

**Transnet National Ports Authority**  
an Operating Division of **TRANSNET SOC LTD**  
[Registration Number 1990/000900/30]

**REQUEST FOR QUOTATION (RFQ):**

**FOR THE: PROVISION OF ENVIRONMENTAL CONSULTANCY (AMENDMENT PROCESS) FOR THE CONSTRUCTION OF THE MARINE INFRASTRUCTURE AT THE PORT OF NGQURA.**

<b>RFQ NUMBER</b>	<b>: TNPA/2023/11/0003/50556/RFQ</b>
<b>ISSUE DATE</b>	<b>: 24 NOVEMBER 2023</b>
<b>COMPULSORY BRIEFING</b>	<b>: 04 DECEMBER 2023</b>
<b>CLOSING DATE</b>	<b>: 28 DECEMBER 2023</b>
<b>CLOSING TIME</b>	<b>: 16H00</b>
<b>TENDER VALIDITY PERIOD</b>	<b>: 120 BUSINESS DAYS FROM CLOSING DATE</b>

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## T1.1 TENDER NOTICE AND INVITATION TO TENDER

### SECTION 1: NOTICE TO TENDERERS

#### 1. INVITATION TO TENDER

Responses to this Tender [hereinafter referred to as a **Tender**] are requested from persons, companies, close corporations or enterprises [hereinafter referred to as a **Tenderer**].

<b>DESCRIPTION</b>	<b>PROVISION OF ENVIRONMENTAL CONSULTANCY (AMENDMENT PROCESS) FOR THE CONSTRUCTION OF THE MARINE INFRASTRUCTURE AT THE PORT OF NGQURA.</b>
<b>TENDER DOWNLOADING</b>	<b>This Tender may be downloaded directly from the National Treasury eTender Publication Portal at <a href="http://www.etenders.gov.za">www.etenders.gov.za</a> and the Transnet website at <a href="https://transnetetenders.azurewebsites.net">https://transnetetenders.azurewebsites.net</a> (please use Google Chrome to access Transnet link) FREE OF CHARGE.</b>
<b>COMPULSORY TENDER CLARIFICATION MEETING</b>	A Compulsory Tender Clarification Meeting will be conducted on Microsoft teams: on <b>the 04/12/2023 at 10:00am</b> [10 O'clock] for a period of ± 2 (two) hours at: <a href="#">Click here to join the meeting</a> The Compulsory Tender Clarification Meeting will start punctually and information will not be repeated for the benefit of Tenderers arriving late:
<b>CLOSING DATE</b>	<b>16H00 on 28 DECEMBER 2023</b> Tenderers must ensure that tenders are uploaded timeously onto the system. <b>IF A TENDER IS LATE, IT WILL NOT BE ACCEPTED FOR CONSIDERATION.</b>

#### 2. TENDER SUBMISSION

Transnet has implemented a new electronic tender submission system, the e-Tender Submission Portal, in line with the overall Transnet digitalization strategy where suppliers can view advertised tenders, register their information, log their intent to respond to bids and upload their bid proposals/responses on to the system.

- The Transnet e-Tender Submission Portal can be accessed as follows:



Log on to the Transnet eTenders management platform website (<https://transnetetenders.azurewebsites.net>);

- Click on “ADVERTISED TENDERS” to view advertised tenders;
- Click on “SIGN IN/REGISTER – for bidder to register their information (must fill in all mandatory information);
- Click on “SIGN IN/REGISTER” - to sign in if already registered;
- Toggle (click to switch) the “Log an Intent” button to submit a bid;
- Submit bid documents by uploading them into the system against each tender selected.
- **Tenderers are required to ensure that electronic bid submissions are done at least a day before the closing date to prevent issues which they may encounter due to their internet speed, bandwidth or the size of the number of uploads they are submitting. Transnet will not be held liable for any challenges experienced by bidders as a result of the technical challenges. Please do not wait for the last hour to submit. A Tenderer can upload 30mb per upload and multiple uploads are permitted.**
- **File names may only contain alphabetical and/ or numerical characters. Use of any other characters in filenames of documents that are uploaded may result in documents being corrupted, for which Transnet takes no responsibility.**

b) The tender offers to this tender will be opened as soon as possible after the closing date and time. Transnet shall not, at the opening of tenders, disclose to any other company any confidential details pertaining to the Tender Offers / information received, i.e. pricing, delivery, etc. The names and locations of the Tenderers will be divulged to other Tenderers upon request.

c) Submissions must not contain documents relating to any Tender other than that shown on the submission.

