from design to occupancy and refurbishment, supporting both compliance and safety.

What should I include in these arrangements?

You should follow a structured process.

- 1. Information Collection:** Identify essential data such as design plans, fire safety strategies, and compliance certificates, and assign responsibilities for collecting this data to specific duty holders. Use standardised templates for consistency.
- 2. Information Storage:** Store information securely in digital systems like Building Information Management (BIM) or Common Data Environments (CDE), ensuring data security and maintaining a version history.
- 3. Organisation & Structuring:** Categorise and index information for easy retrieval, ensuring accessibility for all relevant parties.
- 4. Regular Updates & Maintenance:** Schedule regular updates to keep data current, document changes in real time, and appoint a compliance manager to oversee consistency.
- 5. Information Sharing & Communication:** Establish clear communication channels to share updates, define responsibilities for each duty holder, and maintain a transparent audit trail of shared information.
- 6. Compliance Monitoring & Review:** Conduct regular audits to ensure compliance with regulations, track progress with checklists, and seek continuous feedback to improve the process.

What are Constructionline's Acceptance Criteria for this question?

Your explanation may include past examples of your contributions to building safety information at a project, premises, or organisational level. Additionally, you should specifically reference the use of a Common Data Environment (CDE) and explain how you will interact with it.

EXAMPLE:" We ensure that any of the documents produced as part of our projects are kept electronically so can be provided to the Client or other duty holders as required. The 'Golden Thread' is the term used to describe the information and documents that are collected, stored, and used to facilitate the management and delivery of required works across Higher-Risk Buildings throughout their lifecycle. We will establish a comprehensive framework for the collection, storage, organisation and sharing of critical building safety and operational data. Information is collected from clients following contract award, to facilitate the successful delivery of services from our organisation. Information including addresses, names, financial information and more will be stored and accessible onto to authorised personnel (specific to the contract being delivered for the client). We have also completed via Teams any information required by the Client or Principal Designer/Contractor/Sub-contractor such as Asbestos Registers for HRBs and programme of works. On a recent commercial project, the client utilised Sharepoint for it, where we uploaded information on plant used and completed areas. We recognise the importance of maintaining the Golden Thread of information between stakeholders at all times.



Please note: Simply using this exact text will result in rejection and this is only an example

REF: 9970 *Please provide an explanation detailing the arrangements you have in place to provide the Client and other duty holders with the appropriate information to update the change control log when changes are made during the design, construction or occupation stages of a Higher-Risk Building.*

What does this mean?

The Change Control Log tracks changes in a Higher-Risk Building (HRB) during design, construction, or occupation stages. It records essential information, including a description of the proposed change, the reason for it, the classification of the change (Recordable, Notifiable, or Major), and the people consulted for advice. The log also tracks affected documents that need updating and ensures compliance with building regulations. This structured process maintains transparency, accountability, and compliance with safety standards.

What should I include in these arrangements?

1. Outline Your Change Management Process
2. Describe How You Identify & Record Changes
3. Explain Your Approval & Communication Process
4. Describe Your Digital Systems for Record-Keeping
5. Compliance & Continuous Review

What are Constructionline's Acceptance Criteria for this question?

Please provide a clear explanation of the arrangements which the company has made to provide information with the Client and other duty holders to update the change control log.

The information provided should include:

- ✓ A description of the proposed change
- ✓ An explanation of the reason why the change has been proposed
- ✓ Whether the change is a recordable, notifiable or a major change
- ✓ A list of the name and occupation of each person, if any, whose advice was sought in relation to the proposed change and a brief summary of any advice provided
- ✓ An assessment of which agreed document is affected by the proposed change and confirmation that a revised version has been produced
- ✓ An explanation, in relation to the proposed change, of how the HRB work or work to an existing HRB will, after the proposed change is carried out, comply with Building Regulations.

We have a structured change control process in place. All modifications made during the design, construction, or occupation of a Higher-Risk Building (HRB) are properly documented, assessed, and communicated. Our process ensures that any changes comply with the Building Safety Act, Building Regulations, and the Golden Thread. If proposed changes are logged in our Change Control Log, which includes:

- ✓ A clear description of the proposed change. A justification for why the change is required.
- ✓ Classification of whether the change is recordable, notifiable, or major.
- ✓ A list of duty holders and specialists consulted (e.g., Fire Engineer, Structural Engineer).
- ✓ Identification of affected documents and confirmation that updated versions have been created.
- ✓ An assessment of how the change ensures continued compliance with Building Regulations.

We have a defined approval workflow to ensure that all changes are reviewed and communicated:

- ✓ Minor recordable changes are documented and stored for audit purposes.
- ✓ Notifiable changes are reviewed and shared with the relevant duty holders.
- ✓ Major changes are formally submitted for approval before implementation.

All changes are communicated to clients, duty holders, and regulatory bodies through regular update meetings, digital reports, and formal submissions. To maintain an accurate and real-time Change Control Log, we use a Common Data Environment (CDE) or Building Information Management (BIM) system, where all change records, approvals, and updated documents are securely stored and easily accessible to duty holders



Please note: Simply using this exact text will result in rejection and this is only an example



Contractor/Sub-contractor

REF: 9972 *Please provide the arrangements you have in place to coordinate with the Principal Contractor to report breaches or concerns with building work adhering to relevant requirements when working on a Higher-Risk Building in your role as Contractor/Sub-contractor.*

What does this mean?

It is crucial to coordinate with the Principal Contractor to report any compliance breaches or concerns regarding safety standards and regulations. This ensures legal compliance with the Building Safety Act, protects public and worker safety, maintains the Golden Thread of Information, and prevents project delays and costly rework. Additionally, it fosters a culture of accountability and collaboration by aligning all duty holders in achieving safety and compliance goals.

What should I include in these arrangements?

1. A Defined Reporting Process

- ✓ Establish a **clear procedure** for reporting compliance concerns or breaches to the **Principal Contractor**.
- ✓ Specify **who is responsible for reporting issues** and **how reports should be documented and escalated**.

2. Regular Site Inspections and Monitoring

- ✓ Implement **scheduled inspections** to identify **potential breaches** in workmanship, materials, or safety measures.
- ✓ Ensure that findings are **shared with the Principal Contractor** and appropriate corrective actions are taken.

