

**QUALITY MANAGEMENT SYSTEM PROCEDURE**  
**SELECTION OF SUBCONTRACTORS**

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 Document Author: Alan Fletcher Date: March 2010  
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**Document History**

Revision	Date	Details	Amended by
1.0	March 10	First Issue	
2.0	14/03/12	Change branding	A Fletcher
2.1	01/05/12	Review – Doc control added	A Fletcher
2.1	03/05/13	Review – No change	A Fletcher
2.2	23/08/13	Reactive procedure added. Amended responsibilities	A Fletcher
2.2	08/09/14	Review – No change	A Fletcher
2.3	16/10/14	Review – Minor amendments inc title responsibilities	A Fletcher
2.4	05/01/15	Full review including forms – changes to reflect revised procedure	C Fourie
2.5	09/02/15	Added Modern Slavery Policy req.	A Fletcher
2.6	21/09/17	Review – format changes	Prudence Dunn
3.0	05/10/17	Remove reference in 7.2.2 & 7.2.3 to form Sqa-Blu-019 no longer required and changed number to new format	Prudence Dunn

**1. PURPOSE**

1.1. To ensure that all Sub Contractors who conduct undertaking on behalf of blu-3 (UK) Limited are competent to do so and hold the correct, valid documentation which meets their legal obligations under the Health and Safety at Work etc. Act 1974, Modern Slavery Act 2015 and Employers Liability (Compulsory Insurance) Act 1969.

**2. SCOPE**

2.1. This procedure is mandatory for all Sub Contractors who conduct or propose to conduct undertakings on behalf of blu-3 (UK) limited.

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### 3. **RESPONSIBILITIES**

- 3.1. **Managing Director** has overall responsibility for the selection and control of Sub Contractors and to ensure that this procedure is complied with. Where a sub Contractor is to be used but are not on the approved list and/ or have not been approved by either or both the Commercial Director and HSEQ Director, the Managing Director is responsible for review and approval or exclusion of the Sub Contractor.
- 3.2. **Contract/Project Manager** is responsible for the selection of subcontractors for works carried out by blu-3 (UK) Ltd, by ensuring that only Sub Contractors on the approved list are used.
- 3.3. **Contract/Project Manager** is responsible for maintaining an approved subcontractors list for works carried out by blu-3 (UK) Ltd. They will be responsible for the approval process for Subcontractors used on their allocated projects.
- 3.4. **Commercial Director** is responsible for ensuring that all the Subcontractor's financial records and insurances are in order, sufficient and up to date and are suitable for the work that they are to carry out.
- 3.5. **HSEQ Director** is responsible to review the use of a subcontractor that is not on the approved list ensuring limited exposure to the company. He will also do random checks approved subcontractors as reviewed by H&S team.
- 3.6. **HSEQ Manager/Advisor** is responsible for ensuring that all the required Health, Safety, Environmental and Quality documentation is in order and up to date and is suitable for the work they are to carry out.
- 3.7. **Procurement** is responsible for ensuring that Subcontractors are approved prior to processing orders.

### 4. **PROCEDURE**

- 4.1. An Administrator is appointed to manage the approved subcontractors list.
- 4.2. The Contract/Project Manager will identify the need for a Subcontractor and shall instruct the Administrator to check the approved Subcontractors list to identify whether the Subcontractor is on the list and details are current and in date.

