

INTEGRATED MANAGEMENT SYSTEM

CONTRACTOR MANAGEMENT PROCEDURE

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SUMMARY VERSION CONTROL

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
1.0	New Document	All	01/12/2017
2.0	Version number of document changed	All	01/07/2019
2.0	Effective and Review date amended	All	01/07/2019
2.0	Added "All" on applicable section for TIMS referenced procedures, PSP & PPM	09	01/07/2019
72.0	Updated referenced standard Asset Management System ISO 55001: 2014 to 2015	All	01/07/2019
2.0	Added Note: This procedure should be read in conjunction with Transnet PPM and Contract Management Policy.	09	01/07/2019
2.0	Added Business Continuity Management Systems ISO 22301:2012 with applicable clauses	09	01/07/2019
2.0	Added document number TG/GFIN 5/1/2P and "All" for Contract Management Policy	09	01/07/2019
2.0	Updated Reference General Requirements for the Competence of Testing and Calibration Laboratories ISO 17025:2005 to ISO 17025:2018 as well as applicable clause	10	01/07/2019
2.0	Updated Occupational Health and Safety Management OHSAS 18001 : 2011 to ISO 45001 :2018 as well as applicable clauses	10	01/07/2019
2.0	Updated Reference standard Risk Management SANS 31000:2009 to ISO 31000:2018 Risk Management Guidelines as well as applicable causes	10	01/07/2019
2.0	Added Specification for Security Management Systems for the supply chain SANS 28000:2010 Clause 4.5.1,4.5.2&4.5.4	10	01/07/2019
2.0	Replace "Project" to "Contract"	all	01/07/2019
2.0	Amended Contract Execution Plan definition to read: As site, activity or contract specific documented plan in accordance with the client`s contract specification and requirements. A plan is submitted by the contractor to the Contract Manager for approval prior to mobilization on site.	11	01/07/2019
2.0	Addition on Contractor Management Team definition i.e. health and safety, security, quality, risk etc.	12	01/07/2019
2.0	Removed the definition of the Project	14	01/07/2019
2.0	Amended Contract Initiator definition to read as: A person or stakeholder that begins the contract. He/she is responsible for choosing a Contract Manager and authorizing that person. He/she is the person (outside the Contractor Management Team) who provides the funds for the contract.	11	01/07/2019
2.0	Amended Specification definition to read as: A detailed prescription of the contract requirements including IMS, to which equipment, construction,	13	01/07/2019

	product or service has to comply with. This includes various models, drawings and documents. It should be noted that the specification may even comprise of a multitude of different elements.		
2.0	Added Abbreviation: PCI – Principal Controlled Insurance	14	01/07/2019
2.0	Updated Contractor Management Process Flow. 6.1 as follows: Moved “Identify and appoint contractor management team” from Planning Phase to Pre-contracting Phase Added “Pre-qualification and” to evaluation criteria Replaced “incident” to occurrence.	15	01/07/2019
2.0	For construction related contracts, the CM must appoint a Client’s Health and Safety Agent where applicable.	17	01/07/2019
2.0	Sub-phases numbering amended	All	01/07/2019
2.0	Annexures numbering amended	All	01/07/2019
2.0	Amended the sentence to read as: The Contract Initiator must identify which discipline has a majority interest in the contract and appoint a Contract Manager (CM) from that discipline as per Annexure 8.1, TRN-IMS-GRP-TMP 014.1 – Contract Manager Appointment Letter.	16	01/07/2019
2.0	Amended sentence under Contract classification to read as: The CM must determine the Contract Classification Category of the contract based on the risk assessment conducted and contract classification methodology as per Annexure 8.2, Contract Classification Methodology-TRN-IMS-GRP-GDL-014.1.	16	01/07/2019
2.0	Amended Annexure 8.2 Contractor Specification Guidelines to: Annexure 8.3, Contractor Health and Safety Specification Guideline -TRN-IMS-GRP-GDL-014.3; Annexure 8.4, Contractor Environmental and Sustainability Specification Guideline – TRN-IMS-GRP-GDL-014.4; Annexure 8.5, Contractor Security Specification Guideline – TRN-IMS-GRP-GDL-014.5; Annexure 8.6, Contractor Quality Specification Guideline – TRN-IMS-GRP-GDL-014.6	17	01/07/2019
2.0	Amended sentence under Specification to read: The CM must develop a suitable, sufficiently documented and coherent contract specific specification for the intended work, based on the scope of work, contract classification and risk assessment.	17	01/07/2019
2.0	Removed all stakeholders and replaced with the Contractor Management Team.	17	01/07/2019
2.0	Contractor Specification Guidelines added the following:contract specification.	17	01/07/2019
2.0	Amended sentence to read as: Shortlisted bidders who submitted bids for high and medium risk profile contracts (i.e. contracts which have impact on railway safety) must be subjected to a pre-award assessment (Due diligence assessment) where deemed necessary, prior to the award of a contract	17	01/07/2019
2.0	Rephrase sentence under Pricing Schedule to read: The CM must ensure that pricing schedule requirements are included on the tender document	18	01/07/2019

	and completed by the contractor as per Annexure 8.4, Pricing Schedule requirements - TRN-IMS-GRP-GDL 014.4.		
2.0	Added "and other relevant legislation are" in a sentence under 6.3.1 mandatory Agreement.	18	01/07/2019
2.0	Replace IMS with Contract Specific, Added training and replace induction with IMS to a sentence under Contract Induction and Training.	19	01/07/2019
2.0	Rephrase sentence under Contractor Induction and Training to read: The CM must request the Employee Profile Dossiers from the contractor before induction training and approves it. The Employee Profile Dossiers must include medicals, certified copies	19	01/07/2019
2.0	Added prior to work commencement on a sentence under Legal Permits and Authorisations	20	01/07/2019
2.0	Rephrase sentence under Progress meeting to read as: The CM must ensure that performance review meetings are convened. The contract less than a month do not need to have monthly meeting, but contract performance and handover deliverance	21	01/07/2019
2.0	Amend sentence to read: The CM must ensure that minutes of the meetings are communicated and kept and communicated to the contract management team and contractor	21	01/07/2019
2.0	Replace "Incident" to "Occurrence"	22	01/07/2019
2.0	Amended records as follows: Pre-qualification and Evaluation Records Contractor Compliance File	25	01/07/2019
2.0	Added document numbers with Annexures names	25-26	01/07/2019

Note: Only the latest amendments and/or additions are reflected in italics in the body of the document.

DOCUMENTATION SIGN-OFF SHEET

I, the undersigned hereby approve this procedure.

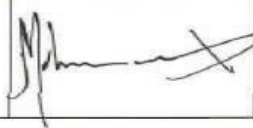
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1. PURPOSE

The purpose of this core procedure is to provide guidance in the manner how Transnet SOC Ltd (hereafter referred to as "Transnet") must manage its contractors in accordance with applicable regulatory, national and international standards requirements and the contractual obligations, using practices that are fair, equitable, transparent, cost effective, safe and competitive. The procedure is outlined in the following phases:

Note: *This procedure should be read in conjunction with Transnet PPM and Contract Management Policy.*

2. APPLICABILITY

This procedure is applicable to Transnet.

