

Health Estates Investment Group
Random Selection (Short-Listing) Process for use on
Capital Projects with a value below the EU Threshold

Introduction

Health Estates Investment Group (HEIG) manages the selection (short-listing) process for Building, Mechanical and Electrical works on behalf of Health and Social Care Trusts and Public Safety Bodies.

There are circumstances when HSC Trusts and Public Safety Bodies need to seek expressions of interest for works projects other than those covered by the DHSSPS Register of Contractors (i.e. Building, Mechanical and Electrical Contractors) such as Demolition Contractors, Asbestos Removal, etc. The random selection (short-listing) process has been developed for use in these circumstances.

Detailed below are the steps to be followed to ensure a transparent and auditable process.

Random Selection (Short-Listing) Process

1) Advertisement

An advertisement for the works project is prepared and placed on the eSourcingNI portal.

The advertisement must describe the selection criteria that will be used to select those who express an interest in tendering for the works project and must state that in the event that more than six applicants express an interest, then the Random Selection (Short-Listing) Process will be used.

The selection criteria must be objective and require evidence of competence and experience that is considered necessary to undertake the scale and complexity of the works project.

2) Receipt of Applications

When the closing date for receipt of applications has passed, the names of the applicants who have applied by the closing date will be given a Unique ID number and listed on the Random Selection Process Form A contained in Appendix 3. This Form is signed by the member of staff in the Estates Department with responsibility for this exercise and retained by that person for the duration of the Random Selection Process. The members of the Random Selection Panel must not have access to this Form in order to ensure the maintenance of their independence.

The Random Selection Panel Chairperson will be provided with a list using the Random Selection Process Form B contained in Appendix 4. The names of the applicants will not be shown on this Form.

3) Random Selection

The random selection will be carried out by the Random Selection Panel. This panel will comprise three administration staff. It will be chaired by a Senior Administrative Officer. The Panel will have no involvement with the Estates Department of the Health & Social Care Trust or Public Safety Body.

Random selection will be carried out in accordance with the steps contained in Appendix 1.

The numbers allocated against the Unique ID numbers as a result of random selection will determine the order in which the applications are considered if a select list has not already been achieved at that point.

The Chairperson of the Random Selection Panel will provide the responsible member of staff in the Estates Department from whom they had received the Unique ID's with the outcome of the random selection using the Random Selection Process Form B contained in Appendix 4.

The responsible member of staff in the Estates Department will then provide the Chairperson of the Evaluation Panel with a list of applicants using the Random Selection Process Form C contained in Appendix 5.

4) Evaluation

Evaluation will be carried out by the Evaluation Panel. This Panel will comprise three members of staff from the Estates Department. They must have appropriate knowledge and skills in order to review the documentation submitted and assess the applicant's ability to undertake the works project. The Evaluation Panel will be chaired by a Senior Estates Officer.

Evaluation will be carried out in accordance with the steps contained in Appendix 2.

Commencing at Random Selection Number 1 on the list provided by the Random Selection Panel, the Evaluation Panel will assess the information provided by each applicant to determine whether or not it has met the requirements of the selection criteria. If the applicant meets the requirements of the selection criteria they will be placed on the Select List. When there are six applicants on the Select List, evaluation will cease. The outcome of the evaluation should be recorded using the Random Selection Process Form C contained in Appendix 5.

5) Post Selection Process

The Chairperson of the Evaluation Panel must confirm that the six applicants on the Select List are still willing to tender for the works project. If it transpires that one or more of the applicants on the Select List are not willing to submit a tender, the Evaluation Panel must reconvene and evaluation will recommence at the point where it had previously ceased. Evaluation will continue as before until a Select List of six applicants willing to tender is achieved.

The Chairperson must also ensure that all unsuccessful applicants are advised of the outcome of their respective applications.