### 3. CONFIDENTIALITY

All information related to this RFP is to be treated with strict confidentiality. In this regard Tenderers are required to certify that they have acquainted themselves with the Non-Disclosure Agreement. All information related to a subsequent contract, both during and after completion thereof, will be treated with strict confidence. Should the need however arise to divulge any information gleaned from provision of the Works, which is either directly or indirectly related to Transnet’s business, written approval to divulge such information must be obtained from Transnet.



#### 4. DISCLAIMERS

Tenderers are hereby advised that Transnet is not committed to any course of action as a result of its issuance of this Tender and/or its receipt of a tender offer. In particular, please note that Transnet reserves the right to:

- 4.1. Award the business to the highest scoring Tenderer/s unless objective criteria justify the award to another tenderer;
- 4.2. Not necessarily accept the lowest priced tender or an alternative Tender;
- 4.3. Go to the open market if the quoted rates (for award of work) are deemed unreasonable;
- 4.4. Should the Tenderers be awarded business on strength of information furnished by the Tenderer, which after conclusion of the contract is proved to have been incorrect, Transnet reserves the right to terminate the contract;
- 4.5. Request audited financial statements or other documentation for the purposes of a due diligence exercise;
- 4.6. Not accept any changes or purported changes by the Tenderer to the tender rates after the closing date;
- 4.7. Verify any information supplied by a Tenderer by submitting a tender, the Tenderer/s hereby irrevocably grant the necessary consent to the Transnet to do so;
- 4.8. Conduct the evaluation process in parallel. The evaluation of Tenderers at any given stage must therefore not be interpreted to mean that Tenderers have necessarily passed any previous stage(s);
- 4.9. Unless otherwise expressly stated, each tender lodged in response to the invitation to tender shall be deemed to be an offer by the Tenderer. The Employer has the right in its sole and unfettered discretion not to accept any offer.
- 4.10. Not be held liable if tenderers do not provide the correct contact details during the clarification session and do not receive the latest information regarding this RFP with the possible consequence of being disadvantaged or disqualified as a result thereof.
- 4.11. Transnet reserves the right to exclude any Tenderers from the tender process who has been convicted of a serious breach of law during the preceding 5 [five] years including but not limited to breaches of the Competition Act 89 of 1998, as amended. Tenderers are required to indicate in tender returnable [clause 12 on T2.2-12], [**Breach of Law**]



4.12. whether or not they have been found guilty of a serious breach of law during the past 5 [five] years.

4.13. Transnet reserves the right to perform a risk analysis on the preferred tenderer to ascertain if any of the following might present an unacceptable commercial risk to the employer:

- *unduly high or unduly low tendered rates or amounts in the tender offer;*
- *contract data of contract provided by the tenderer; or*
- *the contents of the tender returnables which are to be included in the contract.*

5. Transnet will not reimburse any Tenderer for any preparatory costs or other work performed in connection with this Tender, whether or not the Tenderer is awarded a contract.

## 6. NATIONAL TREASURY'S CENTRAL SUPPLIER DATABASE

Tenderer are required to self-register on National Treasury's Central Supplier Database (CSD) which has been established to centrally administer supplier information for all organs of state and facilitate the verification of certain key supplier information. The CSD can be accessed at <https://secure.csd.gov.za/>. Tenderer are required to provide the following to Transnet in order to enable it to verify information on the CSD:

Supplier Number..... and Unique registration reference number.....(Tender Data)