3. REFERENCE DOCUMENTS

NAME	REFERENCE NUMBER	APPLICABLE SECTION
Asset Management System	ISO 55001: 2015	Clause 8.3
Business Continuity Management Procedure	TRN-IMS-GRP-PROC-016	All
Business Continuity Management Systems	ISO 22301: 2012	Clause 5.5, 6.6.4, 7.3, 7.2, 7.8.2, 8.5.8 & 8.7.3.
Competency, Awareness and Training Procedure	TRN-IMS-GRP-PROC-008	All
Compliance Obligations Procedure	TRN-IMS-GRP-005	All
Conformity Assessment	ISO 17020: 2012	Clause 6.1.2; 6.1.12; 6.1.13; 6.2.11; 6.3.1; 6.3.2; 6.3.3; 6.3.4; 7.1.6; 7.4.4
Continual Improvement Procedure	TRN-IMS-GRP-PROC-018	All
Contract Management Policy	TG/GFIN5/1/2P	All
Document, Data and Record Management Procedure	TRN-IMS-GRP-PROC-010	All
Energy Management System	ISO 50001: 2011	Clause 4.5.2; 4.5.7.
Environmental Management System	ISO 14001: 2015	Clause 7.2; 7.3; 7.4.2; 8.1; 8.2.
Food Safety Management System	SANS 10049: 2012	Clause 6.2.3; 7.4.8.3; 7.4.8.7; 7.5.5.1; 7.5.5.2; 8.3.1; 8.3.2; 8.3.3; 8.3.4; 8.3.5; 8.3.6; 8.3.7
General Requirements for the Competence of Testing and Calibration Laboratories	ISO 17025:2017	Clause 4.2.4, 6.6.2, 6.6.3, 7.1 & 7.8.2.1
Information Technology – Service Management System	ISO 20000-1:2011	Clause 4.2; 4.5.2; 5.2; 5.3; 6.6.1; 7.2.
Integrated Supply Chain Management (ISCM) documents		All

NAME	REFERENCE NUMBER	APPLICABLE SECTION
Integrated Assurance Procedure	TRN-IMS-GRP-015	All
Occupational Health and Safety Management Systems	ISO 45001:2018	Clause 5.4, 6.1.2.1, 7.4.1, 8.1.4.2, 8.1.4.3 & 8.2
Occurrence and Non-Conformance Management Procedure	TRN-IMS-GRP-013	All
Operational Risk Management Procedure	TRN-IMS-GRP-004	All
Private Sector Participation (PSP) Management Practice Notices.		All
Quality Management Systems	ISO 9001:2015	Clause 7.1.1, 7.2, 7.3, 8.3.2, 8.4.1, 8.4.2, 8.4.3, 8.5.3, 9.1.3, 9.3.2
Risk Management Guideline	ISO 31000: 2018	Clause 5.4.1 & 6.5.2
Railway Safety Management	SANS 3000-1: 2016	Clause 4.2.4.4; 4.2.6.3; 4.4.1.5; 4.5.3.1; 4.5.4; 4.5.5; 4.9.1.1; 5.6.1; 5.6.4
Railway Safety Regulator Determination of Safety Management System and Safety Management Report		Clause 10.2.1
Specification for Security Management Systems for the supply chain	SANS 28000:2010	Clause 4.5.1, 4.5.2 & 4.5.4
Transnet Procurement Procedure Manual (PPM).		All
Transnet Regulatory Universe		All

4. DEFINITIONS AND ABBREVIATIONS

4.1 Definitions

Client

Transnet SOC Ltd in this context.

Commissioning

The process of assuring that all systems and components of a building or industrial plant or product are designed, installed, tested, operated, and maintained according to the operational requirements of the owner or final client.

Contract

An agreement with specific terms between two or more parties or entities based on mutual consent which has legal effects and involves transfer of consideration – usually financial or some other type of benefit.

Contract Initiator

A person or stakeholder that begins the *contract*. He/she is responsible for choosing a *Contract Manager* and authorizing that person. He/she is the person (outside the *Contractor Management Team*) who provides the funds for the *contract*.

Contract Manager

Transnet employee who is authorised to represent Transnet in terms of the contract and appointed to supervise and/or liaise with the contractor to ensure that the specifications of the contract are met (with special emphasis on technical specifications, inspection of quality, on health and safety, environment and quantity of work). A contract manager has the role of executing the plan to achieve the deliverables. This person receives all his authorisations from the *contract* initiator and the stakeholders.

Contract Owner

The person who requires a specific product, goods or services and who is responsible to provide the budget and approval.

Contractor

An employer (organisation) or a person who performs **ANY** work and has entered into a legal binding business agreement contract to supply a product or provide services to Transnet. This applies to the Suppliers, Vendors, and Consultants, Service providers or Contractors.

NB: A Contractor is an employer in his/her own right.

Contractor Execution Plan

A site, activity or *contract* specific documented plan in accordance with the client's *contract specification and* requirements. A plan is submitted by the *Contractor to Contract Manager* for approval prior to mobilization on site. The Contractor Execution Plan includes, inter alia: Health and Safety, Environmental, Energy, Quality, Delivery plans etc.

Contractor Compliance File

A file, or other record containing the information in writing required by Transnet.

NB: A file must be submitted for each discipline where applicable e.g. health and safety, environment file etc.

Contractor Management team

A team comprising all the role players who can add value to a particular contract. The

individuals responsible for the specific *contract* delivery *i.e. health and safety, security, quality, risk etc.*

Defect list

A document prepared listing work not conforming to contract specifications that the contractor must complete prior to final payment. The work may include incomplete or incorrect installations or incidental damage to existing finishes, material, and structures.

Employee Personal Profile Dossier

An individual employee file that has where applicable, medicals and certified copies (not older than three (3) months) of identity documents, competencies, qualifications and any other required information at the stage of contracting.

End-User

Person or organisation that actually uses a product, service or good, as opposed to the person or organisation that authorises, orders, procures, or pays for it.

Handover

Transfer of any deliverable to responsible stakeholder.

Induction

The action or process of inducting someone to a post, organisation or task.

Mandatory Agreement

An agreement between the client and the contractor or the principal contractor and its sub-contractors for work to be performed and the contractor without derogating from his/her status in his/her own right as an employer or user.

Non-Conformance

Deviation from specifications, relevant work standards, practices, procedures, legal requirements or a failure a requirement. Non-compliance only relates to non-conformance to legal requirements.

Pricing schedule

A detailed list of requirements, items, materials, chargeable rates or the like. An activity schedule may also be utilised for contracts with a low classification.

Procurement event

Means the advertisement of a request for quotation, information or a request to the open

market for the submission of bids.

Risk assessment

A risk assessment in this procedure means the process where all risks associated with the contract and its execution are identified, mitigated and managed.

Specification

A detailed prescription of the *contract* requirements *including IMS*, to which equipment, construction, product or service has to comply with. This includes various models, drawings and documents. It should be noted that the specification may even comprise of a multitude of different elements.