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- 4.3. The Administrator will access the Approved Subcontractor list to identify whether the requested Subcontractor has been through the Pre Qualification process and the required details are included on the Approved Subcontractor list.
- 4.4. Where the requested Subcontractor is on the Approved Subcontractor list and details are current and in date, Administration will notify the Contract/Project Manager that the Subcontractor may be used for the impending works.
- 4.5. Where the requested Subcontractor is **NOT** on the Subcontractor approved list, the Administrator will notify the Contract/Project Manager of such, and the Subcontractor will not be permitted to be used on the works unless approval is gained through reactive selection procedure as described below.
- 4.6. To use the Subcontractor, the Administrator will send a Subcontractor’s supply chain questionnaire to the Subcontractor to complete and return. Form [Sqa-Blu-016](#).
- 4.7. The completed Subcontractors supply chain questionnaire form and associated documents will be forwarded and checked by the relevant HSEQ Manager/Advisor and Commercial Director, whilst it will be filed in the Approved Subcontractor’s folder.
- 4.8. The assessment will be done using a Subcontractor Prequalification Score form. Scoring will be documented on form [Sqa-Blu-017](#) for 5 or more employees and form [Sqa-Blu-018](#) for 4 or less employees. The HSEQ Manager/Advisor and Commercial Director are required to sign off the score form and return it to administration.
- 4.9. If the Subcontractor achieves the pass score of at least 70% and all key criteria are met, the Subcontractor can be included on the approved Subcontractor list. The Administrator is responsible for the inclusion of Subcontractors on to the Approved Subcontractor list.
- 4.10. Procurement are responsible for checking to ensure Subcontractors are approved prior to raising orders.
- 4.11. Where a Subcontractor has **NOT** achieved the required pass mark of at least 70% and none of the “Key Criteria” items are scored zero, the score form will still be signed and returned to the Administrator with the reasons for not achieving the pass score. This may include a request for further information in order to achieve the pass score.
- 4.12. The Administrator will notify the Subcontractor of the failure to achieve the pass mark and ask for further information. This request will be recorded and filed in the Approved Subcontractors file.

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- 4.13. Where a Subcontractor has been scored zero on any of the “Key Criteria” items, the score form will be signed and escalated to HSEQ Director and or Managing Director through the Administrator with the reasons for failing the subcontractor.
- 4.14. Upon return of the requested information from the Subcontractor, the application is then re-scored by the HSEQ Manage/Advisor and Commercial Director (if applicable). If a pass is achieved, then the score form is returned to the Administrator in order for the Subcontractor to be included on the Approved Subcontractor list. If the Subcontractor fails to achieve a pass score on the second attempt, then the score sheet will be marked with the reasons for the failure to achieve the required pass mark.
- 4.15. The HSEQ Manager/Advisor and Commercial Director and the Contract/Project Manager who requested the use Subcontractor will review the application and the reasons for not being included on the Approved Subcontractor list. The review may also include the Managing Director. A director will have the ultimate decision on the outcome of the status of the Subcontractor.
- 4.16. Where a decision has been made to reject the Subcontractor application, the Administrator will be notified of this decision, and then inform the Subcontractor of this decision.
- 4.17. Where the review of the application outcome has resulted in inclusion onto the Approved Subcontractor list, a Director will authorise the inclusion, inform the other Director/s of the decision and inform the Administrator, by recordable method, of the inclusion. The Administrator will include the Subcontractor on to the Approved Subcontractors list and keep records of authorisation in the approved sub contractors file.

**5. MONITORING THE APPROVED SUBCONTRACTORS LIST**

- 5.1. The Administrator will monitor the Approved Subcontractors list to ensure all the relevant documentation from the Subcontractors is kept up to date. The Administrator will send out a reminder to the Subcontractors, no later than 28 days to expiry, to request update documents in order for the Subcontractor to remain on the Approved Subcontractors list. The date of the request for information will be recorded in the Approved Subcontractors file.
- 5.2. Upon receipt of the requested information from the Subcontractor, the Subcontractor will have their details updated on the Approved Subcontractors list.
- 5.3. Where the requested information has not been received, before the expiry of the original documentation, another reminder will be sent to the Subcontractor for the request of updated documents and that they may be removed from the Approved Subcontractors list if the requested documents are not received. The

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date the reminder that was sent will be recorded in the Approved Subcontractors file.

- 5.4. Where a Subcontractor fails to supply updated documents, they will be marked on the Approved Subcontractors list as NOT APPROVED. The Directors will be notified of the Subcontractors not approved status. It is only under the instruction of a Director that a Subcontractor maintain an approved status on the Approved Subcontractor list without up to date documentation. The approval must be documented and kept in the Approved Subcontractors file.
- 5.5. The Contract/Project Manager will review and endorse the approved Subcontractors list at 6 monthly intervals.