3. Incident and Non-Compliance Reporting Logs

- ✓ Maintain a **centralised log** where all reported breaches, concerns, and corrective actions are recorded.
- ✓ Ensure that this log is **accessible to relevant duty holders** to maintain **transparency and traceability**.

4. Coordination Meetings with the Principal Contractor

- ✓ Hold **regular meetings** with the **Principal Contractor** to discuss **compliance concerns, safety issues, and corrective measures**.
- ✓ Ensure that **any required actions** are assigned to the **appropriate individuals** and monitored for completion.

5. Integration with Mandatory Occurrence Reporting (MOR)

- ✓ Ensure that any **serious safety concerns or major non-compliance issues** are reported through the **Mandatory Occurrence Reporting (MOR) system**.
- ✓ Work with the **Principal Contractor** to ensure that all **regulatory reporting requirements** are met.

6. Training and Awareness for the Workforce

- ✓ Provide **training sessions** to ensure that **workers understand what constitutes a compliance breach and how to report concerns properly**.

7. Escalation Procedures for Major Compliance Failures

- ✓ Define **escalation routes** for **major safety violations or persistent non-compliance issues**.
- ✓ Establish a **clear process for involving the Building Safety Regulator (BSR)** if necessary.

What are Constructionline's Acceptance Criteria for this question?

This can be best evidenced through a policy and / or procedure that detail your arrangements to coordinate with the Principal Contractor to report any breaches to relevant requirements or any concerns with works adhering to relevant requirements (including but not limited to defective building work or systems, incomplete compartmentation or inadequate general fire precautions.) Your whistleblowing policy is appropriate if it specifically talks about these things. This relates to The Building Regulations Part 2A Chapter 4, 11 L (4) and The Building (Higher-Risk Buildings Procedures) (England) Regulations 2023 Part 4 32 1 A [where Reporting Persons refers to Contractors]

<https://www.legislation.gov.uk/ukxi/2010/2214/regulation/11L>

<https://www.legislation.gov.uk/ukxi/2023/909/regulation/32>



YOU MUST:

Report an act if you reasonably believe that it has been or is likely to be a breach of the Code of Conduct or the Law

Employees may wish to report information relating to any of the following work related issues:

- Criminal offence
- Failure to comply with any legal obligation
- Harassment / bullying or discrimination of any kind
- Health and safety risks
- Damage to the environment
- Miscarriage of justice
- Deliberate concealment of information relating to the above matters
- Serious breach of the company's email and internet policy including the distribution/circulation of offensive material including pornography.
- An aspect of building design, an incident or a situation relating to the structural integrity or fire safety of a building which, if not remedied, would be likely to present a risk of a significant number of deaths, or serious injury to a significant number of people

Employees are also encouraged to report information regarding the legitimacy of any instructions or actions in respect of commercial, financial or risk management processes:

- Fraudulent concealment in the context of construction operations,
- such as the omission of reinforcement
- Manipulation of figures (e.g. inflated cost transfers)
- Any acts of bribery

REF. 9974 / 10008 *Please provide the arrangements you have in place to provide other duty holders with relevant information about building work being carried out in your role as Contractor/Sub-contractor.*

What does this mean?

Effective communication ensures coordination between duty holders and supports safe and compliant work. It also demonstrates due diligence, protecting the Contractor/Sub-contractor from liability in case of disputes or safety incidents. Sharing timely and accurate information is crucial for the success, safety, and legal compliance of the project.

As a contractor, you must have clear arrangements in place to ensure all relevant duty holders – such as the client, designers, and the principal Contractor/Sub-contractor – are kept fully informed about the building work being carried out. To meet this responsibility, you should hold regular coordination meetings with the principal contractor, designers, and the client to discuss progress, highlight any risks, and communicate changes to the work plan. You should also provide written notifications and reports, including method statements, and regular progress updates, so that all parties are aware of the nature and timing of the work.

Maintaining close communication with the principal contractor is essential to ensure all site activities are coordinated effectively, ideally through a designated point of contact. Where possible, use a Common Data Environment (CDE) or shared digital platform to store and share documentation, drawings, and updates. Any unexpected risks, delays, or design changes must be reported immediately using the appropriate channels to ensure timely action can be taken. You should also participate in toolbox talks and site inductions to keep site workers and supervisors informed of safety updates and any changes in the work. Following these practices helps ensure effective communication and compliance with your legal duties.

What should I include in these arrangements?

1. Processes for Sharing Information

Establish **formal methods for communication**, such as:

- ✓ Digital platforms (e.g., **Common Data Environments (CDEs)**)
- ✓ Scheduled **progress meetings** with duty holders supplemented with progress reports and compliance updates.

2. Types of Information to Be Shared

- ✓ **Work Progress Reports** – Updates on **construction stages, milestones, and potential delays**.
- ✓ **Method Statements (RAMS)** – Outlining how work will be carried out safely and in compliance with regulations.
- ✓ **Compliance Adjustments** – Any **modifications to the original construction plan** that affect compliance.
- ✓ **Fire Safety & Structural Integrity Measures** – Key safety controls implemented to **mitigate fire and structural risks**.
- ✓ **Incident Reports & Mitigation Actions** – Reporting **safety concerns, hazards, or near misses**.

3. Documentation & Record-Keeping

Maintain a **clear record** of:

- ✓ **What information was shared.**
- ✓ **Who received it.**
- ✓ **When it was communicated.**
- ✓ **Any actions taken as a result.**

What are Constructionline's Acceptance Criteria for this question?

This can be best evidenced through a policy and/or procedure in place to provide other duty holders with relevant information about the works being carried out to assist them in complying with relevant requirements and to receive information from them to ensure that the supplier meets relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards.)

This relates to The Building Regulations Part 2A, Chapter 4, 11L (3)

<https://www.legislation.gov.uk/ukxi/2010/2214/regulation/11L>



Contractor/Sub-contractor and Principal Contractor

REF: 9975 / 10009 *Please provide the arrangements you have in place to plan, manage and monitor the building work you undertake to ensure the work complies with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards), in your duty holder role as a Principal Contractor and/Contractor/Sub-contractor.*

What does this mean?

