

# Supply Chain Assurance Standard

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## 1 Introduction

The purpose of this Standard is to provide a common process in addressing Safety, Health, Environmental and Assurance (SHEA) matters associated with the procurement of 'Subcontractors, Plant, and Materials Suppliers, and Sub-Tier Subcontractors' (Here in referred to as 'Suppliers') within the Eiffage Kier Ferroviaire BAM Joint Venture (EKFB JV). It seeks to ensure that the materials, products and services provided to EKFB JV meet the standards outlined in the EKFB JV Business Management System (BMS).

This standard aligns itself to the requirements laid out in the Safety Schemes in Procurement (SSIP) and PAS 91: Construction Prequalification, which is the process followed by Government (National and Local) bodies and the Common Assessment Standard (CAS). The CAS is being implemented across the construction industry and is led by Build UK, of which Kier is a member (see Section 15).

Some specialist working environments such as Railways and Highways have their own accredited schemes that are required in place of, or over and above SSIP. When working on Utilities Achilles UVDB accreditation is required, and when working on Network Rail Infrastructure, RISQS accreditation is required.

Other trade specific accreditations, or technical prequalification criteria may apply, and should be identified within the package specific Package Acquisition Plan (PAP) (e.g. all Scaffolding subcontractors will require NASC certification).

Several legislative offences will automatically lead to mandatory exclusion at verification, for example:

- Bribery & Corruption.
- Conspiracy to defraud.
- Money Laundering.
- Modern slavery.

## 2 Scope

This EKFB JV standard applies to the HS2 project delivery only and has been developed to satisfy both Kier Group Policy, and HS2 specific project requirements.

Exceptions to this standard will be documented through a Derogation Process as detailed within this standard, authorised at project level.

### 3 Terms & Definitions

Term	Definition
EKFB JV	Eiffage Kier Ferrovia BAM Joint Venture
PAS 91	Construction prequalification questionnaires
SCM	Supply Chain Member
SSIP	Safety Schemes in Procurement
ITT	Invitation to Tender
MSDS	Material Safety Data Sheet
BMS	EKFB JV's Business Management System (Safety, Health, Environment, Assurance)
CAS	Common Assessment Standard
PQQ	Prequalification Questionnaire
SPM	Subcontractor Performance Management System
SHEA	Safety, Health, Environment & Assurance
COSHH	Control of Substances Hazardous to Health
PAP	Package Acquisition Plan

### 4 EKFB Responsibilities

The Head of Procurement & Supply Chain is accountable for the effective delivery of this standard within EKFB JV and its supply chain.

The Operations Director (or their delegate) is responsible for the operational delivery of this standard.

Advice and guidance on the suitability of Suppliers may be sought from the Safety, Health, Environmental and Assurance Managers where required.

### 5 Supply Chain / Supply Chain Member

The Suppliers applicable to this standard includes anyone carrying out work or providing services on behalf of EKFB JV including but not limited to:

- Subcontractors.
- Labour agencies.
- Plant Suppliers.
- Construction related Material Suppliers
- Consultants and IT Service Providers
- Non-construction related Material Suppliers.
- Statutory Undertakers.

Agency workers and operators hired with plant engaged by EKFB JV are to be treated in respect of SHEA Management in the same manner as EKFB JV employees. Attention is to be paid to:

- Maintaining records demonstrating the competency of agency workers and operators hired with plant.
- Ensuring that safe systems of work are in place, communicated, followed and that control measures are effective.
- Monitoring agency workers and operators hired with plant activities for SHEA performance.

This standard and the prescriptive assessment standards denoted in section 6 does not apply to the procurement of Consultants, Micro Businesses, non-construction related material suppliers (e.g. Stationary, Office furniture etc) or Designers. EKFB JV are to ensure all of these types of supplier are vetted and approved to relevant SHEQ requirements, have appropriate design competency (if applicable) with corresponding insurances levels carried as detailed within the Prequalification Questionnaire (PQQ), as detailed on the EKFB JV Causeway Tradex supply chain management portal -

<https://tradex.causeway.com/exchange/AdminHomePageAction.do?requestFor=selectMenu&menuID=SM-SM.SEARCH.SEARCH>

## 6 Pre-qualification Assessment - All Subcontractors

### 6.1 EKFB JV Standard

When compiling Tender Lists the Procurement Team responsible for the PAP shall use this standard to shortlist Subcontractors to comply with the EKFB JV Approved Accreditation Schemes (refer to Section 15 – Table 1).

