

DECLARATIONS AND NOT-APPLICABLE STATEMENTS

DECLARATION — COMPANY FILE

Director-signed answers on judgments, exclusions, sanctions and tax — and N/A reasons

KD-CAS-ND-010 Rev A0

Evidence for: CAS v5 Q39 to Q45 and Q54 (declarations on court judgments, pending actions, enforcement orders, the debarment list, exclusion grounds, sanctions, named tax avoidance schemes; and Q47 to Q49, Q56, Q61 and Q158 on blacklisting, public officials, competition law, memberships, discrimination, right to work and minimum wage), and the routing answers to Q21, Q22, Q23 and Q24 with the not-applicable answers to Q30, Q33 and Q77.

This record is not legal advice. Whether an exclusion ground applies to the company or a connected person, whether an event is an excluded matter, and what counts as self-cleaning evidence are legal questions: take advice from a solicitor wherever there is any doubt, before answering. Every answer must be true on the date it is given and kept true — the question set expects buyers and clients to be told of any material breach after certification.

The exclusion questions follow the Procurement Act 2023. Under section 57 a supplier is excluded or excludable where the contracting authority considers that a mandatory ground (Schedule 6) or a discretionary ground (Schedule 7) applies to the supplier or an associated person and that the circumstances are continuing or likely to occur again, or where the supplier or an associated person is on the debarment list by virtue of such a ground; a Minister of the Crown keeps the list under section 62. An associated person (section 26(4)) is someone the supplier relies on to meet the conditions of participation in a procurement — not the same group as the connected persons checked in section 1. Section 58(1) lists what a contracting authority may consider: evidence the circumstances were taken seriously (for example paying compensation), steps taken to stop them happening again (for example changing staff or management, or putting procedures and training in place), commitments to take such steps or allow them to be verified, and the time since the circumstances last occurred — the "self-cleaning" evidence asked for in Q43 and Q44. Constructionline's Gold guide (February 2026) treats only "no" as an acceptable answer to Q45 and Q54. If the true answer is yes, give it: certification cannot go ahead on that question until the position changes, so take advice first.

1 THE COMPANY AND THE DECLARANT

COMPANY NAME

COMPANY NO.

DECLARANT — DIRECTOR (NAME AND POSITION)

YOUR VERSION

VERSION DATE

COMPANY LOGO
print or paste it here

Connected persons checked for Q42 to Q44 — in plain words, directors and shadow directors, people with significant control over the company, parent and subsidiary companies, predecessor companies, and anyone else with significant influence or control over the company (or over whom the company has it):

NAME	CONNECTION TO THE COMPANY	CHECKED ON	BY

2 COURT JUDGMENTS AND PENDING ACTIONS — Q39 AND Q40

Court cases, criminal or civil and including insolvency, decided or still pending against the company, a director or an executive officer, about the work the company does now. Minor traffic offences need not be listed.

Q39 Judgment given against the company, a director or an executive officer — NONE

Q39 Judgment given against the company, a director or an executive officer — YES: details below

DETAILS, IF YES

Q40 Court action ongoing or pending — NONE

Q40 Court action ongoing or pending — YES: details below

DETAILS, IF YES

CHECKED ON

CHECKED BY

SOURCES SEARCHED

3 UNRESOLVED ENFORCEMENT OR REMEDIAL ORDERS IN THE LAST THREE YEARS — Q41

Any regulator's order — environmental, rail, health and safety or other — made against the company, a director or an executive officer in the last three years and not yet resolved.

DECLARATIONS AND NOT-APPLICABLE STATEMENTS

continued

DECLARATION — COMPANY FILE

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Q41 Unresolved order against the company, a director or an executive officer — NONE

Q41 Unresolved order against the company, a director or an executive officer — YES: details below

DETAILS, IF YES

CHECKED ON

CHECKED BY

SOURCES SEARCHED

4 THE DEBARMENT LIST — Q42

Q42 Neither the company nor any connected person is on the debarment list

Q42 On the debarment list — details below

CHECKED ON

CHECKED BY

DETAILS, IF ON THE LIST

5 MANDATORY EXCLUSION GROUNDS (SCHEDULE 6) — Q43

Schedule 6 grounds, in plain words: corporate manslaughter or corporate homicide; terrorism offences; theft, fraud, bribery and similar offences; labour market, slavery and human trafficking offences; organised crime; tax offences; the cartel offence; national security; misconduct in relation to tax; competition law infringements; equivalent events outside the UK; failing to cooperate with a debarment investigation. Read the Schedule itself for the exact scope of each ground.

Excluded matters (Schedule 6 paragraph 44): the decision-maker ignores any event before the five years ending on the date of its determination. Sub-paragraphs (2) to (4) add further rules for particular grounds: for those in (2) that applies whether the event was before or after the Schedule came into force; for those in (3) events before the Schedule came into force are also ignored; for those in (4) events before the three years ending with that date are also ignored. Where it is not clear that an event is excluded, disclose it with an explanation and take advice.