4.2 Abbreviations

CCRO	Chief Corporate Regulatory Officer
CEP	<i>Contractor Execution Plan</i>
CLM	<i>Contract Lifecycle Management</i>
CM	Contract Manager
DOA	<i>Delegation of Authority</i>
PCI	<i>Principal Controlled Insurance</i>
PPM	Procurement Procedure Manual
SCMS	Supply Chain Management Services
TIMS	<i>Transnet Integrated Management System</i>

5. ACCOUNTABILITY, RESPONSIBILITY AND AUTHORITY

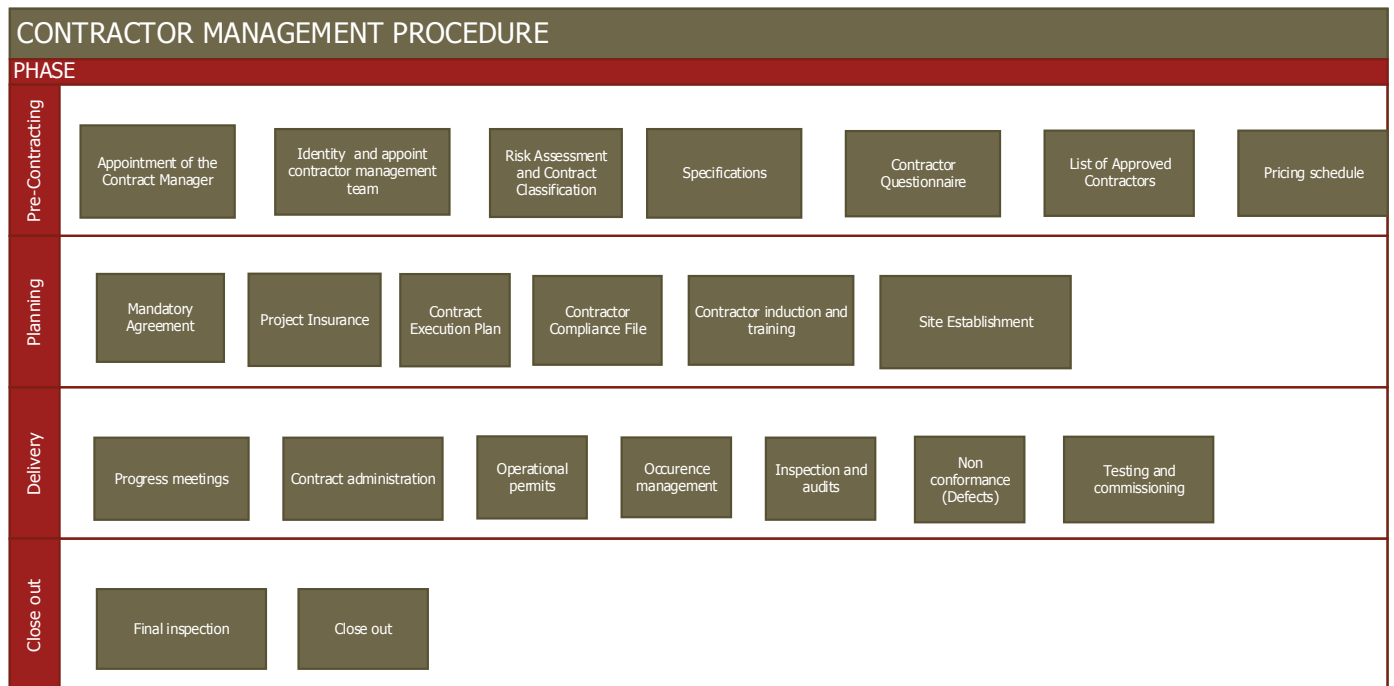
Top Management	- Drive IMS strategy within operating divisions as determined by the IMS Contractor Management procedure ; and <i>Ensures provision of adequate resources for compliance of Contractor Management procedure.</i>
Chief Corporate and Regulatory Officer	Ensures Development, Implementation and Maintenance of the Contractor Management procedure and processes.
Group Chief Supply Chain Officer	Ensure alignment with Transnet Procurement, Contracts and Contractor Management processes.

Senior Management	• Drive implementation of Contractor Management procedure; • Ensure availability of resources; • Ensure communication of Contractor Management directives to teams; • Communicate IMS performance on Contractor Management to the respective members of the Top Management Team; and • Ensure resolution on issues identified through the IMS contractor management process.
Line Management	• <i>Effective Implementation of the Contractor Management procedure.</i>
Employees	• Adhere to Contractor Management processes and procedures; • Take accountability for assigned activities; and • Report any deviations.



6. PROCEDURE

6.1 Contractor Management Process Flow



6.2 Pre-Contracting Phase

6.2.1 Appointment of the Contract Manager

The *Contract* Initiator must identify the business needs and take into consideration the Integrated Management System (IMS) requirements.

The *Contract* Initiator must identify which discipline has a majority interest in the contract and *appoint* a Contract Manager (CM) from that discipline as per ***Annexure 8.1, TRN-IMS-GRP-TMP 014.1 – Contract Manager Appointment Letter***. In some cases, the *Contract* Initiator and Contract Manager may be the same person.

6.2.2 Identify and *Select* Contractor Management Team

The CM must identify and select the Contractor Management Team, comprising of various functions or disciplines.

The CM must convene a kick off meeting with the selected team to ensure that all parties are aware of their roles and responsibilities in the *planning*, implementation, execution, monitoring and finalisation of the contract.

The CM must ensure that the roles and responsibilities are clearly defined, understood and assigned correctly to the responsible person.

Note: For construction related Contracts contract, the CM must appoint a *Client's* Health and Safety Agent where applicable.

6.2.3 Risk Assessment and Contract Classification

Risk assessment

The CM must ensure that a *baseline* risk assessment process commences and is performed at Pre-Contracting Phase. The risk assessment procedure details the steps that must be taken to ensure that the risk assessment is performed according to the **Operational Risk Assessment Procedure-TRN-IMS-GRP-PROC-004**.

Contract Classification

The CM must determine the Contract Classification Category of the *Contract* based on the risk assessment conducted and contract classification methodology as per ***Annexure 8.2, Contract Classification Methodology-TRN-IMS-GRP-GDL-014.2***.

The contract classification will inform the steps that must be undertaken in compiling the

specifications, contract and execution thereof.

6.2.4 Specifications

The CM must develop a suitable, sufficiently documented and coherent contract specific specification for the intended work, based on the *scope of work*, contract classification and risk assessment.

The appointed CM must be conversant with IMS requirements.

The CM must ensure that the *Contractor Management Team* are involved in the development of the specifications.

The CM must ensure that the *following but not limited to* Contractor Specification Guidelines are taken into consideration when compiling the specifications:-

- ***Annexure 8.3, Contractor Health and Safety Specification Guideline -TRN-IMS-GRP-GDL-014.3;***
- ***Annexure 8.4, Contractor Environmental and Sustainability Specification Guideline – TRN-IMS-GRP-GDL-014.4;***
- ***Annexure 8.5, Contractor Security Specification Guideline – TRN-IMS-GRP-GDL-014.5; and***
- ***Annexure 8.6, Contractor Quality Specification Guideline – TRN-IMS-GRP-GDL-014.6.***

The specification must be precisely determined and linked to the approved budget.

Once the technical specification/scope of work has been finalised, the end user department must sign off, specifically confirming that the Contractor Specification Guidelines have been integrated.