Effective communication with other duty holders ensures coordination and transparency, supporting the Golden Thread of Information and ensures coordination between duty holders and supports safe and compliant work. Proper planning also facilitates inspections, audits, and a smooth handover process. By implementing these measures, you protect lives, avoid penalties, and ensure long-term safety and compliance in all your projects.

What should I include in these arrangements?

Your arrangements should cover **key processes, responsibilities, and monitoring systems**:

1. Planning the Work

- ✓ **Pre-Construction Information** – Identify **fire, and structural risks** before starting work.
- ✓ **Design Compliance Checks** – Ensure designs comply with **Building Regulations and fire safety standards**.
- ✓ **Roles & Responsibilities Defined** – Assign **supervisors, contractors, and compliance officers**.
- ✓ **Coordination with Duty Holders** – Establish clear **communication channels** with the **Client, Principle Designer (PD), Building Control, and regulators**.

2. Managing the Work

- ✓ **Competency Management** – Ensure workers, subcontractors, and supervisors have the **necessary skills, knowledge experience and behaviours**
- ✓ **Material & Product Compliance** – Verify that materials used **meet regulatory and fire safety requirements**.
- ✓ **Supply Chain Management** – Work only with suppliers that provide **certified and compliant materials**.
- ✓ **Emergency Procedures** – Have **fire safety and evacuation plans** in place for the site.

3. Monitoring & Quality Control

- ✓ **Regular Site Inspections** – Conduct **daily, weekly, and milestone-based checks** to ensure compliance with fire safety measures (e.g., fire doors, compartmentation) and Structural integrity (e.g., load-bearing elements, foundations).
- ✓ **Supervision & Sign-Off Procedures** – Ensure **site managers and safety officers** review and approve work
- ✓ **Defect Management Process** – Identify and rectify **non-compliant work immediately**.
- ✓ **Audit & Compliance Checks** – Keep records of inspections, test results, and regulatory compliance approvals.

4. Record-Keeping & Information Management for Handover Documentation

– Provide detailed records upon project completion, including **Fire strategy reports, structural safety certificates maintenance & operation manuals**.

5. Compliance & Continuous Improvement

- ✓ **Training & Competency Development** – Regularly update teams on **regulatory changes and best practices**.
- ✓ **Lessons Learned Reviews** – Conduct **post-project evaluations** to improve future processes.
- ✓ **Incident & Near-Miss Reporting** – Maintain records of safety issues and take corrective action.

What are Constructionline's Acceptance Criteria for this question?

You can best evidence this by providing a policy and/or procedure detailing how you plan, manage and monitor any building work you undertake to ensure the work complies with relevant requirements. This relates to The Building Regulations Part 2A, Chapter 4, 11J (1)

<https://www.legislation.gov.uk/uksi/2010/2214/regulation/11J>



Principal Contractor

REF: 9979 / 10011 *Please provide evidence specifically about the construction phase, showing how you have successfully implemented your arrangements to plan, manage and monitor building work to ensure that it is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards) in your role as Principal Contractor.*

What does this mean?

You must provide evidence of how you plan, manage, and monitor the construction phase to ensure compliance with safety, regulatory, and legal requirements. This evidence demonstrates legal compliance, reduces the risk of legal penalties, and ensures safety for workers, the public, and future occupants. Clear documentation facilitates regulatory inspections and audits; while managing and mitigating risks ensures the project stays on track. Providing this evidence enhances your reputation by showing a commitment to best practices, safety, and quality assurance, ultimately protecting against legal, financial, and reputational risks.

What could I use to demonstrate we do this?

- 1. Fire Risk Assessment and Safety Plans:** Fire safety, emergency procedures, and structural integrity must be included.
- 2. Compliance Monitoring and Inspections:** Records of site inspections and reports document compliance with building regulations and safety standards, addressing any non-compliance issues and corrective actions.
- 3. Quality Management Procedures:** You should provide evidence of Quality Management System (QMS) that ensures compliance with standards, along with quality checks throughout construction.
- 4. Communication and Collaboration Records:** Meeting minutes and correspondence with duty holders, including the Principal Designer, Building Control, and subcontractors, should demonstrate how compliance and safety issues are communicated and addressed.
- 5. Change Control and Documentation:** A change control log and records of design or construction changes should be provided, along with evidence of updated plans and documents that show how these changes were implemented in compliance with relevant regulations.
- 6. Site-Specific Documentation:** Daily site reports, detailing progress and compliance issues, should be maintained, along with permits, licenses, and approvals from authorities confirming that the work complies with regulations.
- 7. Post-Completion Documentation:** As-built drawings, completion certificates, and a Building Safety File that reflects the final construction and its compliance with regulations should be provided. These documents are essential for future building management and safety checks.
- 8. Incident Reports and Corrective Actions:** Any accident or incident reports detailing on-site issues, including corrective actions taken, should be documented. This shows how non-compliance and safety breaches were managed and resolved.
- 9. Evidence of Cooperation with Duty Holders:** Logs of meetings and communication with other duty holders should show how coordination and cooperation ensured compliance with legal requirements throughout the project.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements to plan, manage and monitor the building work during the construction phase and coordinate matters so that any building work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ A Quality Management Policy or statement outlining the relevant requirements for the building work (e.g., compliance with Building Regulations such as fire safety and structural elements)
- ✓ Key Performance Indicators (KPIs) and how the supplier tracks them throughout the project timeline
- ✓ Monitoring procedures to ensure regular checks or audits of practices, with management responses
- ✓ Post-project review
- ✓ Meeting notes and records of other discussions
- ✓ Examples of information exchanges on topics like Building Regulations, fire safety, etc.
- ✓ How the supplier coordinates their work with other duty holders

REF: 9980 / 10012 *Please provide your arrangements which demonstrate coordination with other duty holders AND also how you ensure their co-operation with each other, so that all work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards). As a Principal Contractor, please ensure your arrangements cover your building work.*

What does this mean?

A key part of PC responsibility is coordinating with other duty holders – like designers, Contractors/Sub-contractors, and building control – to ensure legal compliance, safety, and project efficiency. Strong coordination minimises delays, cost overruns, and disputes, while fostering collaboration and trust among project teams and stakeholders. To achieve this, arrangements should include clear roles, communication protocols, regular meetings, information management systems, and change control and conflict resolution procedures.