Q43 No conviction or event under Schedule 6 for the company or any connected person

Q43 Yes — each one entered below

DATE / JURISDICTION	GROUND	WHAT HAPPENED	PERSON	DECISION (LINK / COPY)	ENDED ON

SELF-CLEANING EVIDENCE FOR EACH ENTRY

CHECKED ON

CHECKED BY

SOURCES SEARCHED

6 DISCRETIONARY EXCLUSION GROUNDS (SCHEDULE 7) — Q44

Schedule 7 grounds, in plain words: labour market misconduct; environmental misconduct; insolvency, bankruptcy and similar; potential competition infringements; professional misconduct; breach of contract and poor performance; acting improperly in procurement; national security. Read the Schedule for the exact scope of each.

Excluded matters (Schedule 7 paragraph 15): the decision-maker ignores events it was aware of, or a reasonably well-informed decision-maker would have been aware of, before the five years ending on the date of its determination — three years for the grounds in sub-paragraph (3) — and, for the grounds in sub-paragraph (4), events before the Schedule came into force. That test turns on what the buyer knew, which the company cannot confirm: do not leave an event out on that basis — disclose it with an explanation and take advice.

Q44 No conviction or event under Schedule 7 for the company or any connected person

Q44 Yes — each one entered below

DATE / JURISDICTION	GROUND	WHAT HAPPENED	PERSON	DECISION (LINK / COPY)	ENDED ON

SELF-CLEANING EVIDENCE FOR EACH ENTRY

CHECKED ON	CHECKED BY	SOURCES SEARCHED

7 SANCTIONS — Q45

The UK Sanctions List, published by the Foreign, Commonwealth and Development Office, has been the only source for UK sanctions designations since 28 January 2026. Check customers and suppliers against it, and whether a country sanctions regime affects the goods or places the company deals in.

- ☐ Q45 No direct trade with, and no known direct link to, anyone designated on the UK Sanctions List
- ☐ Q45 Yes — details below

CHECKED ON	CHECKED BY	WHAT WAS CHECKED

8 NAMED TAX AVOIDANCE SCHEMES — Q54

HMRC publishes a page of named tax avoidance schemes, promoters, enablers and suppliers; HMRC says it is not a complete list of every scheme or promoter. Check the company's own arrangements, and any payroll, umbrella or contractor arrangements it uses, against it.

- ☐ Q54 No involvement with any scheme, promoter, enabler or supplier on HMRC's named list
- ☐ Q54 Yes — details below

CHECKED ON	CHECKED BY	ARRANGEMENTS CHECKED, AND DETAILS IF YES

9 OTHER DECLARATIONS — Q47, Q48, Q49, Q56, Q61 AND Q158

Answer each NONE, or YES with the details. If anything turns up, the answer and any remedial plan are legal questions: take advice before signing — this record is not legal advice.

Q47 — blacklisting. The Employment Relations Act 1999 (Blacklists) Regulations 2010 reg 3 forbid compiling, using, selling or supplying a list of trade union members or activists put together so that employers or employment agencies can treat people less favourably for that reason. The question has no time limit: any finding of a breach, and any court or tribunal case still open.

- ☐ Q47 Breach found, or case open, under the Blacklists Regulations — NONE
- ☐ Q47 Breach found, or case open, under the Blacklists Regulations — YES: details below

DETAILS, IF YES

Q48 and Q49 — public officials. The question set points to the government's Bribery Act 2010 guidance for who counts as a public official or a person connected with one.

- ☐ Q48 A government body, public official or connected person is a director or executive officer, or controls the company — NONE
- ☐ Q48 A government body, public official or connected person is a director or executive officer, or controls the company — YES: details below

DETAILS, IF YES

- ☐ Q49 A public official or connected person would gain in any way if the company wins work — NONE
- ☐ Q49 A public official or connected person would gain in any way if the company wins work — YES: details below

DETAILS, IF YES

Q56 — competition law, the last five years: any allegation or complaint that the company broke competition law which led the company to investigate internally.

- ☐ Q56 Competition law allegation that led to an internal investigation — NONE
- ☐ Q56 Competition law allegation that led to an internal investigation — YES: details below

DETAILS, IF YES

Q61 — memberships, the last three years: suspension or expulsion from any trade association, professional body, certification scheme or other membership organisation.

☐ Q61 Suspended or expelled by a trade body, scheme or other organisation — NONE

☐ Q61 Suspended or expelled by a trade body, scheme or other organisation — YES: details below

DETAILS, IF YES

Q158 — the last three years, for the company: (a) a court, employment tribunal or similar body found it had discriminated unlawfully; (b) the Equality and Human Rights Commission, or a similar body, took compliance or enforcement action against it over alleged unlawful discrimination; (c) it was found in breach of Immigration, Asylum and Nationality Act 2006 s.15 (a civil penalty for employing an adult subject to immigration control who has no leave to be in the UK, or whose leave is invalid, has ended or does not allow the work) or s.21 (the offence of employing such a person knowing, or having reasonable cause to believe, that they are disqualified); (d) it was found in breach of the National Minimum Wage Act 1998.