6.2.5 Contractor Questionnaire

The CM must ensure that the *Contractor Questionnaire* includes IMS requirements which must be included in the tender documents.

The *Contractor Questionnaire* must be included as a returnable document in the tender document as per ***Annexure 8.7, Contractor Questionnaire -TRN-IMS-GRP- TMP 014.7***

Shortlisted bidders who submitted bids for high and medium risk profile contracts (i.e. contracts which have impact on railway safety) must be subjected to a pre-award assessment (Due

diligence assessment) where deemed necessary, prior to the award of a contract.

6.2.6 List of Approved Contractors

Transnet utilises contractors registered with National Treasury.

Transnet also has an approved list of contractors/suppliers *where applicable*. Specific components and services are required by Transnet from time to time and therefore it may be applicable to source an approved list for certain commodities.

The Procurement Procedure for the approved list is detailed in the Procurement Procedure Manual ("PPM").

6.2.7 Pricing Schedule

*The CM must ensure that pricing schedule requirements are included on the tender document and completed by the contractor as per **Annexure 8.8, Pricing Schedule Requirements - TRN-IMS-GRP-TMP 014.8.***

6.3 Planning Phase

6.3.1. Mandatory Agreement

The CM must ensure that the Mandatory Agreement in terms of section 37(2) of the Occupational Health and Safety Act (OHS Act) *and other relevant legislations* are included as part of the contract as detailed on **Annexure 8.9, Section 37(2) Mandatory Agreement-TRN-IMS-GRP-AGR 014.9.**

The Agreement must be completed and signed by the CM and the Contractor.

The Contractor must submit a written request to the CM for permission to sub-contract any work or services.

The CM must approve or decline a request by the contractor to sub-contract any work after reviewing the capabilities of the sub-contractor to comply with the IMS requirement.

The Contractor must enter into a Section 37(2) Agreement with their respective sub-contractors. The signed copy of the agreement must be kept on the Contractors Compliance File.

6.3.2 Contract Insurance

The CM must ensure that the Contract is insured where applicable i.e. PCI insurance, letter of

good standing etc.

6.3.3 Contractor Execution Plan

The Contractor must submit a detailed Contractor Execution Plan (CEP) to the CM for approval as per ***Annexure 8.10, Contractor Execution Plan Guideline - TRN-IMS-GRP-GDL 014.10.***

The CM must approve the CEP, after ensuring that the contractor has all the necessary resources to do the work safely, and the contractor has illustrated its understanding of the scope of work, including the IMS requirements.

6.3.4 Contractor Compliance File

The CM must ensure the Contractor Compliance File is reviewed and approved as per the ***Annexure 8.11, Contractor Compliance File Assessment Checklist - TRN-IMS-GRP-TMP 014.11.***

The CM *should preferably* inform the contractor within five (5) working days after the submission of the file whether or not the Contractor Compliance File meets the requirements.

The Contractor must re-submit the Contractor Compliance File required changes to the CM for acceptance *within the agreed timelines.*

6.3.5 Contractor Induction and Training

The CM must ensure that the Contractor undergoes *induction* prior to handing over the site to the Contractor as per ***Annexure 8.12, Contractor Induction Requirements Guideline - TRN-IMS-GRP-GDL 014.12.***

The CM must arrange and coordinate *contract specific induction, awareness and training*, and communicate the date, time and venue to the contractor.

The CM must request the Employee *Personal*/Profile Dossiers from the contractor before induction *and approves it*. The Employee *Personal* Profile Dossiers must include, *where applicable, medicals* and certified copies (not older than three (3) months) of identity documents, competencies and qualifications etc. as per ***Annexure 8.13, Employee Personal Profile Dossier-TRN-IMS-GRP-TMP 014.13.***

The Contractor *employee(s)* must sign the induction attendance register on site as per ***Annexure***

8.14, Induction Attendance Register-TRN-IMS-GRP-TMP 014.14. A copy of the attendance register must be stored in the Contractor Compliance File.

The Contractor must complete and sign all the required indemnities whereby Transnet is indemnified from any claims and /or losses as per **Annexure 8. 15, Induction Indemnity Form-TRN-IMS-GRP-TMP 014.15.**

The CM must issue a certificate to the contractor after successful completion of the induction. The certificate must be signed by the CM on the date of completion and the certificate will remain valid for the site and duration of the *contract* and has to be renewed on an annual basis as per **Annexure 8.16, Induction Certificate-TRN-IMS-GRP-TMP 014.16.**

The CM and the Contractor must identify the contractor personnel who need additional training, based on the scope of work and the IMS requirements.

The Contractor must ensure that valid records of relevant training (copies of certificates) are kept in the Contractor Compliance File.

6.3.6 Site Establishment

6.3.6.1 Site Readiness

The CM must ensure that the site is ready to be handed over to the contractor prior to commencement of work

The CM must provide access to site and all other site requirements as per contract, e.g. drawings of the location of underground service lines and services such as electricity, water, sewage, compressed air etc., where applicable.

6.3.6.2 Legal Permits and Authorisations

The CM must ensure relevant permits and authorisations are obtained from issuing authorities *prior to work commencement* as per **Annexure 8.17, List of Legal Permits and Authorisations-TRN-IMS-GRP-TMP 014.17.**

The CM must provide the appointed contractor with the applicable permits and authorisations prior to site access.

6.3.6.3 Pre-site handover inspection

*The CM must ensure that a pre-site handover inspection is conducted as per **Annexure 8.18,***

Pre-Site Handover Inspection Checklist-TRN-IMS-GRP-TMP 014.18.

The pre-site handover inspection must be conducted to check the condition of the site when it is handed over to the contractor.

The CM and contractor must co-sign the pre-site inspection handover checklist.

6.3.6.4 Site Access Certificate

The CM must issue the Site Access Certificate to the contractor, following the pre-site handover inspection as per ***Annexure 8.19, Site Access Certificate-TRN-IMS-GRP-TMP 014.19.***

The CM must ensure that the contractor establishes the site after obtaining the site access certificate.

6.4 Delivery Phase

6.4.1 Progress meetings

The CM and the Contractor Management Team, in consultation with the contractor, must hold regular performance review or progress meetings.

*The CM must ensure that the progress meeting agenda includes IMS requirements such as health and safety, quality, energy, environment, security, sustainability etc. where applicable as per ***Annexure 8.20, Progress Meeting Agenda Requirements -TRN-IMS-GRP-GDL 014.20.****

The CM must ensure performance review meetings are convened as per the schedule.

The CM and the Contractor Management Team, together with the contractor, must be present and/or represented at the meeting.

The CM must ensure that minutes of the meetings are kept and communicated to the contract management team and contractor.

6.4.2 Contract Administration

The CM must ensure that the contract variations and amendments are approved by delegated person in line with the Delegation of Authority (DOA) and PPM.

The CM must ensure that all contractual amendments are securely filed.

6.4.3 Operational Permits

The CM must ensure that the operational permits are issued to the contractor before any operational work requiring permits is performed as per ***Annexure 8.21, Operational Safe Work Permit Application Form- TRN-IMS-GRP-TMP 014.21.***

6.4.4 Occurrence Management

The CM must ensure that *occurrences* are reported immediately by the Contractor.