What should I include in these arrangements?

- 1. Defined Roles and Responsibilities** – Clearly assign duties to all involved parties and ensure accountability throughout the project lifecycle.
- 2. Communication and Information Sharing** – Establish protocols for regular updates, design change management, and centralised document access to keep all stakeholders informed.
- 3. Cooperation Procedures** – Use formal agreements and joint compliance efforts to align all duty holders, with clear escalation routes for resolving issues.
- 4. Compliance Coordination** – Maintain the Golden Thread of Information, monitor safety compliance, and keep everyone updated on regulatory changes.
- 5. Change Control Processes** – Track and document changes to design or plans, ensuring all parties are working with the most current information.
- 6. Monitoring and Reporting** – Implement systems for progress tracking, issue reporting, and compliance documentation.
- 7. External Stakeholder Coordination** – Collaborate effectively with Building Control, clients, and Contractors/Sub-contractors to align with legal obligations and project goals.
- 8. Post-Construction Handover** – Provide clients with all necessary compliance and safety documentation and support post-completion monitoring for ongoing building safety.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence could include:

- ✓ A Quality Management Policy, Building Safety Policy or statement addressing the relevant requirements for building work (e.g., compliance with Building Regulations such as fire safety and structural elements)
- ✓ Key Performance Indicators (KPIs) and how the supplier tracks them throughout the project timeline
- ✓ Monitoring procedures that ensure regular checks or audits of practices and the management's response
- ✓ Template documents
- ✓ Post-project review
- ✓ Meeting notes and records of other discussions
- ✓ Examples of communication regarding topics such as Building Regulations, fire safety, etc., and how the supplier coordinates with other duty holders

REF: 9981 / 10013 *Please provide the arrangements you have in place to liaise with the Principal Designer to share information relevant to the planning, management and monitoring of work, and the co-ordination of work, for the purpose of ensuring compliance with relevant requirements.*

What does this mean?

Regular communication helps align legal responsibilities, coordinate design and construction phases, manage risks, and maintain site safety. It also supports efficient information flow, proper handling of design changes, and ongoing monitoring of compliance. Key arrangements should include regular meetings, shared documentation systems, change management and risk protocols, clear communication channels, and defined responsibilities.

What should I include in these arrangements?

Key arrangements should include clear definitions of roles and responsibilities between the Principal Designer and Principal Contractor. Regular communication through scheduled meetings and clear communication channels is essential. A centralised document management system should be used for sharing information and updates, including design changes and safety plans. A change management process should track design and construction changes to assess their impact on compliance. Ongoing monitoring, including site inspections, is necessary to ensure adherence to requirements.

Coordination with other duty holders, such as subcontractors and design consultants, is also crucial for compliance. The Golden Thread of Information must be maintained throughout the project lifecycle. Training and competency requirements should be established for all personnel, and meeting minutes and records should be documented to maintain an audit trail.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements for liaising with the Principal Designer to share information relevant to the planning, management and monitoring of the design work, and the co-ordination of building work and design work for the purpose of ensuring compliance with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ Procedural arrangements
- ✓ Examples where the supplier has collaborated with the Principal Contractor/Principal Designer to share information on building and design work from previous projects, such as project team meeting notes, information exchanges, emails, etc.
- ✓ The shared information could cover topics such as fire risks, product specifications, structural design, design assumptions, suggested work methods, and sequences
- ✓ Template documents

REF: 9982 / 10014 *Please provide the arrangements you have in place for reviewing and actioning comments received from the Principal Designer regarding compliance with Building Safety Act, Building Regulations and other relevant requirements.*

What does this mean?

Principal Designers oversee the design phase for safety and legal compliance, and as the Principal Contractor, you must address their feedback to avoid legal issues, project delays, and safety risks. Acting early on their suggestions can prevent costly rework and ensure effective collaboration between design and construction teams. Additionally, documenting changes helps maintain the Golden Thread of Information.

What should I include in these arrangements?

1. Process for Receiving Comments

- ✓ Define how feedback from the **Principal Designer** is received (e.g., structured reports, digital tracking systems, formal meetings).

2. Review and Assessment

- ✓ Assess the impact of each comment on Building Safety, compliance, cost, and project timelines.
- ✓ Prioritise action on high-risk compliance issues.

3. Action and Implementation Process

- ✓ Assign responsibility for addressing and resolving each issue.
- ✓ Set clear deadlines for implementing necessary changes.

4. Documentation and Tracking

- ✓ Maintain records of all received comments, actions taken, and final resolutions.
- ✓ Update compliance logs, design documents, and change control records accordingly.

5. Regular Communication and Follow-Up

- ✓ Schedule meetings with the **Principal Designer** to review progress on outstanding compliance issues.
- ✓ Ensure that any agreed-upon changes are properly integrated into the construction process.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there is a process for reviewing and actioning comments received from the Principal Designer regarding compliance with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ Established procedures for participating in design team meetings
- ✓ Examples of past instances where comments from the Principal Designer were reviewed and actioned, such as project team meeting notes, emails, or review logs
- ✓ Template documents, such as a Plan to Avoid Defects



Principal Designer and Principal Contractor

REF: 9971 *Please provide the arrangements in place to submit mandatory occurrence notices and reports when working on a Higher-Risk Building in your role as Principal Contractor and/or Principal Designer.*

What does this mean?

It is your legal duty to submit Mandatory Occurrence Notices (MONs) for Higher-Risk Buildings (HRBs) to ensure compliance with the Building Safety Act and maintain building safety. These arrangements help identify and address Building Safety Risks early, such as structural defects or fire hazards, preventing serious issues from escalating. This ensures safety issues and corrective actions are documented and traceable.

What should I include in these arrangements?

1. A Clear Process for Identifying Reportable Occurrences

- ✓ Define what constitutes a 'Mandatory Occurrence' (e.g., structural defects, fire safety risks, non-compliant installations, use of unapproved materials).
- ✓ Establish who is responsible for identifying and reporting issues (e.g., contractors, site managers, designers, engineers).

