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coal supply chain

# Lead Assessor Allocation Procedures

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## Bettercoal Lead Assessor Allocation Procedures

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### Cover photo

*EMO*

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# 1. Bettercoal Supplier Assessment Process

The Bettercoal Supplier Assessment Process consists of five Steps outlined below. For more information and guidance, please refer to the Bettercoal Assessment Manual.

## Box 1: Steps of the Bettercoal Supplier Assessment Process



# 2. Bettercoal Lead Assessor Allocation Process

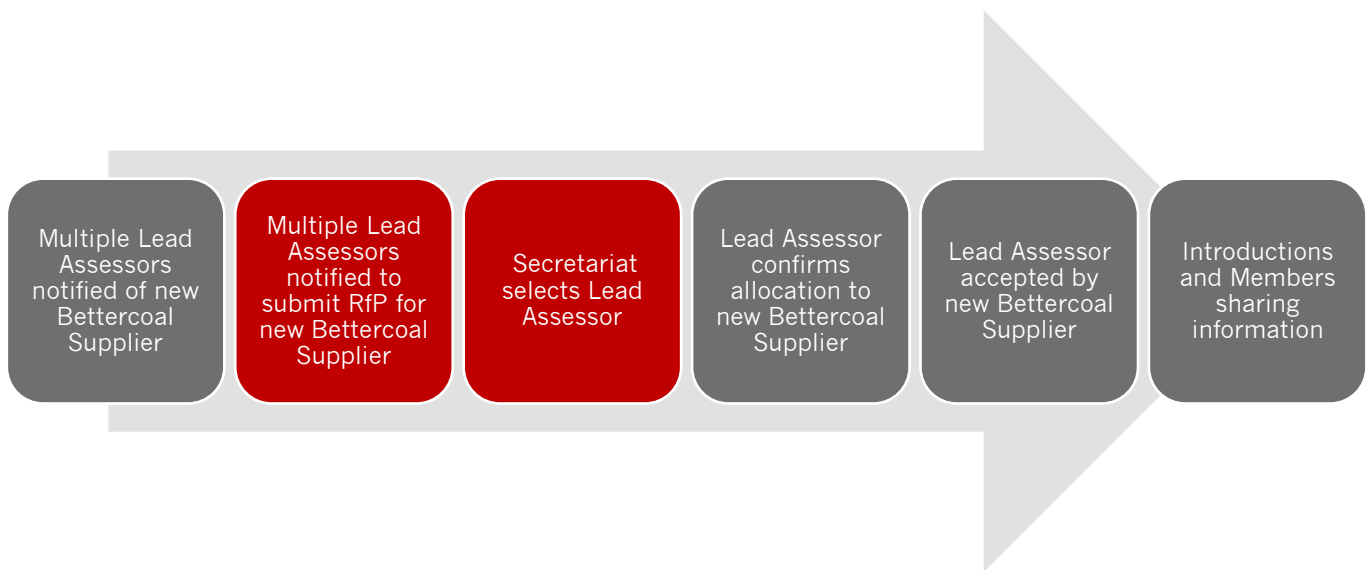
A Bettercoal Approved Lead Assessor (Lead Assessor) will be allocated to a Bettercoal Supplier during *Step 2: Desktop Review*. An overview of this allocation process is described in Box 2 below, and a more detailed description can be found in the Bettercoal Assessment Manual.

The online Bettercoal Platform - a tool accessible only to the Secretariat, Members, Bettercoal Suppliers and Lead Assessors – is central to the Bettercoal Assessment Process. It provides access to all the information and data relating to Bettercoal Supplier Assessments, as well as:

- Centralized and automated processes for Bettercoal Suppliers to complete the Bettercoal Self Assessment, upload policies and documents, and communicate directly and effectively with Bettercoal Assessors and Members
- Automated and efficient data collection and interpretation Lead Assessors
- Standardised Assessment tools and processes shared with Lead Assessors, Bettercoal Suppliers and Members.

The allocation of a Lead Assessor to a Bettercoal Supplier will mainly take place on the Bettercoal Platform. Steps highlighted in **grey** below take place on the Bettercoal Platform, steps highlighted in **red** take place outside the Bettercoal Platform.

**Box 2: Bettercoal Lead Assessor Allocation Process as part of Step 2: Desktop Review**



### 3. Desktop Review and Site-Assessment Proposal Guidelines

Lead Assessors will be notified of a new Supplier joining the Bettercoal Assessment Process through the Bettercoal Platform. Those interested in leading the Assessment will have to submit a short proposal within two weeks of being notified. This proposal will be expected to highlight:

Technical:

- Lead Assessor qualifications for the Assessment
- Possible assessment team members for the Site-Assessment (Step 3) and their qualifications
- Proposed approach / methodology
- Demonstrated understanding and experience of local context of the assessment team
- Highlight any previous experience working with that Bettercoal Supplier

Commercial

- Fees for the Desktop Review and fees for the Site-Assessment (will remain valid throughout the assessment)

Once the Lead Assessor has been selected and has completed the Desktop Review, they will be asked to submit a more detailed proposal for *Step 3: Site-Assessment*, explaining their methodology based on the Assessment Plan and giving a detailed financial proposal for the assessment team,



covering individual fee rates, number of days per Assessors, workplan and associated deliverables as well as an expense estimate ceiling. This will not be a competitive process but will provide the basis for the site-assessment contract.