The CM must activate the *occurrence* response team for any *occurrence* on the contract as detailed on **Occurrence and Nonconformance Management Procedure, TRN-IMS-GRP-PROC-013.**

The CM must *ensure, where applicable, that* monthly *occurrence* statistics and/or reports *are compiled and submitted monthly to the contract initiator,* and relevant internal departments and authorities.

6.4.5 Inspections and Audits

The CM must ensure that the contractor's performance is measured and monitored in terms of the contract. It is important that the performance measures selected provide clear evidence of the required contractual deliverables.

The quality assurance audit, *where applicable,* must be conducted to ensure that the work is performed in line with the applicable standards *and specifications.*

The CM must ensure that regular inspections are conducted to monitor the required quality and quantity as per the specifications.

The CM, in consultation with the contractor, must develop an audit schedule for the contractor.

The CM must ensure that periodical audits are conducted at specified intervals, including audits at the contractor's premises as detailed on **Integrated Assurance Procedure, TRN-IMS-GRP-PROC-015.**

The *assurance* audits must be conducted as prescribed by the agreed audit protocol as per ***Annexure 8.22, Contractor Assurance Protocol Requirements-TRN-IMS-GRP-TMP 014.22.***

The CM must ensure that the inspection and audit reports with associated non-conformances are

issued to the contractor for purpose of effectively implementing the corrective and preventative measures timeously, until the contract is completed.

The CM and the contractor must provide final sign off, which proves that the audit findings have been closed off.

6.4.6 Management of Non-Conformances for Work Completed

When the contractor advises that work has been completed the CM must carry out inspections for all product, equipment and facilities to ensure that the contractor's work has been completed in accordance with the contractual specifications and standards.

The CM must invite and ensure that the end-user participates in identifying the defects.

The CM must ensure that the master defects list is compiled and maintained.

The contractor management team responsible for non-conformances and defects, along with the contractor's team, must verify and sign off the corrected defects list before commissioning.

The CM must ensure that the contractor is issued with a breach notification for none or poor or defective delivery.

The CM must ensure that the breach by the contractor has been rectified. If the breach was not rectified, the CM must issue the contractor with a non-performance penalty.

The CM must ensure that a Non-Conformance Report (NCR) is completed for all deviations against the contract as detailed on **Occurrence and Nonconformance Management Procedure, TRN-IMS-GRP-PROC-013**.

The CM must review the contractor remedial actions in respect of the NCRs until these have been resolved.

6.4.7 Testing and Commissioning

The CM, *where applicable*, must establish a testing and commissioning team that consists of at least the contract management team members, end-user and contractor's representatives.

The CM, *where applicable*, must develop a test and commissioning plan of the *contract* and communicate it to the contractor.

The testing and commissioning plan must include the schedule, with key milestones and activities

for the overall *contract* execution. These activities must be planned, scheduled and executed with a Safety Mindset and as addressed on the Contractor Execution Management Plan.

The testing and commissioning team must verify that non-conformances or deficiencies or defects or errors have been corrected.

The CM must ensure that commissioning or energization notices are communicated to all relevant parties and applicable procedures are adhered to.

6.5 Close Out Phase

6.5.1 Final inspection

The CM must, at the end of the contract, conduct thorough inspections of the site with the contractor to ensure that the site is left in a clean, safe and environmentally acceptable condition for normal operations, prior to the contractor leaving the site.

The CM must ensure that the contractor has complied with all closeout requirements and deviations have been corrected and closed out;

The CM and the contractor must co-sign the Final Handover and Close-out Inspection Checklist as per **Annexure 8.23, Final Handover and Close-Out Inspection Checklist- *TRN-IMS-GRP-TMP 014.23***.

The CM must ensure that the contractor hands over the complete Contractor Compliance File at the completion of the *contract* with all relevant documentation.

6.5.2 Close Out

The CM must arrange for the issue of the completion certificate to the contractor, confirming the *contract and* closeout requirements have been met.

The CM must establish a post-contract evaluation committee to review the contractor's performance statistics, based on occurrences, audit findings, corrective actions, etc.

The CM must ensure that performance statistics are analysed to determine trends, lessons learnt and prepare for the post-contract evaluation meeting.

The CM must hold a post-contract evaluation meeting and summarise the findings in a report and document *lessons learned which can be used for future contracts*.

The CM must communicate the findings and lessons learned to the *contract* initiator.

The CM must ensure that the contract register is updated to reflect the closing of the *contract*.

7. RECORDS

Records are kept for a period of at least three (3) years or as required by statutory and regulatory requirements.

- 7.1 Appointment Letter
- 7.2 Risk Assessment Register
- 7.3 Specification(s)
- 7.4 Pre-qualification and Evaluation Records
- 7.5 Audits and Inspections
- 7.6 Occurrence and Non-Conformances Reports
- 7.7 Induction and Training Records
- 7.8 Attendance Registers
- 7.9 Minutes of Meetings
- 7.9 Contractor Compliance File
- 7.10 Agreements
- 7.11 Permits and Licenses
- 7.12 Medical Records
- 7.13 Certified Identity Documents
- 7.14 Qualifications
- 7.15 Associated Management Plans
- 7.16 Master Defect List
- 7.17 Final Handover and Closeout Inspection Report
- 7.18 Completion Certificate
- 7.19 Lessons Learned Register

8. ANNEXURES

- 8.1 TRN-IMS-GRP-TMP 014.1 Contract Manager Appointment Letter
- 8.2 TRN-IMS-GRP-GDL 014.2 Contract Classification Methodology

- 8.3 TRN-IMS-GRP-GDL 014.3 Contractor Health and Safety Specification Guideline
- 8.4 TRN-IMS-GRP-GDL 014.4 Contractor Environmental and Sustainability Specification Guideline
- 8.5 TRN-IMS-GRP-GDL 014.5 Contractor Security Specification Guideline
- 8.6 TRN-IMS-GRP-GDL 014.6 *Contractor Quality Specification Guideline*
- 8.7 TRN-IMS-GRP-TMP 014.7 *Contractor Questionnaire*
- 8.8 TRN-IMS-GRP-TMP 014.8 Pricing Schedule Requirements
- 8.9 TRN-IMS-GRP- AGR 014.9 Section 37 Mandatory Agreement
- 8.10 TRN-IMS-GRP-TMP 014.10 Contractor Execution Plan Guideline
- 8.11 TRN-IMS-GRP-TMP 014.11 Contractor Compliance File Assessment Checklist
- 8.12 TRN-IMS-GRP-GDL 014.12 Contractor Induction Requirements Guideline
- 8.13 TRN-IMS-GRP-TMP 014.13 Employee Personal Profile Dossier
- 8.14 TRN-IMS-GRP-TMP 014.14 Induction Attendance Register
- 8.15 TRN-IMS-GRP-TMP 014.15 Induction Indemnity Form
- 8.16 TRN-IMS-GRP-TMP 014.16 Induction Certificate
- 8.17 TRN-IMS-GRP-TMP 014.17 List of Legal Permits and Authorisations
- 8.18 TRN-IMS-GRP-TMP 014.18 Pre-site Handover Inspection Checklist
- 8.19 TRN-IMS-GRP-TMP 014.19 Site Access Certificate
- 8.20 TRN-IMS-GRP-AG 014.20 Progress Meeting Agenda Requirements
- 8.21 TRN-IMS-GRP-TMP 014.21 Operational Safe Work Permit Application Form
- 8.22 TRN-IMS-GRP-TMP 014.22 Contractor Assurance Protocol Requirements
- 8.23 TRN-IMS-GRP-TMP 014.23 Final Handover and Close-Out Inspection Checklist