☐ Q158 Any of (a) to (d) in the last three years — NONE

☐ Q158 Any of (a) to (d) in the last three years — YES: details below

DETAILS, IF YES

CHECKED ON

CHECKED BY

SOURCES SEARCHED

10 DECLARATION — SECTIONS 2 TO 9

I have made the checks recorded above. The answers in sections 2 to 9 are true and complete on the date signed, for the company and the connected persons listed. I will update this record, and tell the assessment body and the buyers and clients relying on it, if anything in it changes.

DIRECTOR — PRINTED NAME

POSITION

SIGNATURE

DATE SIGNED

NEXT REVIEW DUE

11 NOT-APPLICABLE STATEMENTS — TICK ONLY THOSE THAT ARE TRUE

Answering "no" to a routing question removes other questions from the assessment. That is only right if the statement is true for all of the company's work: check each one against the rest of the submission before signing, and remember that answers may be shared with buyers.

A — No subcontractors (Q21)

The company carries out all of its work with its own employees and does not engage subcontractors for any part of it.

Questions affected: Q21, and with it Q38, Q116, Q130, Q139, Q160, Q165 and Q166

Use only if true. If the company pays anyone as a subcontractor under the Construction Industry Scheme, including labour-only workers, this statement is not true. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

B1 — No fleet (Q33)

The company does not operate a fleet of vehicles for its work.

Questions affected: Q33 (fleet insurance)

Use only if true. Write in the vehicles the company does use; if in doubt whether they count as a fleet, ask the assessment body before answering. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

B2 — No fleet and no commercial vehicles (Q77)

The company operates no fleet and no commercial vehicles — no vans, pick-ups, lorries or plant transport.

Questions affected: Q77 (fleet management scheme)

Use only if true. Any company van, lorry or plant transport vehicle makes this untrue, even where B1 is true. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

C — No design work (Q30)

The company does not prepare or change designs, drawings, specifications, bills of quantities or calculations, including contractor's design portions.
Questions affected: Q30 (professional indemnity insurance), and the designer and principal designer routes in Q89 and Q142

Use only if true. Choosing products or systems, or setting out how work is to be built, can be design: Building Regulations 2010 reg 11Q(1) includes specifications in design. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

D — No work in scope of the Building Regulations or the Building Safety Act (Q22)

None of the company's work, now or planned, is building work or design work that the Building Regulations 2010 regulate and the Building Safety Act 2022 covers.
Questions affected: Q22, and with it most of Section 7 — but Q135, Q136 and Q138 are still required of every supplier until the updated question set is published (Build UK statement, 23 July 2026)

Use only if true. Read the list of work types in Q22 itself: if the company does any one of them, this statement is not true. Constructionline shows an opt-out from the building safety questions to buyers. Build UK's statement records that scaffolding and temporary works are outside the scope of the Building Regulations unless they form part of the structure once complete. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

E — No higher-risk building work (Q23)

The company does not carry out work on higher-risk buildings.
Questions affected: Q23, and with it Q151 to Q154

Use only if true. Check the definition of a higher-risk building in the Building Safety Act 2022 and the regulations made under it before signing — the tests are set out there, not here. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

F — No information management work (Q24)

No project the company works on, or is bidding for, requires it to manage project information digitally to a set structure and standard.
Questions affected: Q24, and with it Section 10 (Q170 to Q176)

Use only if true. Treat an appointment that sets information requirements or uses a common data environment as such a requirement unless the assessment body confirms otherwise. Answers may be shared with buyers.

☐ This statement is true for the company on the date signed in section 12, and is adopted

REASON — WHAT THE BUSINESS DOES INSTEAD

IF THIS CHANGES, WHO TELLS THE ASSESSMENT BODY

G — Other not-applicable statement

QUESTION NUMBER(S) STATEMENT AND REASON

12 NOT-APPLICABLE STATEMENTS — SIGNED

I confirm that each statement ticked in section 11 is true for the company named in section 1 on the date signed. I will withdraw a statement, and change the answer with the assessment body, before the company takes on work that makes it untrue.

DIRECTOR — PRINTED NAME	POSITION	SIGNATURE	DATE SIGNED	NEXT REVIEW DUE

R REVISION HISTORY

Every revision of this document, and every review that found nothing to change. The revision on the front of this sheet is the one you are holding — check kubitdocs.com for the current one before use.

Rev	Date	Class	What changed	Authorised by
D0	2026-09-13	first-issue	First issue.	— not yet approved —
A0	2026-09-13	review	Approved for issue by the author. Content unchanged from the reviewed draft; the draft status strip is removed. No independent third-party review has been carried out.	Author — director, UK principal contractor, SMSTS. Not an independent review.

Class: first-issue · material (the law, a control, a field or the scope changed — past buyers are notified) · editorial (wording or layout only) · review (checked, nothing changed) · withdrawal. Revision prefix D = draft, not approved and not for sale; A = approved for issue by the person named, on the date shown.