In addition, the EKFB JV Subcontractor Performance Management system (SPM) is also to be consulted when compiling the Tender List to ensure that live performance data is taken into consideration

Only Subcontractors that have been assessed for compliance with this Standard (via the relevant Causeway Tradex PQQ) shall be deemed suitable to receive an Invitation to Tender (ITT) for the works to be Procured. The ITT must include reference to relevant EKFB JV Minimum Standards, Safety Information, Hazards and Risks.

Once Subcontractors have received EKFB JV approval status (All Options including derogation) they must re-apply every two years (measured from the date of approval). Where a material event relating to the Subcontractor occurs then the approval status becomes suspended and a re-application must be made. The adjudicator of the material event and the requisite re accreditation will be the Sectional Construction Director of the EKFB JV.

## 6.2 Options 1 and 2 – PAS91 and SSIP Compliant

Subcontractors who meet the requirements of Minimum Standard (Option 1) & Minimum Standard (Option 2) meet the requirements of both PAS91 and SSIP.

**Minimum Standard (Subcontractors)** meets the CAS requirements (i.e. PAS91 (full question set) and SSIP) and as such is aimed at packages of work that would be considered ‘High Risk’, Trades that deliver works of a typically complex nature (i.e. include design and/or involve a wide scope of delivery) or large businesses who do not meet the criteria of being an SME.

**Minimum Standard (Sub-Tier Subcontractors)** provides a basic level of compliance for PAS91 (core question set only) and full SSIP compliance via any appropriate 3rd party scheme recognised under SSIP (i.e. CHAS, Safe contractor, SMAS, BCSA, NASC for scaffolding works, Acclaim, Avetta and NERS, GIRS and WIRS for Utility works etc). The 3rd Party Scheme must be relevant to the scope of work the Subcontractor is being procured to deliver.

The Risk profile of the package being procured should be fully considered within the PAP and consideration for location, complexity, design liability, programme constraints and product (where one exists) must take precedence over the value of the work being procured. When determining the required accreditation Option the type of trade and working environment must also be considered so as to ensure that we meet the requirements of the client.

Where the requirements of the EKFB JV allow, Suppliers who do not meet the Option 1 or Option 2 criteria above can be considered for a Derogation under Option 3.

## 6.3 Option 3 – Derogated

This Option has been developed to cater for Subcontractors who are generally small self-managed businesses, providing ALL the following criteria are met:

- Low risk activities (as defined within Package / Project Procurement Strategy and / or Risk Assessment).
- Proposed Subcontractor does not intend to further Sub-let works.
- Task(s) or the person(s) carrying out the works do not require any specialist safety-oriented training to carry out any aspect of the task. (Such as safety critical operatives).
- For Non-Construction/building works, (examples being “Soft” FM type activities).

Subcontractors who fall into this Option 3 category are required to complete the EKFB JV Tradex PQQ in full, and as early in the Procurement process as possible. The Supply Chain Manager shall review the responses to the questionnaire and where there are issues or areas of concern, they should consult the SHE Manager. The Supply Chain Manager must ensure that all issues are closed out and/or clarified by the Subcontractor before the placement of order, the Subcontractor is rejected, or derogation is sought (See section 7.1).

Authorisation of the questionnaire will be acceptable as an alternative to Minimum Standard so far as the scope of the work allows. Unsuitable Subcontractors must not be used, and the selection process repeated.

Upon satisfactory review and the acknowledgement from the supplier that they have read, understood and agreed to work to EKFB JV SHEA standards “Approved” Supplier status will be established within the Causeway Tradex system, and an order may be placed with them.