Annexure 8.1
APPOINTMENT LETTER
TRN-IMS-GRP-TMP 014.1

To: _____ Designation: _____ SAP No.: _____	From: _____ Designation: _____ SAP No.: _____
Contract Manager	
<u>Period of appointment</u>	
From: _____ Business/Area of Responsibility _____	To: _____
_____ Contract Initiator Signature _____ Date DUTIES: (a) Ensure that necessary appointment are made for implementation and monitoring of the contract requirements. (b) Ensure appropriate record and document management. (c) Ensure adherence to Transnet, legal and regulatory requirements. (d) Ensure appropriate risk management and sound corporate governance. (e) Ensure progress meetings, risk reduction and other relevant meetings are held and minute of such meetings are kept safe for inspection purposes. (f) Ensure risk register and risk controls are reviewed as planned. (g) Ensure status of implementation of contract requirements is reported at agreed intervals to the contract initiator. (h) Ensure that the appointed contractor acknowledge receipt of contract and all necessary documents for execution of contract requirements. (i) Ensure that the appointed contractor avail relevant personnel for Transnet induction training. (j) Ensure that the appointed contractor make all necessary legal and regulatory appointments. (k) Adhere to DOA framework at all times. N.B. In delegating these duties I am in no way attempting to forsake my responsibilities and I acknowledge that the final responsibility lies with me. I, _____, hereby accept the above appointment as Contract Manager and the responsibility / accountability thereof as indicated above. _____ Contract Manager Signature _____ Date	

Annexure 8.7

CONTRACTOR QUESTIONNAIRE

(Only first page – Find full details on the template itself)

TRN-IMS-GRP-GDL 014.7

TENDER PRE-QUALIFICATION CRITERIA				
1.	POLICY, ORGANISATION AND MANAGEMENT INVOLVEMENT	YES	NO	N/A
1.1	Does your company have a SHEQ Policy?			
1.2	Has a copy signed by the Chief Executive Officer / Managing Director been supplied?			
	Provide company organogram.			
1.3	Company Certified? i.e. ISO 14001, ISO 9001, OHSAS 18001 etc.			
	If yes, provide proof of periodical work area inspections and Regular Health and Safety meetings with personnel			
1.4	Does the company have OHSAct 16.2 Appointee?			
1.5	Is your company registered with the Compensation Commissioner (COID Act) or licenses compensation insurer? If so, please provide registration number.			
1.6	Do you have a copy of good standing certificate, confirming that your registration is paid up? If so, please provide copy thereof			
1.7	Does the company comply with the relevant legal appointees for this project i.e. Representatives, Environmental Control Officer, First Aiders, Risk Assessors, etc.?			
2.	ACCREDITATION	YES	NO	
2.1	Does the company have the auditable Management Systems in place?			
	If so, please provide proof of certificate issued by a credible external Assurance Auditor.			
3.	TRAINING	YES	NO	
3.1	Has the training based on risks/hazards that has been identified been done?			
3.2	Is training provided to employees at the following stages?			
	▪ When joining the company			
	▪ When changing jobs within the company			
	▪ When new plant or equipment needs to be operated			
	▪ As a result of experience of and feedback from an accident/incident reports			
3.3	Provide proof of specialist training provided such as training analysis, Certificates, Job Specific Training or Induction Training program?			

Annexure 8.8
PRICING SCHEDULE REQUIREMENT
TRN-IMS-GRP-TMP 014.8

Tenderer (Company)	Responsible Person	Designation	Date
Project/Tender Title	Project/Tender No.	Project Location / Description	

The following is the minimum list of pricing items that must be submitted to the Contract Manager by the contractor for approval

#	Cost element	Unit Cost (R)	# of Units	Total Cost (R)
1.	Human Resources			
2.	Systems Documentation			
3.	Meetings & Administration			
4.	Training			
5.	PPE & Safety Equipment			
6.	Signage & Barricading			
7.	Workplace Facilities			
8.	Emergency & Rescue Measures			
9.	Hygiene Surveys & Monitoring			
10.	Medical Surveillance			
11.	Safe Transport of Workers			
12.	HAZMat Management (e.g. asbestos /silica)			
13.	Substance Abuse Testing			
14.	Rewards & Recognition			
15.	Other			
16.				

Total IMS Cost (R)	
Total Tender Value (R)	
IMS Cost as % of Tender value	%

Annexure 8.9

SECTION 37 MANDATORY AGREEMENT

(Only first page – Find full details on the template itself)

TRN-IMS-GRP-AGR 014.9

OCCUPATIONAL HEALTH AND SAFETY ACT 85 of 1993 (AS AMENDED)

AGREEMENT WITH MANDATORY
In terms of Section 37(1) & (2)

WRITTEN AGREEMENT ENTERED INTO AND BETWEEN

Transnet SOC Ltd
(Hereinafter referred to as the Employer)

AND

(Hereinafter referred to as Mandatory (Principal Contractor))

Compensation Fund Number :

Project Name :

Annexure 8.11

Contractor Compliance File Assessment Checklist

(Only first page – Find full details on the template itself)

TRN-IMS-GRP-TMP 014.11

CONTRACTOR	Complying	Not Complying (i.e. Comments)	Not Applicable
1. Site Specific Organogram of reporting structure. This document must provide all persons appointed in terms of OHS Act No. 85 of 1993 including contact details. (rev, date, approval)			
2. Contractor scope of work information (Company Profile)			
3. Notification of Construction Work to the Department of Labour: Document to display required information as per OHS Act No.85 of 1993 – Construction Regulations Annexure A, Must carry the stamp of acceptance from the Department of Labour <i>(if applicable)</i>			
4. Application for a permit to do construction work <i>(if applicable)</i>			
5. Valid Letter of Good Standing with FEM/WCA: And proof of relevant insurances to carry out work.			
MANAGEMENT PLANS			
6. Copy of reference documents: Health & Safety, Security, Quality, Environmental, and other applicable Specifications Including a signed register of communication to Managers, Supervisors & Safety Officers			
7. Approved Contractor Execution Plan correlating with Specification provided by Transnet (i.e. Approved health and safety plan, environmental plan, security plan etc.)			
8. Contractors Health and Safety Policy			
9. Site Specific Emergency Plan			
10. Contractors Traffic Management Plan (if applicable)			
11. Procedure for handling Hazardous Chemical Substance's and Applicable Safety Data Sheet <i>(if applicable)</i> .			
APPOINTMENTS			
12. Fully completed appointments of the following (depends on the scope of work) but not limited to:			
• Sec. 16(2) – Delegated Authority (Assistant to the CEO)			
• CR 8(1) – Construction Manager			
• CR 8(7) – Construction Supervisor			