## 4. Proposal Selection Process

Technical and Commercial proposals will be evaluated by the Bettercoal Secretariat within two weeks of submission. The proposal with the highest overall score will be selected. The scoring methodology is explained below:

### Technical Proposal Rating (70% of overall score):

Each criterion will be marked from 1 to 4 (1 being poor, 4 being outstanding).

- Specific experience of the Lead Assessor related to this Assessment [weight 30%]
- Qualification and competence of the assessment team [30%]
- Capacity and experience of the assessment team working in the country / region of the Assessment: ranked 1-4 [20%]
- Approach and methodology: ranked 1-4 [20%]

The technical score will then be weighed against the highest scoring proposal for each criterion following the following formula:  $T = \text{score} / \text{highest score} \times \% \text{ of the criteria}$ . If the Technical Score is equal or above to 75%, the Commercial Proposal will be evaluated.

### Commercial Proposal Rating (30% of overall score):

- Fees for Desktop Review
- Fees for Site-Assessment
- Fees for report writing
- Overall average fee rate

The Total Commercial Score will be rated as follows:  $C = 100 * \text{lowest average rate} / \text{proposed average rate}$ .

The Overall Score will be determined as follows:  $(\text{Technical} * 70\%) + (\text{Commercial} * 30\%)$

**Box 3: Proposal Scoring Example**

Technical Scoring (70%)	Proposal 1	Weighted scoring (score / highest score)*%	Proposal 2	Weighted Scoring	Proposal 3	Weighted scoring
Specific experience of the Lead Assessor related to this Assessment: ranked 1-4 [30%]	2	15	4	30	1	7.5
Qualification and competence of the assessment team: ranked 1-4 [30%]	3	22.5	4	30	1	7.5
Capacity and experience of the assessment team working in the country / region of the Assessment: ranked 1-4 [20%]	4	30	4	20	1	5
Approach and methodology: ranked 1-4 [20%]	3	22.5	4	20	1	5
<b>TOTAL TECHNICAL</b>		90		100		<b>25</b>
Meet minimum technical score of 70 (Yes / No)		Yes		Yes		No

Commercial Scoring (30%)	Fee Rate (in £)	Fee Rate (in £)	Fee Rate (in £)
Fee rates proposed for Desktop Review work (ranked from lowest)	300	500	<i>Commercial Proposal not reviewed as Technical Score is below 75%</i>
Fee rates proposed for in-country/Site-Assessment work (ranked from lowest)	800	800	
Overall average fee rate	550	650	
<b>TOTAL COMMERCIAL (=100*lowest average rate/proposed average rate)</b>	100	84.61538462	

OVERALL SCORE (Technical*70%)+(Commercial*30%)	93	<b><u>95.38461538</u></b>	
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**Selected Proposal: Proposal 2 with a score of 95.4**



Each Lead Assessor who submitted a proposal will be notified of their outcome and score.

In case a conflict of interest is identified by the Bettercoal Supplier, Bettercoal will select the Bettercoal Lead Assessor who has scored the second highest in the selection process.

## 5. Site-Assessment Plan

The Lead Assessor will be asked to submit a detailed proposal at *Step 3: Site-Assessment* which will form the basis of the contractual agreement with Bettercoal. This proposal should detail:

- Assessment team composition and expected number of days of work per assessment team member;
- Fee rates for assessment team members based on type of activity (this includes project management days for the Lead Assessor);
- Translator and translation fees if required;
- Maximum ceiling for expenses. These include: per diem, transport (Bettercoal will only cover Economy class tickets unless travel is over 5 hours, Premium Economy is advised over Business Class), local transport (when this is not provided by the Bettercoal Supplier).
- Value for money will be considered in each proposal and therefore Bettercoal would expect proposals to seek to minimize expenses.

Expenses will be reimbursed within that ceiling upon presentation of all receipts.

## 6. Associated Fee Rates

Bettercoal will only accept commercial proposals in Euros or in Pound Sterling and in line with the Bettercoal Fee Rate card (see Bettercoal Lead Assessor Approval Process & Criteria). This card will be updated on an annual basis.

## 7. Payment

Bettercoal will pay by deliverable:

- Completion of the Desktop Review (100% of invoice based on agreed timeframe and deadlines)
- Submission of the draft Assessment Report to the Supplier (30% of proposal + associated expenses)
- Acceptance of final Assessment Report by Bettercoal (50%)
- Submission of the draft Continuous Improvement Plan to the Supplier (10%)
- Acceptance of final Continuous Improvement Plan by Bettercoal (10%)

The deadline for deliverables will be agreed with Bettercoal and be in line with the Supplier Assessment Process deadlines (see Assessment Manual). Should a Bettercoal Supplier become unresponsive or fail to meet the deadlines to comment on documents, the Lead Assessor will be remunerated at a time agreed with Bettercoal.