2. Procedures for Submitting Reports

- ✓ Set out how and where reports should be submitted (e.g., to the Building Safety Regulator via an online portal or formal documentation process).
- ✓ Ensure that all reports include the necessary details, such as:
 - ✓ Description of the issue
 - ✓ Assessment of risk and impact
 - ✓ Proposed corrective actions
 - ✓ Follow-up measures

3. Coordination Between the Principal Contractor and Principal Designer

- ✓ Ensure that both parties collaborate to verify that all design, construction, and material-related occurrences are properly documented and reported.
- ✓ Establish regular safety meetings to review potential reportable incidents and ensure compliance.

4. Integration with the Golden Thread of Information

- ✓ Ensure that all **submitted MONs** are **recorded and stored** in the project's **Golden Thread** for future reference and compliance audits.

5. Training and Awareness for the Project Team

- ✓ Provide **training** for **workers, Contractors/Sub-contractors, and designers** on what occurrences need to be reported, how to report them, and the legal implications of failing to report.

6. Regular Audits and Compliance Checks

- ✓ Conduct **periodic reviews** to ensure that the **Mandatory Occurrence Reporting system** is functioning correctly and that all duty holders are following the required procedures.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements to submit mandatory occurrence notices and reports when working on a Higher-Risk Building such as:

- ✓ Formal notice templates for reporting defective works or materials
- ✓ Established procedures ensuring compliant delivery
- ✓ Examples of previous submissions of mandatory occurrence notices and reports by the supplier

REF: 9977 *Please provide the arrangements you have in place to coordinate with other duty holders to set up a Mandatory Occurrence Reporting system for a Higher-Risk Building in your role as Principal Contractor and / or Principal Designer.*

What does this mean?

It is your responsibility to establish a Mandatory Occurrence Reporting (MOR) system to ensure safety-critical issues are identified, reported, and managed throughout the lifecycle of a Higher-Risk Building (HRB). This system is crucial for legal compliance with the Building Safety Act, early detection and mitigation of safety risks, and promoting a culture of transparency and accountability. It ensures that issues, such as defects or Building Safety Risks, are promptly addressed and helps maintain a reliable record of safety actions, contributing to long-term building safety. Effective coordination between duty holders ensures proper issue resolution, while the MOR system supports continuous safety improvements, and the sharing of lessons learned across the industry to enhance building safety standards.

What should I include in these arrangements?

1. A Clear Reporting Framework

- ✓ Define what constitutes a 'Mandatory Occurrence' (e.g., structural failures, fire safety concerns, non-compliant installations).
- ✓ Establish who is responsible for reporting (e.g., workers, supervisors, contractors, designers).
- ✓ Set out where reports should be submitted (e.g., a digital reporting system, meetings, or direct notifications to the Principal Contractor/Principal Designer).

2. Procedures for Reviewing and Investigating Reports

- ✓ Set up a process to **review safety reports, investigate root causes, and assign corrective actions**.
- ✓ Ensure reports are **escalated appropriately** for significant risks (e.g., informing the **Building Safety Regulator** if necessary).
- ✓ Implement a **tracking system** to ensure reported issues are **resolved promptly**.

3. Collaboration with Other Duty Holders

- ✓ Establish **regular safety meetings** with the **Principal Designer, Contractors/Sub-contractors, and Client** to discuss reports and corrective actions.
- ✓ Define how **safety concerns raised by one party** are **communicated and addressed** across the entire project team.
- ✓ Ensure all duty holders understand their **legal responsibilities** regarding MOR.

4. Integration with the Golden Thread of Information

- ✓ Ensure all **safety reports, corrective actions, and resolutions** are **documented and stored** as part of the project's **Golden Thread**.
- ✓ Provide **clear records** that can be accessed for **audits, future maintenance, and regulatory compliance**.

5. Training and Awareness Programs

- ✓ Provide **training for workers and duty holders** on **what to report, how to report it, and why it matters**.
- ✓ Encourage a **'no-blame' culture** to ensure that everyone feels comfortable reporting safety concerns.

6. Monitoring and Continuous Improvement

- ✓ Regularly **review the effectiveness** of the MOR system.
- ✓ Conduct **audits and feedback sessions** to refine reporting processes and improve safety measures.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are general arrangements in place to coordinate with other duty holders to set up a Mandatory Occurrence Reporting system for a Higher-Risk Building such as:

- ✓ Established procedural arrangements
- ✓ Examples of past instances where the supplier has assisted in setting up a Mandatory Occurrence Reporting system
- ✓ Template documents outlining the stages of system creation and an associated timeline

REF: 9984 / 10015 *Please provide the arrangements you have in place to assist the Client to share any necessary information with other Designers and Contractors/Sub-contractors, and to provide the Client with a document which shows how your role of Principal Contractor and/or Principal Designer was carried out.*

What does this mean?

The Act requires clear communication and coordination between all parties to minimize risks and ensure Building Safety and Technical Compliance. You need to explain the processes you have in place for the client to share relevant safety information with other designers and contractors, as well as how you will provide documentation to show that you carried out your responsibilities according to the Act. This involves demonstrating how safety was managed, risks assessed, and compliance ensured throughout the project ensuring future work is safe and compliant, demonstrating due diligence to protect against liability, and facilitating coordination between all duty holders.

What should I include in these arrangements?

1. Information Sharing with Other Designers & Contractors

Define the process for **sharing critical project information** with Designers and Contractors/Sub-contractors (e.g., design changes, compliance records).

Use structured documentation such as **digital platforms, Common Data Environments (CDEs), or formal reports**.

2. Providing the Client with a Final Documentation Report

Prepare a document detailing **how you fulfilled your duties as Principal Contractor/Designer**, which may include:

- ✓ **Compliance measures taken** to meet Building Regulations and Building Safety Act requirements.
- ✓ **Mitigation strategies** implemented during the project.
- ✓ **Design decisions and construction methodologies** used.
- ✓ **Key coordination efforts** with other duty holders.
- ✓ **Lessons learned and recommendations** for future works.

3. Documenting Compliance with the Golden Thread Principles

- ✓ Ensure records are **well-organised, accessible, and updatable** for future reference.
- ✓ Highlight key **fire safety, structural integrity, and regulatory compliance** decisions.

4. Regular Communication & Final Review with the Client

- ✓ Hold a **final review meeting** with the Client to present and discuss the provided documentation.
- ✓ Ensure the Client understands their responsibility to **retain and use the information** for future works.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements to liaise with the Client to share information to other designers and contractors, and to give the Client a document which sets out how you performed your duty holder role.

