CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS

***This project specific assessment should only be used once a Subcontractor / Supplier (with or without design) has been prequalified through Constructionline and is registered on ERP (e.g. 11i / R12).***

*Please Note: For the assessment of all Designers / Professional Services Consultants the Designer Assessment Questionnaire* *(*[*DES-TF-0061b*](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/BMS%20Documents/Design/Forms/DES-TF-0016b%20Designer%20Assessment%20Questionnaire.docx)*) must be completed in accordance with SBU Permanent / Temporary Works procedures.*

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| --- | --- | --- | --- |
| **Name of Supplier:** |  | **Project:** |  |
| **Address:** |  | | |
| **Contact Name:** |  | **Job Title:** |  |
| **Completed by:** |  | **Job Title:** |  |
| **Contact Telephone:** |  | **Contact e-mail:** |  |
| **Planned Start Date:** |  | **Planned Duration:** |  |

Documented evidence must be provided to demonstrate compliance for each item within a backup file to this pro-forma when indicated in the assessment criteria. GENERAL NOTE: This document should be updated with the latest details ahead of Pre-Award and Pre-Start Meetings

| **Criteria** | | **Requirement** | **Answer** | **Assessment Criteria** |
| --- | --- | --- | --- | --- |
| **1** | **Arrangements for Health, Safety, Environment & Sustainability** | Provide a clear explanation of your arrangements for managing Key Risks and Opportunities, Health, Safety, Environment and Sustainability on this project. |  | Relevant to the nature and scale of your work.  Statement on how arrangements are going to be communicated to the workforce on this project. |
| **2** | **Competent Advice - Corporate and Construction-Related** | Provide details of who will provide competent health and safety advice and inspect the works on this project. |  | Name and competency details of internal/ external Health, Safety and Environment professionals who will visit the works as necessary. |
| **3** | **Quality Management System (QMS) and Quality Documentation** | Do you provide the following documentation:   * Inspection and Test Plans * Inspection Checklists * Test Reports   Calibration Checklists |  | Typical Inspection and Test Plan demonstrating the following:   * Progression of works completion in accordance with standards specifications. * Control of any agreed surveillance points throughout the scope of works i.e. hold / witness points.   Verifying documentation produced following the completion of those activities i.e. Quality Checklists / Inspection and Test Reports |
| Do you conduct internal and external audits to identify areas of concern and opportunities for improvement in your systems and processes? |  | Provide evidence of Internal / External Audits being undertaken in accordance with the planned schedule. |
| How are Non-Conformances / Corrective Actions recorded, analysed and reported? |  | Documented Non Conformance Process demonstrating how actions taken will prevent reoccurrence. |
| Do you have a robust process that demonstrates learning from experience as a means of continual improvement? |  | Lessons Learned Process showing identification of actions and progressive closure by the responsible action owners. |
| **4** | **Documentation (Life Time Records)** | Please explain how you manage Life Time Records through the duration of the works undertaken? |  | Demonstrate how you ensure that all necessary documentation is generated, maintained and submitted in accordance with the Project requirements.  Do you have a robust process in place to ensure that records are delivered on time? |
| **5** | **Individual Qualifications and Experience (and Supervision)** | Provide details/names of your management and supervision and any other key personnel who will work on this project (i.e. Site Manager, Site Supervisors, Environmental Adviser, Waste Manager and any Technical Specialists.) |  | Details of qualifications and experience of specific post holders.  Key roles should be named or identified and details of relevant qualifications and experience provided.  Evidence of any company-based training suitable for the work to be carried out. |
|  |  | What is the ratio of Supervisor to Operatives that you will maintain? |  | Sufficient numbers of supervision must be provided dependent upon the scope, nature and complexity of the works. |
|  |  | Provide details of why key individuals have been selected for this project, their HSES and specific technical competencies (e.g. coded welder, qualified M&E installers, fire safety works accreditation, approved trade installers etc) and how you will ensure all employees are competent throughout. |  | Evidence of individuals experience, HSES and specific technical competencies and training records. Why have these individuals been selected for this project? |
|  |  | What are your arrangements for the supervision of non-English speaking workers on the project? |  | Evidence of management arrangements for non-English workers including the provision of translators – specific to this project. |
| **6** | **Sub-Contracting/ Consulting Procedures (if applicable)** | Explain the process for assessment and selection of subcontractors to ensure they deliver the products / services in accordance with the requirements. |  | Evidence showing subcontractor approval process. |
| What measures are in place to ensure that all your sub contractors/ consultants are competent to carry out their work for this project? |  | Evidence showing how you ensure sub contractor/ consultants are competent and satisfy all Balfour Beatty requirements.  Evidence of how you will cascade and inform all third parties of the BB standards. |
|  |  | List all sub-subcontractors and sub-consultants for appointment on this project. All SC’s must be approved by Balfour Beatty. | Please fill in Table 1 | Suppliers (Designers/Contractors) Demonstration of Competence must be submitted for all sub-subcontractors and sub-consultants – for approval by BB. |
| **7** | **Risk Assessment arrangements, Method Statements/ Work Package Plans** | Provide details of your project specific Risk Assessment and Method Statement (s) for the works and how they will be broken down into Task Briefing Sheets (as per the requirements of the BB Supplier HSES Conditions) | Please fill in Table 2 | Evidence of an understanding of the works, the risks involved and the safe system of work to be adopted.  Evidence of application of the risk hierarchy in mitigating and eliminating risk.  Copies are required at Pre-Award stage (Draft versions are acceptable). |
| **8** | **Control of Plant, Equipment and Materials** | Provide details of any plant, equipment or materials that you will provide to carry out the works. |  | An outline description and estimation of quantities is all that is required at this stage.  Evidence to be submitted of compliance with the Balfour Beatty Plant Standards. |
|  |  | Describe your arrangements for plant and equipment on this project, including a list of any site measuring equipment to be used and frequency of calibration  List all major plant & Equipment in TABLE 3 |  | Show how plant and equipment are appropriately selected for the specific operation.  How is plant and equipment issued and what checks are made to ensure that operators are competent – e.g. CPCS.  What are the arrangements for maintenance and Statutory inspections of plant and equipment?  How will records be made available?  Who will hold Calibration records? |
| Please explain how you will ensure that any purchased goods / materials / equipment are in accordance with the relevant specifications and purchase order requirements? |  | Purchase Order / Contract Review process  Goods Receipt Process / Inspection of Materials in accordance with Inspection and Test Plan requirements  Subcontractor / Supplier Management – pre award meetings |
| Please demonstrate how you ensure that Counterfeit, Fraudulent and Suspect Items (CFSI) are prevented from entering your supply chain? |  | Inspection, verification and validation of items prior to acceptance  Robust supplier assessment and approval process  Traceability of materials including materials certification and testing reports |
| **9** | **Co-operating with Others and Co- ordinating your work with that of other Contractors** | Provide details of any specific elements of your work that will require co-operation and co-ordination from others or has the potential to create a hazard that can affect other subcontractors working on the project.  Details of your preferred approach to working well together. |  | This could include any of the following:   * Deliveries of plant, tools, equipment and materials. * Operations generating noise, dust vibration or fumes. * Use of flammable materials or compressed gases that may ignite if exposed to fire. * Logistics and coordination plans. * Daily / Weekly Coordination meetings |
| **10** | **Project Specific Experience** | Provide details of relevant experience in the field of work for which you are applying. |  | A simple record of recent projects/contracts should be kept, with the phone numbers/addresses of contacts who can verify that work was carried out as required to the necessary level of HS&E performance.  This should be sufficient to demonstrate your ability to deal with the key issues arising from the work you are applying for.  Where there are significant shortfalls in your previous experience, or there are risks associated with the project which you have not managed before, an explanation of how these shortcomings will be overcome. |
|  | **Previous work for the Company** | List any previous work for the Company over the past 2 years: |  | Which Contracts/Projects did the Supplier work for the Company?  How much business does the Tenderer do with the Company per annum? |
| **11** | **Occupational Health** | Detail any specific occupational health requirements for the project and how this information will be confirmed by the Subcontractor |  | Evidence of the application of the risk hierarchy to mitigate and eliminate OH Risk from the chosen method of work.  Details of any Occupational Health Surveillance necessary for your employees. |