Project specific approval limitations to derogated Subcontractors must be clearly identified within the Tradex scope of approval defined by the Supply Chain Manager.

## 7 Assessment for Compliance

All Suppliers are to be assessed for compliance with this standard when compiling the Tender List, and via the relevant PQQ (as detailed with EKFB Tradex Prequalification Questionnaire) (PR-PRO-8004-F001)) when formally onboarding the Suppliers prior to Contract Award, and the assessment should be carried out to ensure a compliant Supply Chain is employed. No Supplier can be issued an order without the relevant PQQ being completed and approved.

Supplier’s EKFB JV approval status, or 3<sup>rd</sup> party accreditation status can be found by searching the online resources available to us on the relevant web pages (i.e. Tradex, Constructionline, CHAS, ACHILLES, SSiP, UVDB, RISQS). Alternatively, the Supplier can be asked to submit evidence during the Compete For sourcing process, by means of a valid in date verification certificate (Construction Line – Gold, CHAS - Premium Plus or Achilles Building Confidence Advanced + Desktop audit) prior to tender. It is advisable to confirm the certificate via the on-line resources to ensure the information is accurate at time of selection, taking cognisance of when accreditation expires in relation to duration of said contract activities.

The Supply Chain Manager shall review the responses to the PQQ and where there are issues or areas of concern, they should seek assistance. The Supply Chain Manager must ensure that all issues are closed out and/or clarified by the Supplier before the placement of order, the Subcontractor is rejected, or derogation is sought (see Section 7.1).

Note: The Suppliers must be given all the necessary Policies, Procedures, Standards and Minimum Standards (as required by the scope of work being procured) within their ITT to enable them to consider, plan, resource and price accordingly. Acknowledgement from the supplier that they have read understood and agreed to work EKFB JV SHEA standards will be a pre-cursor to an order being placed.

### 7.1 Derogation Requests

Where it is not possible to engage a Supplier or Subcontractor with the appropriate level of accreditation the Supply Chain Manager may apply for a derogation by completing (in full) a Supply Chain Assurance Derogation Request Form (PR-STD-8005-F001). Consideration must be given as to why another Subcontractor/Supplier cannot be selected and what additional controls will be required to ensure compliance with EKFB JV Standards. This can only be considered for minor works packages up to the value of £50k, or in extenuating circumstance surrounding the urgent need for that supplier (e.g. local authority framework supplier, or client directed source).

This is then forwarded to the Sectional Construction Director (or delegate) who must review, comment, authorise and sign. (NB It is the responsibility of the Supply Chain Manager to ensure that any Subcontractor

that requires a derogation possesses the necessary skills, competency, resource and ability to carry out the task safely, paying due regard to occupational health and the environment, and to the required quality).

Reasons for non-compliance might include but not limited to (included on derogation request):

- A. Statutory Authority
- B. Nominated Subcontractor or Supplier
- C. Subcontractor / Supplier level of accreditation does not meet this standard

Any derogation requests that do not meet the defined criteria within this standard must be authorised by the EKFB JV Project Director.

## 8 Sub-letting

The Subcontractor must request acceptance from EKFB JV in writing through CEMAR to sub-let any elements of their works, or any sub-let works within their onward supply chain (all tiers of their subcontract supply chain). Acceptance being granted at the discretion of the Supply Chain Manager and Sectional Construction Director (which should be provided in formal instruction of acceptance via the commercial team), following a suitability review. This is recorded by the Supply Chain Assurance team and will be maintained on the project for each Sub- Contractor.

Subcontractors should be requested to give visibility of any intended sub-letting of works of during the tender process, and as part of the Tradex onboarding process.

All Sub-Tier subcontractors must meet the minimum standards outlined in option 2 of Table 1 of this standard.

## 9 Period of Validity

The required level of Approval / Accreditation held by Suppliers must be valid and verified when each order is placed, and through the life of said contract.

All Suppliers (as defined in the full list in Section 5 above) EKFB JV approval status shall be reviewed and renewed every two years.

The Supply Chain Manager must check a Suppliers Approval and Accreditation status prior to placement of any new order.

