

LEGAL RISK MAP[®] QUESTIONNAIRE

Name of company/organisation and description of service/goods provided:

THEME 1 – CORPORATE STRUCTURES

1. Is your company structure:
- | | |
|--|-----|
| a. A holding company with subsidiaries model | Y/N |
| b. A Limited Company | Y/N |
| c. A limited Liability Partnership (LLP) | Y/N |
| d. A simple partnership | Y/N |
| e. A sole trader | Y/N |
| f. Registered in the UK | Y/N |
| g. Registered outside of the UK | Y/N |
| h. Are you are registered charity or other form of NGO | Y/N |
| i. Don't know. | Y/N |

Comments: _____

2. Do you have any of the following documents in place:
- | | |
|------------------------------|-----|
| a. Articles of Association | Y/N |
| b. Memorandum of Association | Y/N |
| c. Shareholders Agreement | Y/N |
| d. Directors contracts | Y/N |
| e. Partnership Agreement | Y/N |

Comments: _____

3. Shareholders:

- a. There is only one shareholder Y/N
- b. There is more than one shareholder of the same class of shares Y/N
- c. There is more than one shareholder and there are different classes of shares Y/N
- d. I have no idea of the shareholder structure Y/N

Comments: _____

THEME 2 – POLICIES

- 1. Do you have any of the following in place:
 - a. General Policy Documents Y/N
 - b. Specific Polices only (Slavery, anti corruption etc.) Y/N
 - c. SOP's or SOI's Y/N
 - d. None of the above Y/N

Comments: _____

THEME 3 – COMMERCIAL CONTRACTS

- 1. Contracts (third party suppliers)
 - a. We have third party suppliers and we have contracts in place with them Y/N
 - b. We have third party suppliers but we do not have contracts in place with them Y/N
 - c. We impose standards on third party suppliers that are explained in our company polices Y/N
 - d. We have no policies on third party suppliers Y/N

Comments: _____

2. Contracts (with clients)

- a. We have contracts in place with our clients for supply of our services
Y/N
- b. We do have clients, but we have a basic set of T&C's for providing services
Y/N
- c. We do have clients but we do not have any contracts in place Y/N

Comments: _____

THEME 4 – SUCCESSION PLANNING

1. Succession Planning

- a. We have an active and maintained success plan in place in the event of the owner(s) leaving, dying or selling
Y/N
- b. We know we need it, but haven't given any thought to it Y/N
- c. We are too young for succession planning as a company Y/N

Comments: _____

THEME 5 – STAFF/CONSULTANT CONTRACTS

1. Human Resources (staff):

- a. Do you employ staff? Y/N
- b. We have employee contracts in place Y/N
- c. We have employees but no employee's contracts in place Y/N
- d. We have consultant contracts in place Y/N
- e. We understand IR35 Y/N

- f. We use consultants but no contracts in place Y/N
- g. We understand issues surrounding rights to work and visas Y/N
- h. We do not know if there are any issues for us surrounding rights to work or visas Y/N

Comments: _____

THEME 6 – HOST NATION/ LOCAL LAWS/ EXTRA-TERRITORIAL LAWS AND SANCTIONS/ IMMIGRATION/ TAX AND WORK PERMITS

- 1. We operate overseas and:
 - a. We understand the local laws of the country we operate in Y/N
 - b. We understand the application of extra territorial UK laws Y/N
 - c. We do not understand local laws of the country we operate in Y/N
 - d. We do not understand extra territorial application of UK laws Y/N
 - e. We have researched CT legislation and advise our staff Y/N
 - f. We have policies for responding to arrests of our staff Y/N
 - g. We are aware of sanctions imposed on countries we operate in Y/N

- 2. Immigration issues:
 - a. We require Visas for our staff to work Y/N
 - b. We have looked up the laws surrounding immigration and visas including work permits Y/N
 - c. We pay for visas and are aware of the associated corruption risks Y/N
 - d. We register all of our staff in the host nation country Y/N

- 3. Tax and Employment:
 - a. We pay local taxes for locally employed staff Y/N
 - b. We pay taxes in host nations for international staff Y/N
 - c. We are required to pay corporation tax in host nations Y/N
 - d. We have various exemptions for paying taxes in host nations Y/N
 - e. We pay VAT (or equivalent) in host nations Y/N

Comments: _____

THEME 7 – DUTY OF CARE/SEXUAL HARASSMENT

- 1. Duty of care
 - a. We understand the principles of negligence (English law) and take active steps to reduce risk to staff and consultants Y/N
 - b. We don't have any active focus on Duty of Care matters Y/N
 - c. We have policies on sexual harassment Y/N

Comments: _____

THEME 8 – INSURANCE

- 1. Insurance policies:
 - a. We have insurance that we are certain covers our risks and professional activities in full Y/N
 - b. We have
 - i. Professional indemnity Y/N
 - ii. Employers liability Y/N
 - iii. Public liability Y/N
 - c. We have insurance, but we don't know if it provides adequate cover Y/N
 - d. We don't have any insurance at all Y/N

Comments: _____

THEME 9 – ACCREDITATIONS

- 1. Management and Professional Accreditations such as ISO 9001; ISO 18788; PSC 1.
 - a. Do you have any ISO's in place? Y/N

- b. If you don't, do you plan to have any in place? Y/N

Comments: _____

THEME 10 – WEAPONS, ARMoured VEHICLES, DUAL USE GOODS, PSC'S

- 1. Dual Use goods / Firearms / armoured vehicles
 - a. Do you utilise any of the above? Y/N
 - b. Do you understand the UK laws surrounding such items and their use? Y/N
- 2. Using PSC's.
 - a. We use PSC's and understand their background and skills (i.e. SF v's normal military) Y/N
 - b. We use locally employed security Y/N
 - c. Our response to security incidents is based on an agreed and constantly reviewed threat/risk (avoids negligence claims) Y/N
 - d. We review the type of security we use, i.e. manned guarding of full armoured vehicles. Y/N
 - e. We base the need for security on affordability Y/N
 - f. We supervise security Y/N
 - g. The security provider tells us how to do security Y/N

Comments: _____

THEME 11 – DATA PROTECTION

- 1. Data Protection Act
 - a. We are fully signed up to the Information Commissioners Office and understand our obligations Y/N
 - b. Our professional activities have no relevance to data protection law except for the standard application regarding personal data Y/N

- c. Our professional activities have major connectivity with data gathering Y/N
- d. We are aware of the Data Protection Act 1998 and recognise the risk of not complying with it and it is incorporated within our policies Y/N
- e. We have an awareness of Data Protection requirements but don't actively comply with them in policies Y/N

Comments: _____

END.