Annexure 8.13
EMPLOYEE PERSONAL PROFILE DOSSIER
 (Only first page – Find full details on the template itself)
TRN-IMS-GRP-TMP 014.13

**Employee
Number:** _____

**PROJECT
TITLE:** _____

PROJECT NUMBER :

**SECTION 1
EMPLOYEE PERSONAL PROFILE**

Company Name	
Worker's Compensation Number	
Employee First Name/s	
Employee Last Name/s	
Employee ID/Work Permit Number	
Physical Address	
Postal Address	
Next of Kin	
Relation	
Next of kin contact details	

**SECTION 2
SCOPE**

Job Title	
Task Grade	
Date Of Company Engagement	
Months Of Services With Company	
Brief Description Of Duties Roles And Responsibilities:	



Annexure 8.14
INDUCTION ATTENDANCE REGISTER
TRN-IMS-GRP-TMP 014.14

NAME OF EVENT		ROOM		TIME	
DATE		VENUE			
Co-ORDINATOR		DEPARTMENT			

Attendees:

NO	FIRST NAME	SURNAME	EMAIL ADDRESS	POSITION	DEPOT / COMPANY	CONTACT NUMBER (CELL NUMBER PREFERRED)	SIGNATURE
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

Annexure 8.15
Induction Indemnity Form
TRN-IMS-GRP-TMP 014.15

I (Full names of the contractor employee) _____

ID No. _____ working for _____ (name
of the contractor) hereby acknowledge that I have being inducted on the
_____ (dd/mm/yy) at _____
_____(Region and Business Name).

I, the above accept that I enter at my own risk entirely, and Transnet _____ (OD
Name) shall not be liable for any loss or damage, howsoever occurring, to me or my property. I
hereby waive on my behalf and on behalf of my dependants and those whom I legally represent,
any claims which I or they may have arising out of injury, loss or damage occurring to myself or
my property while on the premises **(EXTERNAL CONTRACTORS ONLY)** .

I will abide by the Occupational Health and Safety act 85 of 1993 and any other procedures and
the instructions given by the site management including the following:

- I will come to work physically fit and alert as I understand the hazards associated with a person under the influence of alcohol or other drugs that numbs the sense and slows reaction time.
- I will use protective clothing and equipment prescribed for the activities that I perform, in a proper manner.
- I will follow the instructions given by the site Supervisor or inform him of the reasons if it is not possible to do so.
- Before attempting something new or different I will discuss it with the site Supervisor to avoid causing incidents.
- I will maintain the tools and equipment that I use in a safe condition and report defective tools to the site Supervisor.
- I will not attempt to operate any vehicles or other machinery that I have not being trained for or authorised to operate.
- I will report any unsafe acts and unsafe conditions to the site Supervisor for correction.
- I will report any injury or incident that occur while on site and before the end of the shift.
- I will not violate any prohibitions.
- I will not intentionally put the lives of others in danger.
- I will abide with all signage's posted on site.

Signature of the contractor employee _____ Date _____

Signature of the Instructor _____ Date _____

Annexure 8.16
INDUCTION CERTIFICATE
TRN-IMS-GRP-TMP 014.16

Name of Contractor:												
Identity Number:												
Has been Inducted by:												
Inductor's Contact Number:												
Induction Date:												
				D	D	M	M	Y	Y	Y	Y	
Induction Location:												
Certificate Expiry Date:												
				D	D	M	M	Y	Y	Y	Y	
Inductee Signature:												
Inductor Signature:												



Annexure 8.17
LIST OF LEGAL PERMITS AND AUTHORISATIONS

(Only first page – Find full details on the template itself)

TRN-IMS-GRP-TMP 014.17

The following is the list of legal authorisations and permits that should be obtained by the Contract Manager before the project is started, WHERE APPLICABLE.

Contract Manager:	
Project name:	
Client:	
Contractor:	

NB: It should be noted that the list is not exhaustive.

No. :	Type of Legal Authorisation/ Permit	Applicable Legislation	Issuing Authority	Applicable			Comments
				Yes	No	N/A	
1.	Authorisations and Permits required:						
1.1	Environmental Authorisations (EAs): - Basic Assessment & full EIA	Listed activities in terms of EIA listings NEMA , 107 of 1998 (GNR327 Listing Notices 1, 2 & 3)	Department of Environmental Affairs (DEA)				
1.2	Water Use Licences	NWA, 36 of 1988 Section 21	Department of Water and Sanitation (DWS)				
1.3	Waste Management Licence Handling and disposal licences	NEM: Waste Act, 59 of 2008	DEA- Directorate: Integrated Pollution Prevention and Waste Management				

Annexure 8.18
PRE-SITE HANDOVER CHECKLIST
TRN-IMS-GRP-TMP 014.18

Transnet Representative: _____ Date of Inspection: _____ Contractor's Name: _____ Area / Depot: _____ Contract Number: _____ Contract Description: _____				
			YES	NO
1.	Site conditions			
	- Details of site parameters (preferably must be fenced off by contractor if practicable) - Services available (water, sewer, electricity, gas, telephones etc) pointed out to contractor - Recording the condition of surrounding property (fences, manholes, road, pavement) - Recording of condition of Transnet equipment on site. - Record any Transnet equipment loaned or used by the contractor. - Is the site Clean? - Details of special site operating requirements or restrictions provided. - Details of any environmentally sensitive or protected habits or on abject site provided. - Details of hazardous conditions provided (height restrictions, overhead power lines etc). - Waste management requirements discussed. - Restricted hours, noise restrictions, local area contamination restrictions. - Security requirements discussed. - First Aid, fire equipment, emergency procedures available, communicated and understood. - All necessary work permits to ensure the safety of persons and equipment in place.			
2	Give contractor the "GO AHEAD"			
*	If the response to any of the above questions was negative, what actions were taken to rectify it? (NB Where possible take photographs of the condition of the site) _____ _____ _____			
	Name: _____ Name: _____ _____ Transnet Contract Representative Contractor Site Supervisor			

Annexure 8.19
SITE ACCESS CERTIFICATE
TRN-IMS-GRP-TMP 014.19

To the <i>Contractor</i>		Attention (Name)	
Address		Tel	
		Fax	
Date		E-mail	
Contract title / Contract Scope		Contract / Order No.	
Access to (Area) :			
Validity Period of Access	Start Date:		
	End Date		

Transnet SOC Ltd allows access to, and use of each part of the Site to the above mentioned *Contractor* which is necessary for the work included in this contract. Access and use is allowed on the date of access shown on the Accepted Programme / Contract Plan.

Note that the Contractor at all times is responsible for the control and safety of the site, and for persons under their control having access to the site. As from the date hereof you will be responsible for compliance with requirements of the Occupational Health and Safety Act, 1993 (Act 85 of 1993) as amended, Transnet Contractor Management Specification, Railway Safety Requirements, National Key Point Requirements where applicable and all conditions of the Contract pertaining to the site of the works as defined and demarcated in the contract documents including the plans of the site or work areas forming part thereof. This shall include compliance to the site access control procedures. For these reasons we prefer to record the dates when access was given, as shown in the table below.