**6. EXPECTED DOCUMENTS TO BE PRODUCED:**

- a. Subcontractors with less than 5 employees:
  - i. Copies of Current Insurance Certificates
  - ii. Health and safety Policy (if applicable)
  - iii. Modern Slavery Policy/ Human Trafficking Policy
  - iv. Accident statistics
  - v. Enforcement / Prosecution Details (if applicable)
  - vi. Relevant References
  - vii. Copies of H&S Training for employees
  
- b. Subcontractors with 5 or more employees
  - i. Copies of Current Insurance Certificates
  - ii. Health and Safety Policy
  - iii. Evidence of H&S Qualifications for responsible person
  - iv. Copies of H&S Training for employees / Training Matrix
  - v. Copies of typical relevant Safe Systems of Work eg. Method Statements and site-specific Risk Assessments including COSHH
  - vi. Copy of Site Health & Safety Management System (if applicable)
  - vii. Copies of evidence of First Aid Arrangements
  - viii. Copies of H&S Monitoring procedures
  - ix. Copies of Accreditation Certificates e.g. ISO9001/14001/18001/Lloyds etc
  - x. Copy of Waste Carrier License
  - xi. Copy of Waste Management License
  - xii. Modern Slavery Policy/ Human Trafficking Policy

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**7. REACTIVE SELECTION OF SUBCONTRACTORS:**

**7.1. PURPOSE**

To ensure flexibility within the company in the event of unforeseen, therefore unplanned circumstances, where as a consequence, Subcontractors need to be temporarily approved whilst the full procedure is being processed.

**7.2. PROCEDURE**

**7.2.1.** The Contract/Project Manager will identify the need for a Subcontractor and shall instruct the Administrator to check the approved Subcontractors list to identify whether the Subcontractor is on the list and details are current and in date.

**7.2.2.** Where the requested Subcontractor is NOT on the Subcontractor approved list, the Administrator will notify the Contract/Project Manager of such, and the Subcontractor will not be permitted to be used on the works, unless temporary use has been approved by the Commercial Director (see 7.2.3).

**7.2.3.** To use the Subcontractor temporarily until full approval is achieved, the Contract/Project Manager will notify the Commercial Director of the details and reason for the temporary use and gain temporary approval. The Contract/Project Manager will instruct the Administrator to continue with the selection of Subcontractor's procedure to ensure they have undergone the approval process.

**7.2.4.** The Managing Director will review the completed form and evidence supplied, with the Commercial Director and the HSEQ Director before request is approved or declined.

**7.2.5.** Where the review of the short form application outcome has resulted in approval, the Managing Director will inform the other Director/s of the decision and the Administrator of the proposed inclusion. The Administrator will temporarily include the Subcontractor on to the Approved Subcontractors list pending outcome of full Subcontractor supply chain questionnaire review.