**Transnet urges its clients, suppliers and the general public**

**to report any fraud or corruption to**

**TIP-OFFS ANONYMOUS: 0800 003 056 OR [Transnet@tip-offs.com](mailto:Transnet@tip-offs.com)**

## T1.2 TENDER DATA

The conditions of tender are the Standard Conditions of Tender as contained in Annex C of the CIDB Standard for Uniformity in Engineering and Construction Works Contracts. The Standard for Uniformity in Construction Procurement was first published in Board Notice 62 of 2004 in Government Gazette No 26427 of 9 June 2004. It was subsequently amended in Board Notice 67 of 2005 in Government Gazette No 28127 of 14 October 2005, Board Notice 93 of 2006 in Government Gazette No 29138 of 18 August 2006, Board Notice No 9 of 2008 in Government Gazette No 31823 of 30 January 2009, Board Notice 86 of 2010 in Government Gazette No 33239 of 28 May 2010, Board Notice 136 of 2015 in Government Gazette 38960 of 10 July 2015 and Board Notice 423 of 2019 in Government Gazette No 42622 of 8 August 2019.

This edition incorporates the amendments made in Board Notice 423 of 2019 in Government Gazette 42622 of 8 August 2019. (see [www.cidb.org.za](http://www.cidb.org.za)).

The Standard Conditions of Tender make several references to Tender data for detail that apply specifically to this tender. The Tender Data shall have precedence in the interpretation of any ambiguity or inconsistency between it and the Standard Conditions of Tender.

Each item of data given below is cross-referenced in the left-hand column to the clause in the Standard Conditions of Tender to which it mainly applies.

Clause	Data
C.1.1 The <i>Employer</i> is	<b>Transnet SOC Ltd</b> <b>(Reg No. 1990/000900/30)</b>
C.1.2 The tender documents issued by the <i>Employer</i> comprise:	
	<b>Part T: The Tender</b>
Part T1: Tendering procedures	T1.1 Tender notice and invitation to tender T1.2 Tender data
Part T2 : Returnable documents	T2.1 List of returnable documents T2.2 Returnable schedules
	<b>Part C: The contract</b>
Part C1: Agreements and contract data	C1.1 Form of offer and acceptance C1.2 Contract data (Part 1 & 2)
Part C2: Pricing data	C2.1 Pricing Instructions C2.2 Pricing Schedule
Part C3: Scope of Services	C3.1 Scope

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C.1.4	The Employer's agent is:	Procurement
	Name:	Gontsejalo Mohutsiwa
	Address:	Transnet National Port Authority Emendi Admin Building N2, Neptune Road, Off Klub Road Port of Ngqura Port Elizabeth 6212
	E – mail	<a href="mailto:TNPATenderenquiries3@transnet.net">TNPATenderenquiries3@transnet.net</a>
C.2.1	Only those tenderers who satisfy the following eligibility criteria are eligible to submit tenders:	<p><b>1. Stage One - Eligibility with regards to attendance at the compulsory clarification meeting:</b></p> <p>An authorised representative of the tendering entity or a representative of a tendering entity that intends to form a Joint Venture (JV) must attend the compulsory clarification meeting in terms C2.7</p> <p><b>2. Stage Two - Eligibility Criteria Schedule: Pre-qualification</b></p> <p>Valid Proof of Registration with <b>EAPASA</b> for the EAP/ or Senior EAP</p> <p><b><i>Any tenderer that fails to meet the stipulated Eligibility criteria will be regarded as an unacceptable tender</i></b></p> <p><b>3. Stage Three - Functionality:</b></p> <p>Only those tenderers who obtain the minimum qualifying score for functionality will be evaluated further in terms of price and the applicable preference point system. The minimum qualifying for score for functionality is <b>60 points</b>.</p> <p>The evaluation criteria for measuring functionality and the points for each criteria and, if any, each sub-criterion are as stated in C.3.11.3 below.</p> <p><b><i>Any tenderer that fails to meet the stipulated pre-qualifying criteria will be regarded as an unacceptable tender.</i></b></p>
C.2.12	No alternative tender offers will be considered.	
C.2.13.3	Each tender offer shall be in the <b>English Language</b> .	