The *starting date* (from Contract data) is _____

_____ Signature (for the Transnet Representative)	_____ Name	_____ Date
_____ Signature (for the Health & Safety Department)	_____ Name	_____ Date
_____ Signature (for the Contract Manager)	_____ Name	_____ Date

Please confirm your acceptance of this by signature of a Contractor's key person below.

I, _____ do hereby acknowledge and accept the duties and obligations in respect of the Safety of the site / area of Work in terms of the Occupational Health and Safety Act 85 of 1993 and or any other applicable legislation and regulations..

Name : _____ Designation : _____
Signature : _____ Date : _____

Annexure 8.20
PROGRESS MEETING AGENDA REQUIREMENTS
TRN-IMS-GRP-TMP 014.20

MEETING TYPE:		VENUE	
BUSINESS		MEETING DATE:	
START TIME:		END TIME:	
CHAIRPERSON:		SCRIBE:	
CATEGORY	(i.e. Safety, Security, Health, Environment, Risk, Quality and etc.).		

NO	ITEM	RESPONSIBLE PERSON
1	Opening & Welcome	
2	Safety Briefing and evacuation procedure	
3	Attendance & Apologies	
4	Confirmation of the previous minutes	
5	Meeting charter	
6	Matter arising from the previous minutes	
7	Integrated Management System 1. Incident Statistics 2. Risk Register 3. Non-conformance Reports (NCRs) 4. Toolbox Talks 5. Housekeeping 6. Audits 6.1. First Party Audits 6.2. Second Party Audits 7. Quality Report 8. Environmental issues 9. Industrial Relations General	

8	Programme and Progress - Actual Percentage Completed - Planned Percentage Completed - Variance Between Actual & Planned - Days Behind Based on Completion Date - Days Behind Revised Completion Date - Weather Condition Delays (Rain & Wind)	
9	Factors Affecting Progress	
10	Factors Affecting Critical Path	
11	Actions To Mitigate Delays	
12	Week Look-Ahead Schedule	
13	Factors Affecting Progress	
14	Lessons learnt	
15	Contract Data - Measurement and Payments - Projected Vs. Planned (Payments) - Compensation Events - Early Warnings - Performance Bond/ Retention Bond	
16	Technical Matters	
17	General	
18	Date of the Next Meeting	

Acceptance of minutes as correct by:

Contract Manager

Signature: _____

Date: _____

Contractor Representative

Signature: _____

Date: _____

Annexure 8.21

OPERATIONAL SAFE WORK PERMIT FORM

TRN-IMS-GRP-TMP 014.21

Work Permit Type ☐ Cold Work ☐ Hot Work ☐ Confined Space Entry ☐ Multiple Contractor Coordination
☐ Ground Disturbance ☐ Vehicle/Site Entry

DATE: Sour Operation: ☐ Yes ☐ No __%

Date: _____

LOCATION: _____

General Description of Work: _____

Contractor(s)/Employer(s): _____

No of Workers _____

REVIEW SAFE WORK PERMIT HAZARD CHECKLIST		
SEE NEXT PAGE for a list of general hazards you may wish to discuss as part of the work permit. Specify the job specific hazards below		
Risk	WORK PERMIT HAZARDS (Risk assess each hazard with the matrix)	RISK CONTROLS/SAFETY PRECAUTIONS/WORK PLANS TO DEAL WITH EACH HAZARD IDENTIFIED (Reference procedures & standards reviewed)

RISK ASSESSMENT MATRIX PROCESS (see <i>Company Name</i> Matrix Criteria for Descriptions)								
	LIKELIHOOD Increasing	6	III	II	I	I	I	I
		5	III	III	II	I	I	I
FOUR BASIC RISK QUESTIONS		4	IV	III	III	II	I	I
What can go wrong? Identify the Hazards.		3	IV	IV	III	III	II	I
How bad can it be? Impact /Consequence/Severity		2	IV	IV	IV	III	III	II
What is the Probability/Likelihood of it happening?		1	IV	IV	IV	IV	III	III
What can I/we do about it? Risk controls, Work Plan			1	2	3	4	5	6
			CONSEQUENCE Increasing					

Annexure 8.22
CONTRACTOR ASSURANCE PROTOCOL MINIMUM REQUIREMENT
TRN-IMS-GRP-TMP 014.22

(Only first page – Find full details on the template itself)

All elements are important and should be addressed if applicable to the Contractor. A contract manager signature on the checklist constitutes the acceptance thereof.
Yes = 1 No = 0

CRITICAL ASPECTS							
No	Element	Requirement	Y	N	N/A	Comments	Score
1	Contractor Execution Plan (CEP) approved by the Contract Manager and implemented by the Contractor	Contractor to provide a documented Contractor Execution Plan based on the Transnet's Contractor Specification					
		Approved with a signature of the Contract Manager?					
		Work carried out in terms of the Contractor Execution Plan including IMS requirements?					
2	Contractor Compliance File	Approved Contractor Compliance File as per the IMS requirements					
		Is the H&S file up to date?					
3	Method statement	Are the activities identified in the risk assessments being constructed according to the approved method statements?					
		Are the activities identified in the risk assessments being constructed by contractors according to the approved method statements?					
		Is there a record of approval by the Principal Contractor of the contractors' method statements?					
		Are method statements for the specified activities been complied with?					

FINAL HANDOVER AND CLOSE OUT INSPECTION CHECKLIST

FINAL HANDOVER AND CLOSE OUT INSPECTION CHECKLIST

FINAL HANDOVER AND CLOSE OUT INSPECTION CHECKLIST						
Contractor's Name:						
Date of Inspection:						
Contract Number:						
Contract Description:						
				YES	NO	N/A
1. Has the site been left in an acceptable condition?						
Housekeeping:						
- Is the site clean?(free of all waste)						
- Are all materials removed / stacked correctly?						
- Is there any environmental pollution? (e.g. soil, water)						
- Is there a need for Environment Specialist to sign off?						
- Are any repairs necessary (fences, equipment etc.)?						
- Are drainage / culverts / level crossings, etc. clear?						
- Any missing Transnet equipment?						
2. Is the asset safe for normal operations?						
- Was a quality assurance audit conducted?						
- Was any audit findings signed off?						
- Was a defect list completed?						
- Was the defect list signed off with all defects corrected?						
- Is all equipment/assets safe for operations?						
- Safe for public access, etc.?						
3. Are all relevant documents on the Contractor Compliance File?						
4. Hand over Contractor Compliance file for archiving with contract documents.						
5. aspects?						
- Was all Transnet machinery and equipment used by the contractor been returned in good condition?						
- Was the commissioning test completed successfully?						
6. Has the contractor completed the close out requirements?						
- Was a post contract evaluation meeting conducted?						
- Was the contract register updated?						
- Was the completion certificate issued?						
- Was all keys and access permits handed over?						
7. If the response to any of the above questions was negative, what actions were taken to rectify it?						
8. Can final payment and release of retention money be arranged?						
- If the above answer is positive, final payment can be arranged						
Name:_____		Name:_____				
Signature:_____		Signature:_____				
Date:_____		Date:_____				
Transnet Contract Representative		Contractor Site Representative				
_____		_____				
Contract Manager						