The supporting evidence could include:

- ✓ Procedural arrangements
- ✓ Examples of where the supplier has assisted a Client to share information with other duty holders on building work on previous projects such as project team meeting notes, exchanges of information, emails etc. The information shared could include fire risks, products to be used, structural design and other design assumptions, suggested work methods and sequences
- ✓ Examples of where the supplier has previously provided a Client a document which sets out how you performed your duty holder role
- ✓ Template documents (timeline of events, guidance to project teams)



Designer and Principal Designer

REF: 9985/10017 *Please provide the arrangements you have in place to plan, manage and monitor the design work you undertake to ensure the work complies with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards), in your duty holder role as a Principal Designer and/or Designer.*

What does this mean?

It is your legal responsibility to ensure that all design work complies with the Building Safety Act, Building Regulations, and other relevant legislation. Structured arrangements in your design process are vital to ensure legal compliance, safety, and quality. These arrangements help reduce legal risks, prevent defects, and manage safety concerns like fire and structural risks. They also promote effective collaboration. Clear roles and responsibilities improve accountability and risk management, while a proper change control process ensures that design modifications don't compromise safety or compliance. Ensuring all necessary regulatory approvals and providing building owners with essential information supports ongoing safety and compliance.

What should I include in these arrangements?

Planning the Design Work: This includes conducting pre-design risk assessments to identify potential fire, structural, and Building Safety Risks, ensuring designs meet relevant regulatory and industry standards, and assigning roles and responsibilities to competent designers. Coordination with other duty holders and establishing a design control plan are also crucial.

Managing the Design Work: It involves managing competency levels of the design team, using tools like BIM for design coordination, ensuring material compliance with fire safety and structural standards, and implementing a change control process to assess design modifications. Regular reviews of fire safety and structural integrity are essential.

Monitoring & Quality Control: Regular design reviews and independent third-party checks are necessary to ensure designs meet standards. Site visits should be conducted to verify compliance with the approved designs, and any non-compliance should be documented.

Record-Keeping & Information Management: Store all design documents in a common digital system accessible to all duty holders, maintaining an up-to-date record of decisions, and approvals. Handover documentation should include fire strategies, structural calculations, and as-built drawings.

Continuous Improvement & Compliance Updates: Ongoing training and keeping up with regulatory updates are essential, along with reviewing lessons learned from completed projects to improve future work.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements in place so that design work the supplier undertakes complies with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ A Quality Management Policy or statement covering building work
- ✓ Monitoring procedures
- ✓ Procedural arrangements
- ✓ Template documents
- ✓ Meeting notes and records of discussions with the workforce and sub-contractors
- ✓ Building Safety Act design checklists or process documents specific to roles such as Designer or Principal Designer on Building Safety Act-related project

REF: 9990 / 10022 *Please provide the arrangements you have in place to plan, manage and monitor design work during the design phase and to coordinate matters relating to design work during a project to ensure any building work is compliant with relevant requirements in your role as Designer and/or Principal Designer (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).*

What does this mean?

Proper planning, management, and monitoring of design work help maintain legal compliance, reduce risks, and enhance building quality. Key responsibilities include ensuring the design meets safety standards, such as fire and structural safety, and preventing defects or unbuildable designs. You must also manage risks early, clearly define roles within the design team, and establish a solid change control process to ensure compliance.

Collaboration with other duty holders and maintaining the Golden Thread of Information ensures that safety-critical information is shared and properly documented for future reference. Additionally, a smooth handover of compliance records post-completion ensures the building remains compliant.

What should I include in these arrangements?

Planning the Design Work involves conducting assessments to identify potential fire, and structural risks early, ensuring compliance with regulations like fire safety (Part B), accessibility (Part M), and structural safety (Part A). It's crucial to establish design coordination among the team, define roles, and document the design intent using systems like a Common Data Environment (CDE).

Managing the Design Work focuses on verifying the competency of designers, conducting regular design reviews and monitoring, and ensuring compliance through a formal change control process. Regular fire safety and structural safety reviews are necessary to maintain high standards.

Coordination with Other Duty Holders ensures clear communication with the Principal Contractor, Client, and other stakeholders. It involves sharing critical design information and maintaining the Golden Thread of Information to track safety data during construction and after completion.

Monitoring the Design Work includes conducting regular inspections, audits, and quality assurance processes to ensure that the design meets regulatory requirements. A defect management system helps address any issues during design or construction.

Handover & Post-Completion Compliance involves providing comprehensive design documentation, securing the necessary sign-offs from authorities, and ensuring final compliance verification.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements to plan, manage and monitor the design work during the design phase and to coordinate matters to ensure that any building work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ A Quality Management Policy or statement addressing relevant design work requirements (e.g., adherence to building regulations, including fire safety and structural components)
- ✓ Monitoring procedures to periodically review or audit practices and management responses
- ✓ Procedural arrangements ensuring compliance with Building Regulations, which include identifying, eliminating, and controlling fire risks, as well as understanding the designer's responsibilities within the context of the Building Safety Act
- ✓ Template documents
- ✓ Post-project evaluations
- ✓ Meeting notes and records of other discussions
- ✓ Evidence of information exchanges
- ✓ How coordination is managed with other duty-holders during the project

REF: 9992 / 10024 *Please provide the arrangements you have in place to ensure that products specified and used as part of the design phase are suitably assessed and classified for durability, location and product performance as part of a holistic system and comply with relevant requirements, in your role as Designer and/or Principal Designer (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).*

What does this mean?

You must be able to assess and classify products used or suggested during the design phase to ensure they meet safety, performance, and durability standards. This process ensures compliance with legal regulations, such as the Building Safety Act and Building Regulations, and reduces the risk of legal penalties or enforcement. Proper product assessment helps maintain safety, avoid failures, and meet performance standards, while ensuring the materials are suitable for their intended use, such as fire safety or water resistance.

Durability is key to reducing maintenance costs and promoting sustainability. A holistic approach, considering product compatibility within the broader system, ensures the building's safety and performance. By minimising risks to occupants and documenting assessments, you reduce liability and demonstrate due diligence. Additionally, proper product assessment supports the Golden Thread of Information, creating a traceable record that aids in ongoing building safety management.