## 10 Appointment and Order Placement

The process of appointing Suppliers is detailed in the EKFB JV Procurement Procedures (PR-PRO-8001).



## 11 Review of Subcontractor Performance – All Works Options 1, 2 & 3

Subcontractor’s performance will be scored quarterly (including SHEA score). This review with appropriate comments will be inputted into the EKFB JV Tradex Performance Database.

The Performance review, led by the Supply Chain Manager, shall be carried out with the assistance of the Project Manager, and site team who have a detailed knowledge of the Subcontractor’s performance on site.

Previous performance information of Subcontractors (if available) must be reviewed and considered prior to their selection.

## 12 Materials/Plant Suppliers

Construction related Materials must be procured from Suppliers that hold the following accreditations (as a minimum);

- ISO9001
- ISO14001
- BES6001\*
- CARES \*
- FSC (or equivalent) \*
- FORS Silver or CLOCS Champion (or committed to using a Haulier with this standard).

New materials Suppliers shall be issued a risk based PQQ (as detailed in EKFB Tradex Prequalification Questionnaire – PR-PRO-8004-F001.) as part of the formal EKFB JV onboarding process.

\* As defined in the Environmental and Sustainability Minimum Requirements for Materials Document no: EV-SPE-C000-700002

## 13 Tradex Onboarding

All new EKFB JV Suppliers must be formally on to the Causeway Tradex system at contract award stage

When onboarding new Suppliers, buyers should firstly check Tradex to see whether they are already approved, and if not, raise a new supplier request following the onboarding procedure (PR-PRO-8004).

As part of the EKFB JV formal Causeway Tradex Onboarding Procedure (PR-PRO-8004-F001) all new suppliers shall be issued a risk-based Prequalification Questionnaire (PQQ) that has been aligned to the CAS. Once this PQQ has been assessed and authorised by the Supply Chain Assurance Team, the supplier will become an approved member of the EKFB JV project specific supply chain.

The risk based PQQ question sets for Suppliers are detailed with EKFB Tradex Prequalification Questionnaire – PR-PRO-8004-F001.

Suppliers that have been approved within Tradex can be automatically added to future EKFB JV tender shortlists and issued future contracts subject to the package being meeting the approval limitations in terms

of trade classification, and the Suppliers meeting any package specific technical prequalification requirements.

Should approved Suppliers be awarded additional works, they will not have to be re-onboarded on to Tradex.

## 14 References

Document Title	EKFB Document number
EKFB Tradex Prequalification Questionnaire	PR-PRO-8004-F001
EKFB Prequalification & Supplier Onboarding	PR-PRO-8004
Supply Chain Assurance Derogation Request Form	PR-STD-8005-F001
Environmental and Sustainability Minimum Requirements for Materials	EKF-EV-SPE-C000-700002

## 15 EKFB JV Approved Accreditation Schemes

It is accepted that the EKFB JV supply chain will encompass a range of Subcontractors that will vary in size and skill set. It is incumbent upon the project teams to utilise these standards to source the best possible approved Subcontractor that fulfils all project requirements in particular risk and operational demands.

The standards are designed to provide flexibility in order to source the best supply chain members given the diverse nature of the JV's activities. The aim is always to source the highest quality Subcontractor that meets all of the project objectives, given this Option 1 of Table 1 is the best possible Option. If the project requirements dictate that it is not feasible to meet Option 1 requirements, then Option 2 should be used. Option 3 should only be followed as a last resort and should always receive the mandated authorisation and, as with all Options, Sub-Contract works shall not commence without an authorised Tradex PQQ, and a signed returned Sub-Contract.