APPENDIX 1

Random Selection

1. A Random Selection Panel of three will be established, chaired by a Senior Administrative Officer in the Health and Social Care Trust or Public Safety Body. No member of the Panel will have any involvement in the work of the Estates Department.
2. The Chairperson will brief the Panel on their roles and responsibilities prior to the commencement of the exercise.
3. The Chairperson should allocate the other Panel members a specific role as follows:
 - One of the Panel members will be allocated the role of Number Selector.
 - The other Panel member will be given the role of Recorder. They will enter the Random Selection Number drawn out by the Number Selector against each Unique ID Nr using the Random Selection Process Form B contained in Appendix 4.
4. Both panel members will prepare a set of numbered cards to the specification shown in Appendix 6. For example, if there are 20 applicants, the set of numbered cards will contain 20 cards numbered 1 to 20.
5. The Chairperson will place the numbered cards in a box, ensuring that all the cards are inserted, and cover the box so that they are concealed from the Number Selector.
6. The Chairperson will request the Number Selector to carry out the random selection as follows:
 - (i) The Number Selector will pick a card out of the box and state the number printed on the card.
 - (ii) The Recorder will enter the number picked against the first Unique ID Nr on the list using the Random Selection Process Form B contained in Appendix 4.
 - (iii) The Chairperson witnesses this process which is repeated until all of the numbered cards in the box have been removed and each of the Unique ID Nr's has been allocated a Random Selection Number.
7. Each member of the Random Selection Panel will sign the Random Selection Process Form B contained in Appendix 4 to confirm that the random selection has been carried out in accordance with the Random Selection Process.
8. The Chairperson will return the Random Selection Process Form B contained in Appendix 4 to the responsible member of staff in the Estates Department from whom they had received the Form.

APPENDIX 2

Evaluation

1. An Evaluation Panel will be established. This Panel will comprise three staff from the Estates Department. They must have appropriate knowledge and skills in order to review the documentation submitted and assess the applicant's ability to undertake the works project. The Evaluation Panel will be chaired by a Senior Estates Officer.
2. The Chairperson will have in their possession the following documentation:
 - Random Selection Process Form C contained in Appendix 5.
 - The documentation submitted by each of the applicants.
3. The Chairperson will state the name of the applicant who received Random Selection Number 1. The documentation submitted by this applicant will be assessed by the Evaluation Panel to determine whether or not it meets the selection criteria.

If the applicant meets the selection criteria, the Chairperson will enter "Yes" in the Select List column on the Random Selection Process Form C contained in Appendix 5.

If the applicant does not meet the selection criteria, the Chairperson will enter "No" in the Select List column on the Random Selection Process Form C contained in Appendix 5.

4. This process will be repeated for Random Selection Numbers 2, 3, 5, 6, etc until a Select List of six has been achieved.

When there are six applicants on the Select List, evaluation will cease.

5. For those applicants whose applications have not been checked an "X" should be entered in the Not Checked column on the Random Selection Process Form C contained in Appendix 5.
6. Each member of the Evaluation Panel will sign the Random Selection Process Form C contained in Appendix 5 to confirm that the evaluation has been carried out in accordance with the Random Selection Process.
7. The Chairperson of the Evaluation Panel must confirm that the six applicants on the Select List are still willing to tender for the project. If it transpires that one or more of the applicants on the Select List are not willing to submit a tender, the Evaluation Panel must reconvene and the evaluation will recommence at the point where it had previously ceased. Evaluation will continue as before until a Select List of six applicants willing to tender is achieved.
8. The Chairperson must also ensure that all unsuccessful applicants are advised of the outcome of their respective applications.

APPENDIX 3

Random Selection Process Form A			
Project Name:			
Unique ID Nr	Applicant's Name		
1			
2			
3			
4			
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Estates Department Declaration	
I confirm that the above list contains the names of all the applicants who have expressed an interest by the closing date with a Unique ID Nr being allocated to each applicant. I confirm that this list will remain in my possession and will not be made available to the members of the Random Selection Panel. I confirm that I do not have an interest in any of the applicants listed.	
Signed:	Date:

APPENDIX 4

Random Selection Process Form B			
Project Name:			
Unique ID Nr		Random Selection Number	
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
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Random Selection Panel Declaration	
We confirm that the random selection has been carried out in accordance with the Random Selection Process and we have no knowledge of the list of applicants.	
Signed (Chairperson):	Date:
Signed (Number Selector):	Date:
Signed (Recorder):	Date:

APPENDIX 5

Random Selection Process Form C				
Project Name:				
Unique ID Nr	Applicants Name	Random Selection Number	Select List (Yes/No)	Not Checked (X)
1				
2				
3				
4				
5				
6				
7				
8				
9				
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11				
12				
13				
14				
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Evaluation Panel Declaration	
We confirm that the evaluation has been carried out in accordance with the Random Selection Process. We confirm that do not have an interest in any of the applicants listed.	
Signed (Chairperson):	Date:
Signed (Panel Member 1):	Date:
Signed (Panel Member 2):	Date:

APPENDIX 6

1	2	3	4	5
6	7	8	9	10
11	12	13	14	15
16	17	18	19	20
21	22	23	24	25
26	27	28	29	30
31	32	33	34	35
36	37	38	39	40
41	42	43	44	45
46	47	48	49	50
51	52	53	54	55
56	57	58	59	60