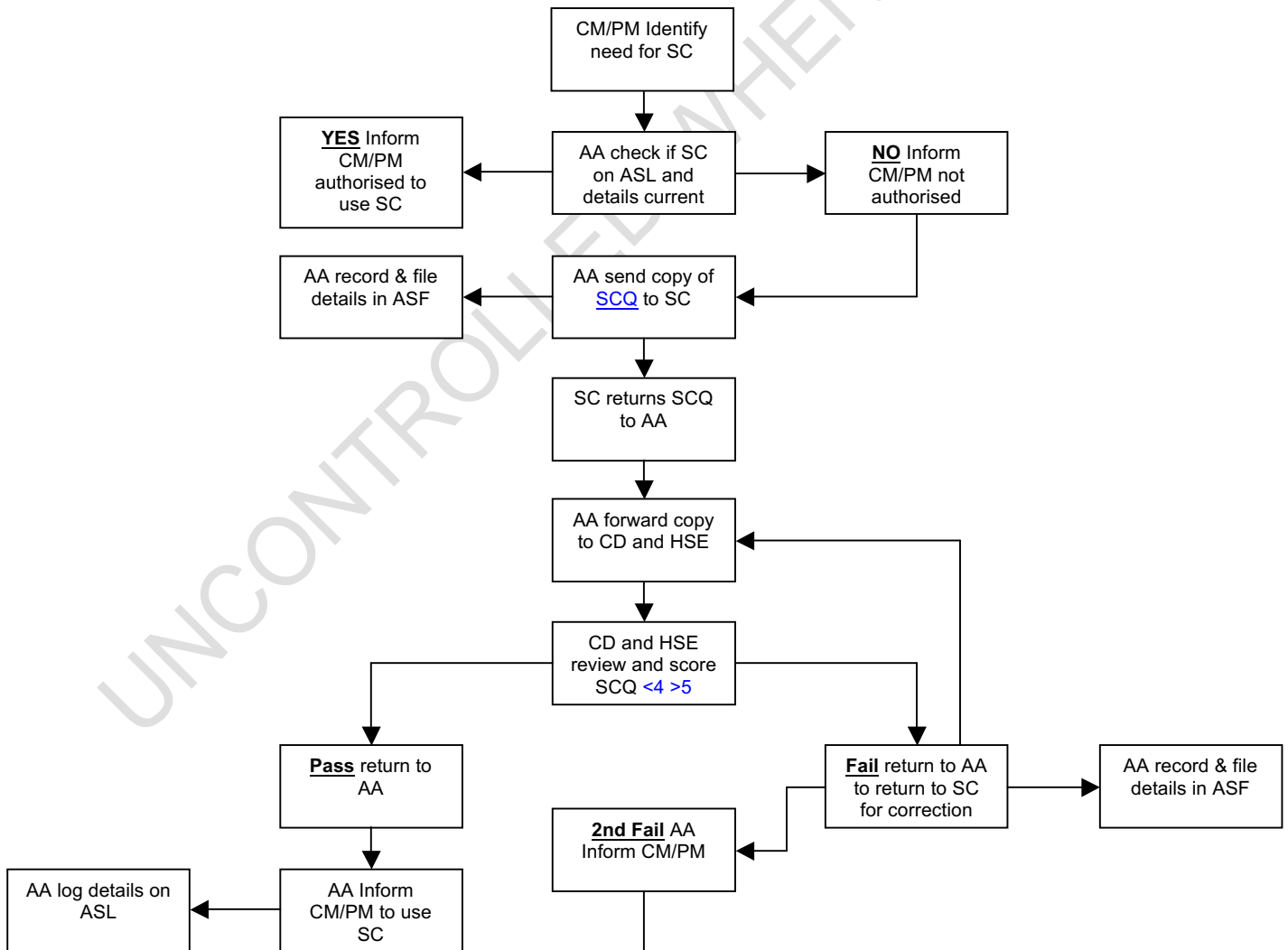
**7.2.6.** Where the review of the short form application outcome has resulted in non approval, the Managing Director will inform the Contract/Project Manager and the Subcontractor will not be permitted to be used on the works.

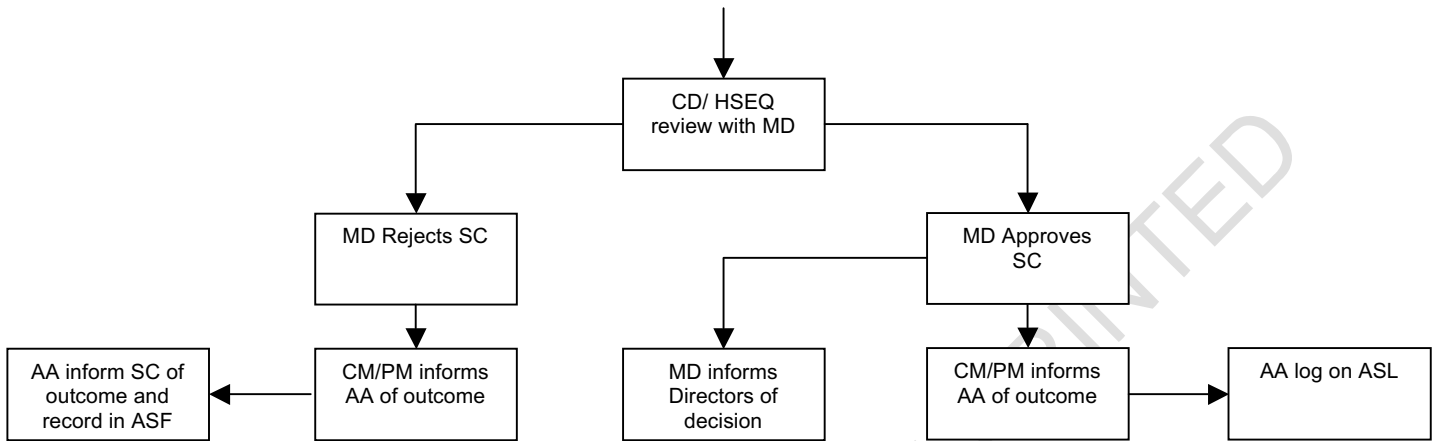
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**FLOW CHART SELECTION OF SUBCONTRACTORS**