**Balfour Beatty Code of Conduct and Subcontractors Health, Safety, Environmental, Quality and sustainability Conditions**

| **Criteria** | | **Name** | **Position** | **Signature** |
| --- | --- | --- | --- | --- |
|  | The [Balfour Beatty Code of Conduct](https://www.balfourbeatty.com/media/244806/balfour-beatty-code-of-conduct_2017.pdf) has been issued with the subcontract enquiry documents. Please confirm that your company will conform to these requirements. |  |  |  |
|  | The Supplier Health, Safety, Environmental, Quality and Sustainability Conditions ([HSES-RM-0018a](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/BMS%20Documents/Health%20Safe%20…%20nd%20Sustainability/Health%20and%20Safety/Reference/HSES-RM-0018a%20Supplier%20HSESQ%20Conditions.pdf)) have been issued with the subcontract enquiry documents. Please confirm that your company will conform to these requirements. |  |  |  |

Table 1 List proposed Sub-Subcontractors:

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| --- | --- | --- |
| Name | Name | Company Registration Number |
| Sub-Subcontractor 1 |  |  |
| Sub-subcontractor 2 |  |  |
| Sub-subcontractor 3 |  |  |

Table 2 ACTIVITIES requiring risk assessments(RA), method statements (MS), work package plans and task briefing sheets (TBS)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **Author** | **RA** | | **MS** | | **TBS** | | **Date required** |
| *Yes* | *No* | *Yes* | *No* | *Yes* | *No* |
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TABLE 3 MAJOR PLANT AND EQUIPMENT

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| --- | --- | --- | --- | --- |
| **Item of Plant/Equipment** | **Supplier** | **Procurement Period** | **Special Access arrangements** | **Compliant with BB Plant Specifications Y/N** |
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| **Name of Supplier:** |  | **Project:** |  |

**CDM Competence Level Demonstrated (specific to the project / task)**

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| *Grade 1* | High-CDM Compliant: All necessary requirements in place and unlikely to require support from the Company. |  |
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| *Grade 2* | Medium-CDM Compliant: All necessary requirements in place but may require support from the Company. |  |
|  |  |  |
| *Grade 3* | Low-CDM Compliant: All necessary requirements in place but will require support from the Company. |  |
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| *Grade 4* | Experience/Competence is not suitable and sufficient for this project/task. |  |

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|  | **Print Name** |  | **Signature** |  | **Date** |
| **Assessment carried out and Approved by Site Lead:** |  |  |  |  |  |
| **Assessment Reviewed by Site Lead Line Manager:** |  |  |  |  |  |

If guidance is required to complete this assessment please seek advice from the HS&E Advisor allocated to the project.