What should I include in these arrangements?

1. Product Evaluation Process

- ✓ Establish a process for evaluating products based on **regulatory compliance** (e.g., UKCA, CE marking, British Standards, or European Standards).
- ✓ Assess product **durability, performance, and appropriateness for location** (e.g., fire-rated materials for high-risk areas, waterproofing for wet environments).

2. Product Classification and Testing

- ✓ Ensure products are **classified** according to their intended use, durability, and **location-specific requirements**.
- ✓ If applicable, verify that products have undergone **third-party testing** to ensure they meet performance standards (e.g., fire resistance tests for cladding).

3. Compatibility with Building Systems

- ✓ Assess how each product fits into the **larger system** (e.g., materials used in a **structural system** should work together to support stability and safety).
- ✓ For fire safety, for example, **fire-resistant insulation, cladding, and doors** must be compatible within the **same system** to meet fire safety standards.

4. Documentation and Record-Keeping

- ✓ Maintain **records of product assessments, test results, and product specifications**.
- ✓ Create a **document trail** that demonstrates how the selected products meet regulatory requirements and perform as required.
- ✓ These records should be accessible for future audits, inspections, or modifications.

5. Ongoing Review and Updates

- ✓ Monitor and assess products throughout the **project lifecycle** to ensure continued compliance as the project evolves. If new **regulations or standards** come into effect, review the products to ensure they still meet the latest requirements.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements in place to ensure that any products specified and used as part of the design phase are suitably assessed and classified for durability, location and product performance as part of a holistic system and comply with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ A Quality Management Policy or statement addressing product suitability, particularly regarding building safety
- ✓ Procedural arrangements
- ✓ Template documents
- ✓ Manufacturer data and product classifications
- ✓ Internal rules for product selection or procurement strategy



Principal Designer

REF: 9986 / 10018 *Please provide your arrangements which demonstrate coordination with other duty holders AND also how you ensure their cooperation with each other, so that all work is compliant with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).*

What does this mean?

Your responsibility is to ensure the design of a building complies with all relevant safety regulations and legal requirements throughout its lifecycle. Coordinating with other duty holders, such as the Principal Contractor and Contractors/Sub-contractors, to ensure their roles are aligned. Effective coordination helps mitigate risks, prevent conflicts, and ensure clear communication among all parties involved. Your role includes overseeing design safety, ensuring the feasibility of the design, and managing any risks that could arise during construction.

What should I include in these arrangements?

Your arrangements should focus on ensuring proper coordination with other duty holders. First, clearly define and document the roles and responsibilities of all involved parties, specifying accountability for each stage of the project. Establish regular communication protocols, including meetings and information-sharing channels, to keep everyone informed of design updates, safety issues, and compliance matters.

Ensure that all duty holders are involved in identifying and mitigating potential hazards. A formal design review process should be in place to ensure compliance, with proper coordination during the construction phase to avoid issues. Maintain a centralised document management system for sharing project-related documents, including compliance tracking. Set competency standards and provide necessary training and inductions for all duty holders to ensure regulatory adherence. Ensure proper handover of all compliance documentation and continue coordination post-completion to maintain safety and regulatory standards during building occupancy.

What are Constructionline's Acceptance Criteria for this question?

- ✓ A Quality Management Policy or statement addressing the relevant requirements for building work (e.g., compliance with Building Regulations such as fire safety and structural elements)
- ✓ Key Performance Indicators (KPIs) and how the supplier tracks them throughout the project timeline
- ✓ Monitoring procedures that ensure regular checks or audits of practices and the management's response
- ✓ Template documents
- ✓ Post-project review
- ✓ Meeting notes and records of other discussions
- ✓ Examples of communication regarding topics such as Building Regulations, fire safety, etc., and how the supplier coordinates with other duty holders

REF: 9987 / 10019 *Please provide the arrangements you have in place to liaise with the Principal Contractor to share information relevant to the planning, management and monitoring of work, and the co-ordination of work, for the purpose of ensuring compliance with relevant requirements in your role as Principal Designer.*

What does this mean?

This collaboration helps meet legal and regulatory requirements, such as the Building Safety Act and Building Regulations, by ensuring both parties share responsibility for safety and compliance. Regular communication ensures alignment between the design and construction phases, minimises Building Safety Risks, and allows for efficient management of design changes. By fostering a collaborative approach, the Principal Designer and Principal Contractor can make informed safety decisions, improve project efficiency, and build trust with clients and stakeholders.

What should I include in these arrangements?

Principal Designers should establish clear roles and responsibilities, ensuring both parties understand their duties regarding design, safety, and regulatory compliance. Regular communication through scheduled meetings and clear communication channels is crucial. A centralised document management system should be implemented to share key documents and ensure up-to-date information flows between both parties. A formal change management process should be in place to notify the Principal Contractor of any design changes and assess their impact on safety and compliance. Both parties must contribute to the Golden Thread of Information, maintaining an accurate record of decisions and updates for future reference. Compliance monitoring, including site inspections and regular reviews, ensures alignment with safety and building regulations. Coordination of safety plans and emergency procedures, along with competency assurance through training, ensures that all personnel are prepared for the project's demands. Establishing feedback mechanisms and continuous improvement practices helps refine safety measures and ensure better compliance in future projects.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements for liaising with the Principal Contractor to share information relevant to the planning, management and monitoring of the design work, and the co-ordination of building work and design work for the purpose of ensuring compliance with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ Examples where the supplier has collaborated with the Principal Contractor/Principal Designer to share information on building and design work from previous projects, such as project team meeting notes, information exchanges, emails, etc.
- ✓ Shared information may include topics such as fire risks, products to be used, structural design, other design assumptions, suggested work methods, and sequences
- ✓ Template documents

REF: 9988 / 10020 *Please provide the arrangements you have in place for reviewing and actioning comments received from the Principal Contractor regarding compliance with Building Safety Act, Building Regulations and other relevant requirements.*

What does this mean?

You must have processes in place for reviewing and actioning comments from the Principal Contractor regarding compliance with the Building Safety Act, Building Regulations, and other requirements. This ensures legal compliance, helps implement safe and practical designs, and avoids costly errors or delays.