**Legend**

- SC – Subcontractor
- ASL – Approved Subcontractors List
- ASF – Approved Subcontractors File
- SCQ – Subcontractor Supply Chain Questionnaire
- MD – Managing Director
- CM/PM – Contract/Project Manager
- AA – Appointed Administrator
- CD– Commercial Director
- HSEQ – HSEQ Director
- HSE – Health, Safety & Environmental Manager/Advisor

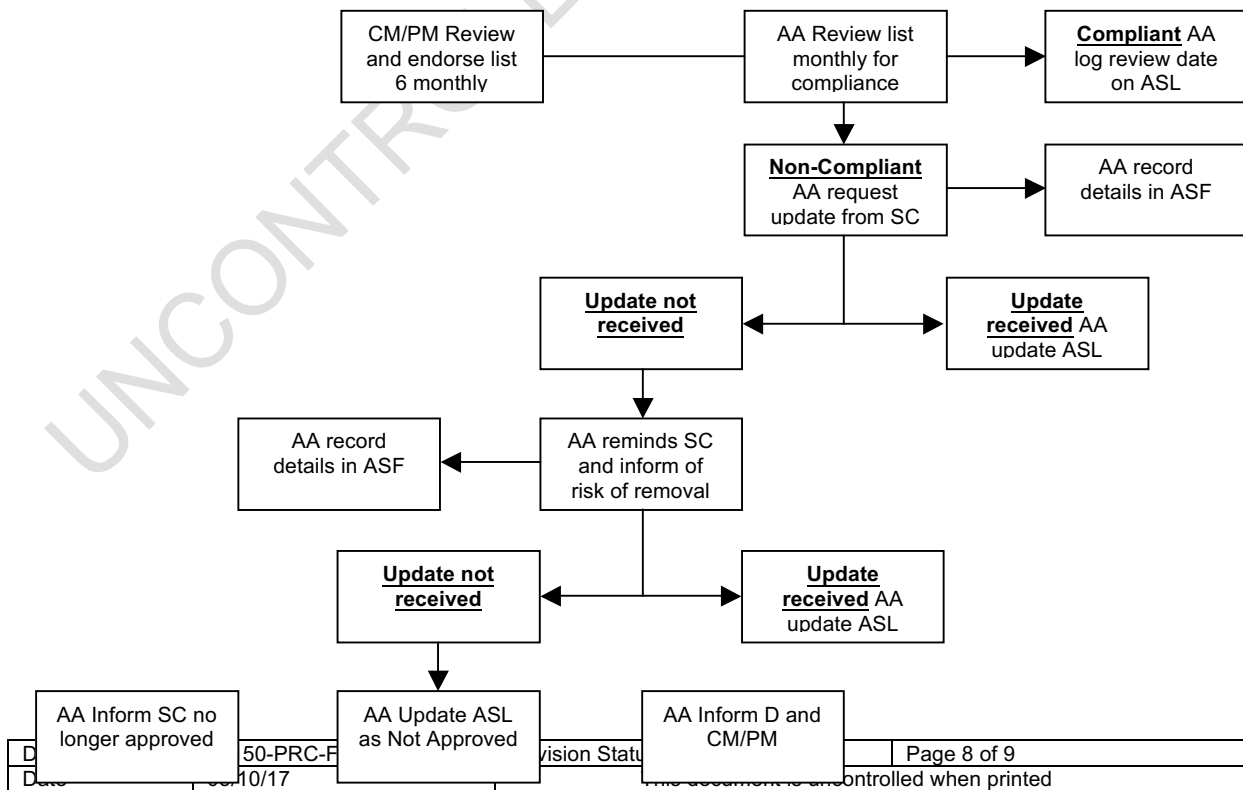




**FLOW CHART Monitoring the Approved Subcontractors list**

**Legend**

- SC – Subcontractor
- ASL – Approved Subcontractors list
- D – Director
- CM/PM – Contract/Project Manager
- AA – Appointed Administrator