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C.2.13.5 The *Employer's* details and identification details that are to be shown on each tender offer  
C2.15.1 are as follows:

Identification details:

The tender documents must be uploaded with:

- Name of Tenderer: (.....)
- Contact person and details: (.....)
- The Tender No: TNPA/2023/10/0024/45764/RFQ

The Tender Description: **Provision of environmental consultancy (amendment process) for the construction of the marine infrastructure at the port of Ngqura**

Documents must be marked for the attention of:  
***Employer's Agent:***

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C.2.13.9 Telephonic, telegraphic, facsimile or e-mailed tender offers will not be accepted.

C.2.15 The closing time for submission of tender offers is:

Time: **28 DECEMBER 2023 at 16H00.**

Location: The Transnet e-Tender Submission Portal: (<https://transnetetenders.azurewebsites.net>)

#### **NO LATE TENDERS WILL BE ACCEPTED**

C.2.16 The tender offer validity period is **120 Business days** after the closing date. Tenderers are to note that they may be requested to extend the validity period of their tender, on the same terms and conditions, if Transnet's internal evaluation and governance approval processes has not been finalised within the validity period.

C.2.23 The tenderer is required to submit with his tender:

1. A valid Tax Clearance Certificate issued by the South African Revenue Services.  
**Tenderers also to provide Transnet with a TCS PIN to verify Tenderers compliance status.**

2. A **valid B-BBEE Certificate** from a Verification Agency accredited by the South African Accreditation System [**SANAS**], or a **sworn affidavit** confirming annual turnover and level of black ownership, in line with the code of good practice, more together with the tender;

3. Proof of registration on the Central Supplier Database;

**Note:** Refer to Section T2.1 for List of Returnable Documents

C3.11 The minimum number of evaluation points for functionality is: **60 Points**

**Only those tenderers who attain the minimum number of evaluation points for Functionality will be eligible for further evaluation, failure to meet the minimum threshold will result in the tender being disqualified and removed from any further consideration.**

### **Functionality Criteria**

The functionality criteria and maximum score in respect of each of the criteria are as follows:

<b>Functionality criteria</b>	<b>Sub-criteria</b>	<b>Maximum number of points</b>
T2.2-03 Management & CVs of Key Persons		30
T2.2-04 Previous Experience		30
T2.2-05 Approach Paper/Method Statement		40
<b>Maximum possible score for Functionality</b>	<b>100</b>	

Functionality shall be scored independently by not less than 3 (three) evaluators and averaged in accordance with the following schedules:

- **T2.2-03** Management & CVs of Key Persons
- **T2.2-04** Previous Experience
- **T2.2-05** Approach Paper or Method Statement

Each evaluation criteria will be assessed in terms of scores of 0, 20, 40, 60, 80 or 100

The scores of each of the evaluators will be averaged, weighted and then totalled to obtain the final score for functionality, unless scored collectively.

**Note: Any tender not complying with the above-mentioned requirements, will be regarded as non-responsive and will therefore not be considered for further evaluation. This note must be read in conjunction with Clause C.2.1.**

C.3.11. Only tenders that achieve the minimum qualifying score for functionality will be evaluated further in accordance with the 80/20 preference points systems as described in Preferential Procurement Regulations 2022.

80 points where the financial value of one or more responsive tenders received have a value equal to or below R50 million, inclusive of all applicable taxes,

<b>Thresholds</b>	<b>Minimum Threshold</b>
Functionality	60 Points

<b>Evaluation Criteria</b>	<b>Final Weighted Scores</b>
Price	80
Specific goals - Scorecard	20
<b>TOTAL SCORE:</b>	<b>100</b>

Up to 100 minus  $W_1$  tender evaluation points will be awarded to tenderers who complete the preferencing schedule and who are found to be eligible for the preference claimed. **Should the evidence required for any of the Specific Goals applicable in this tender not be provided, a tenderer will score zero preference points for that particular "Specific Goal".**

In terms of Transnet Preferential Procurement Policy (TPPP) and Procurement Manuals, the following preference points must be awarded to a bidder who provides the relevant required evidence for claiming points

Selected Specific Goal	Number of points allocated (20)
B-BBEE Level of contributor (1 & 2)	10
30% Black women Owned entities	10
Non-Compliant and/or B-BBEE Level 3-8 contributors	0

**The following Table represents the evidence to be submitted for claiming preference points for applicable specific goals in a particular tender:**