What should I include in these arrangements?

1. Process for Receiving Comments

- ✓ Define how the **Principal Contractor's** compliance feedback is received (e.g., formal reports, meeting minutes, digital tracking systems).
- ✓ Ensure a structured approach for logging, categorising, and prioritising feedback.

2. Review and Assessment

- ✓ Assess each comment's **impact on compliance, safety, cost, and project timelines**.
- ✓ Prioritise **urgent compliance issues** to prevent delays or legal risks.

3. Action and Resolution Process

- ✓ Assign responsibility for reviewing and resolving each issue.
- ✓ Ensure necessary **design modifications or clarifications** are made promptly.

4. Documentation & Change Control

- ✓ Maintain records of all comments received, actions taken, and final resolutions.
- ✓ Update **design documentation, compliance logs, and change control records** accordingly.

5. Regular Coordination and Follow-Up

- ✓ Schedule **review meetings** with the **Principal Contractor** to monitor progress on compliance concerns.
- ✓ Ensure any **agreed design changes** are effectively communicated and implemented.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there is a process for reviewing and actioning comments received from the Principal Contractor regarding compliance with relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards).

The supporting evidence could include:

- ✓ Documented procedural arrangements
- ✓ Examples of past reviews and actions taken in response to Principal Contractor comments, such as project team meeting notes, emails, or review logs
- ✓ Template documents, including relevant sections of the Construction Control Plan



Designer

REF: 9994 / 10026 *Please provide the arrangements you have in place to provide other duty holders with relevant information about the design, construction and maintenance of the building, in your role as Designer.*

What does this mean?

This is crucial as it supports the safety and well-being of building occupants by ensuring proper safety measures are implemented and maintained. Sharing accurate and complete information ensures continuity and reduces risks throughout the project's lifecycle. Effective coordination and collaboration between duty holders helps prevent errors, delays, and cost overruns. Additionally, shared information aids in ongoing maintenance, supports risk mitigation, and provides long-term documentation for future inspections or modifications. Ultimately, it helps the Client meet their legal responsibilities and ensures the building remains safe and functional over time.

What should I include in these arrangements?

1. Clear Communication Channels

Establish formal methods for communicating design information to other duty holders, such as:

- ✓ Emails, shared folders, or digital platforms (e.g., **Common Data Environment (CDE)**).
- ✓ Regular **progress meetings** or **briefings** with all duty holders to update on design progress, potential issues, and compliance requirements.

2. Key Design Information

Provide essential **design documentation** such as:

- ✓ **Drawings** (e.g., architectural, structural, and MEP).
- ✓ **Specifications** (e.g., materials, fire safety features).
- ✓ **Assessments**, including **fire safety** and **structural analysis**.
- ✓ **Design rationale** for key safety elements.

3. Compliance and Performance Information

- ✓ Share details about how the design complies with **Building Regulations**, **safety requirements**, and **industry standards**.
- ✓ Ensure that other duty holders understand the **performance criteria** for materials, components, and systems used in the design.

4. Updates and Amendments

- ✓ If any changes or updates occur during the design process, **document and share** these promptly with all relevant duty holders to keep them informed.

5. Documented Protocol for Sharing Information

- ✓ Set out a **protocol or procedure** to ensure that information is passed on at the right time, in the right format, and to the right person.

6. Collaboration and Coordination Mechanisms

- ✓ Schedule regular meetings or check-ins with other duty holders to ensure the design is being understood and implemented correctly during the construction phase.

What are Constructionline's Acceptance Criteria for this question?

The supporting evidence should confirm that there are arrangements in place to provide other duty holders with relevant information about the works being carried out to assist them in complying with relevant requirements and to receive information from them to ensure that the supplier meets relevant requirements (e.g. Building Safety Act, Building Regulations, other legislation and industry standards.)

The supporting evidence could include:

- ✓ Established procedural arrangements
- ✓ Examples of past information-sharing practices related to design, construction, and maintenance, assisting the Client, other Designers, and Contractors in meeting relevant requirements. This could include project team meeting notes, email exchanges, and shared documentation.
- ✓ Details of shared information, such as fire risks, selected materials, structural design assumptions, suggested work methods, and construction sequences.
- ✓ Instances where advice was provided to the Principal Designer or Client regarding whether specific work qualifies as Higher-Risk Building work.
- ✓ Template documents, including those for the creation of Mechanical & Electrical (M&E) and Health & Safety Files, with specific reference to the Building Safety Act (BSA).

REF: 9995 *Please provide the arrangements you have in place to coordinate with the Principal Designer to report breaches or concerns with building work adhering to relevant requirements when working on a Higher-Risk Building, in your role as Designer.*

What does this mean?

You must coordinate with the Principal Designer to report any compliance issues during all stages of the design and construction process. Key reasons for this include legal compliance with the Building Safety Act, maintaining design integrity and safety, ensuring accurate documentation through the Golden Thread of Information, preventing costly errors and delays, and fostering collaboration between duty holders to ensure safety and regulatory requirements are met throughout the project.

What should I include in these arrangements?

To effectively coordinate with the Principal Designer, your arrangements should include clear processes and structured communication. This involves establishing a reporting system for design concerns, conducting regular compliance reviews to assess fire safety, structural integrity, and material specifications, and maintaining incident logs to document and resolve issues. Regular coordination meetings with the Principal Designer are essential to ensure all corrective actions are taken before construction starts. If serious issues arise, they should be escalated through the Mandatory Occurrence Reporting (MOR) system. Designers should be trained to understand their responsibilities for reporting and escalating concerns.

What are Constructionline's Acceptance Criteria for this question?

- ✓ **Procedural arrangements** outlining how you coordinate with the Principal Designer to report any breaches of relevant requirements or concerns regarding compliance (e.g., defective construction work, the use of non-compliant products, incomplete compartmentation, or inadequate fire safety measures).
- ✓ **Behavioural Safety Programmes** that incorporate specific channels for reporting concerns related to the Building Safety Act.
- ✓ **Whistleblowing Policies/Procedures** governing the relationship between the Designer and the Principal Designer, ensuring transparency and accountability.
- ✓ **Template documents** that facilitate compliance, reporting, and documentation of safety concerns.