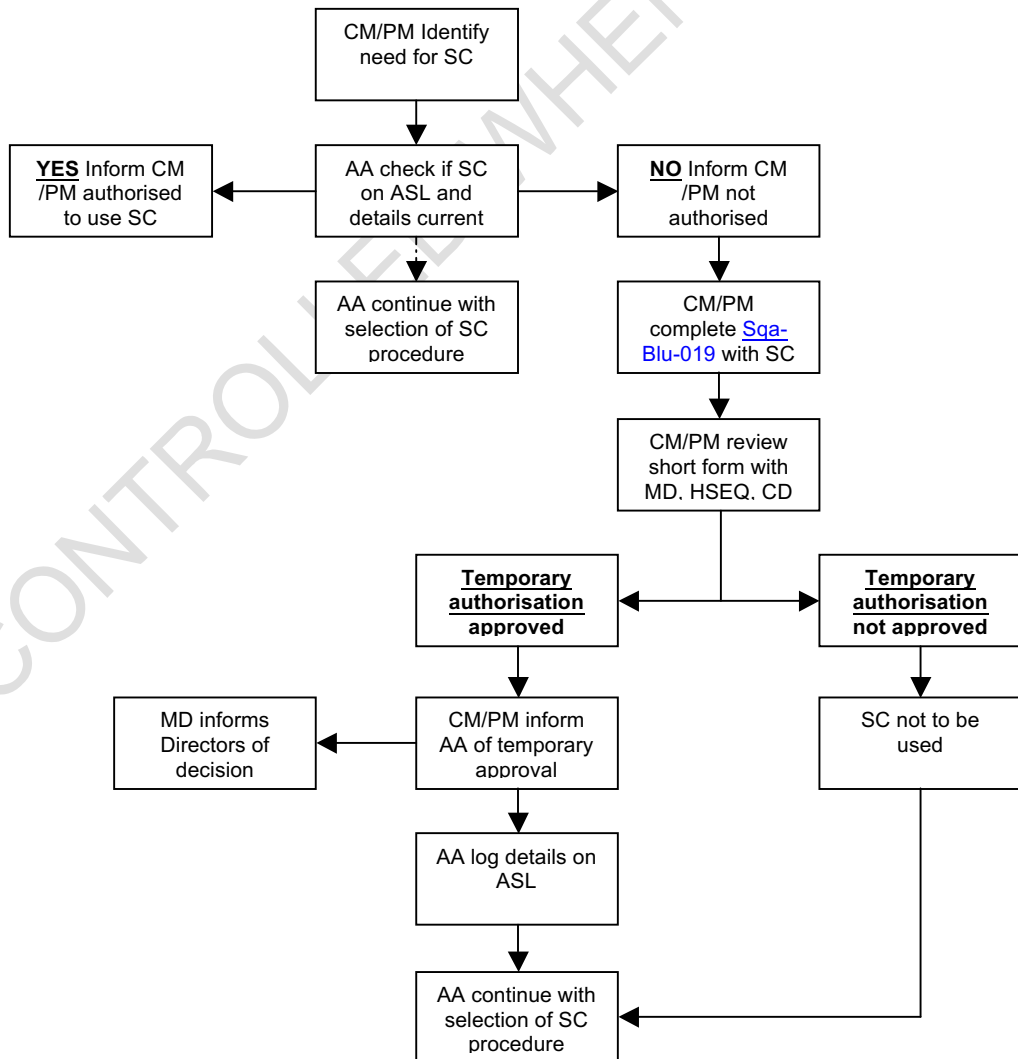




**FLOW CHART REACTIVE SELECTION OF SUBCONTRACTORS**

**Legend**

- SC – Subcontractor
- ASL – Approved Subcontractors list
- MD – Managing Director
- CM/PM – Contract/Project Manager
- AA – Appointed Administrator
- COM – Commercial Manager
- HSEQ – HSEQ Director



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