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Table 1: Accreditations		PAS91			SSIP	Minimum additional due diligence required to manage risk <sup>(1)</sup>	Package profile <sup>(2)</sup>	Supply Chain that MUST comply
		Construction-line	CHAS	Achilles				
1	Minimum Standard (Option1)	<b>CAS Compliant Schemes</b>			N/A covered by PAS91	<p>Insurances: Subcontractor insurances to be uploaded and assessed as part of EKFB JV Tradex PQQ</p> <p><b>Design:</b> Designer competence Assessment required to be completed and approved for all order that include design.</p>	<p>Sub-contracted works that may involve design and are defined as high risk either by scope, programme, location or other such criteria that requires highly competent execution. Packages such as structural steelwork, traffic management, M&amp;E, curtain walling, RC frames, roofing, cladding, demolition or asbestos removal should be viewed as high risk.</p>	<p>Medium / large companies and high-risk project requirements</p>
		Gold or Platinum	Premium Plus	Achilles BC+ desktop audit				
Table 1: Accreditations		Construction-line	CHAS	Achilles	SSIP	Minimum additional due diligence required to manage risk <sup>(1)</sup>	Package profile <sup>(2)</sup>	Supply Chain that MUST comply
2	Minimum Standard (Option 2) <sup>(3)</sup>	Silver <sup>(4)</sup>	Premium <sup>(4)</sup>	N/A	Membership of any of the registered schemes (as appropriate) <sup>(5)</sup>	As Option 1. In addition, the procurement team is to assess the optional requirements (see table 2) and confirm compliance prior to offer. In the event that the Subcontractor does not have them in place, or their own policies fail to meet EKFB JV's requirements,	Applicable to design and non-design orders.	Applies to plant suppliers, and all sub-tier subcontractors

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Table 1: Accreditations		PAS91			SSIP	Minimum additional due diligence required to manage risk <sup>(1)</sup>	Package profile <sup>(2)</sup>	Supply Chain that MUST comply
		Constru ction- line	CHAS	Achilles				
						the Subcontractor confirms they will adopt EKFB JV's		
<b>3</b>	Derogated (Option 3) <sup>(6)</sup>	N/A	N/A	N/A	N/A <sup>(6)</sup>	The procurement team is to undertake a full due diligence assessment covering the PAS91 core question set and (if required) a SHEA assessment (to be approved by the SHEA Manager). In the event that the Subcontractor does not have them in place, or their own policies fail to meet EKFB JV's requirements, the Subcontractor confirms they will adopt EKFB JV's. Subcontractor insurance questionnaire to be completed and returned incl. details on exclusions.	Subcontractor does not have responsibility for design. If the order includes design responsibility, then the Subcontractor must meet Level 1 or 2 depending on the order value.	SME's & non-construction activities

Table 2 Accreditation Matrix		Option 1) Minimum Standard Plus				Option 2) Minimum Standard		Option 3) Derogated
		CAS	Achilles BC + Desktop Audit	Constructionline (Gold or Platinum)	CHAS Premium Plus or Premier	CHAS Premium	Constructionline Silver + Any SSIP Scheme	
Governance	PAS91 - Core Questions	✓	✓	✓	✓	✓	✓	✗
	PAS91 - Optional Questions	✓	✓	✓	✓	⊘	⊘	✗
SHE	SSIP	✓	✓	✓	✓	✓	✓	✗
Other	Anti-Bribery & Corruption	✓	✓	✓	✓	⊘	⊘	✗
	Modern Slavery	✓	✓	✓	✓	⊘	⊘	✗
	Corporate Social Responsibility	✓	✓	✓	⊘	⊘	⊘	✗
	Fit to Supply Verification (based on PAS91)	✓	✓	✓	✓	✓	✓	✗
	Health & Safety Audit Report	✓	✓	✓	✓	✓	✓	✗
	Fully Verified (for components covered)	✓	✓	✓	✓	✓	✓	✗
✓	Included in the 3rd Party Assessment							
⊘	Not included in the 3rd Party Assessment: the scope of work being procured must be reviewed to determine suitability and gaps mitigated accordingly (refer to sections 4.1.2 & 5)							
✗	No 3rd Party Assessment: Sub-Contractor Authorisation Questionnaire Part C required to be completed and approved prior to selection (see section 4.1.3, 5 & 5.1). If a Sub-Contractor is partially compliant (i.e only has SSIP) then they must follow the Derogated route for approval							

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