Specific Goals	Acceptable Evidence
B-BBEE	B-BBEE Certificate / Sworn-Affidavit B-BBEE Certificate (in case of JV, a consolidate scorecard will be accept) as per DTIC guidelines
30% Black Women Owned Entities	B-BBEE Certificate / Sworn-Affidavit / CIPC B-BBEE Certificate (in case of JV, a consolidate scorecard will be accept) as per DTIC guidelines

The maximum points for this bid are allocated as follows:

DISCRIPTION	POINTS
Price	80
B-BBEE Level of contributor (1 & 2)	10
30% Black women Owned entities	10
Total points for Price and Specific Goals must not exceed	100

**Note:** Transnet reserves the right to carry out an independent audit of the tenderers scorecard components at any stage from the date of close of the tenders until completion of the contract.

**C.3.13** Tender offers will only be accepted if:

1. The tenderer or any of its directors/shareholders is not listed on the Register of Tender Defaulters in terms of the Prevention and Combating of Corrupt Activities Act of 2004 as a person prohibited from doing business with the public sector;
2. the tenderer does not appear on Transnet's list for restricted tenderers and National Treasury's list of Tender Defaulters;
3. the tenderer has fully and properly completed the Compulsory Enterprise Questionnaire and there are no conflicts of interest which may impact on the tenderer's ability to perform the contract in the best interests of the Employer or potentially compromise the tender process and persons in the employ of the state.
4. Transnet reserves the right to award the tender to the tenderer who scores the highest number of points overall, unless there are **objective criteria** which will justify the award of the tender to another tenderer. Objective criteria include but are not limited to the outcome of a due diligence exercise to be conducted. The due diligence exercise may take the following factors into account inter alia;

the tenderer:

- a) is not under restrictions, or has principals who are under restrictions, preventing participating in the employer's procurement,
- b) is not undergoing a process of being restricted by Transnet or other state institution that Transnet may be aware of,
- c) can, as necessary and in relation to the proposed contract, demonstrate that he or she possesses the professional and technical qualifications, professional and technical competence, financial resources, equipment and other physical facilities, managerial capability, reliability, experience and reputation, expertise and the personnel, to perform the contract,
- d) has the legal capacity to enter into the contract,
- e) is not insolvent, in receivership, under Business Rescue as provided for in chapter 6 of the Companies Act, 2008, bankrupt or being wound up, has his affairs administered by a court or a judicial officer, has suspended his business activities, or is subject to legal proceedings in respect of any of the foregoing,
- f) complies with the legal requirements, if any, stated in the tender data and
- g) is able, in the option of the employer to perform the contract free of conflicts of interest.

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C.3.17 The number of copies of the signed contract to be provided by the Employer is 1 (one).

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## **T2.1 List of Returnable Documents**

### **2.1. These schedules are required for eligibility purposes:**

- T2.2-01 **Eligibility Criteria Schedule** - Certificate of attendance at the Compulsory Tender Clarification Meeting.
- T2.2-02 **Eligibility Criteria Schedule** - Pre-qualification Criteria.

Valid Proof of Registration with **EAPASA for the EAP/ or Senior EAP**.

#### **2.1.1 Stage One: these schedules will be utilised for Functionality evaluation purposes:**

- T2.2-03 **Evaluation Schedule:** Management & CV's
- T2.2-04 **Evaluation Schedule:** Previous experience
- T2.2-05 **Evaluation Schedule:** Approach Paper/Method Statement;

#### **2.1.2 Returnable Schedules:**

##### **General:**

- T2.2-06 Authority to submit tender
- T2.2-07 Record of addenda to tender documents
- T2.2-08 Letter of Good Standing
- T2.2-09 Risk Elements

##### **Agreement and Commitment by Tenderer:**

- T2.2-10 Non-Disclosure Agreement
- T2.2-11 RFP Declaration Form
- T2.2-12 RFP – Breach of Law
- T2.2-13 Certificate of Acquaintance with Tender Document
- T2.2-14 Service Provider Integrity Pact
- T2.2-15 CIDB SFU ANNEX G Compulsory Enterprise Questionnaire
- T2.2-16 Agreement in terms of Protection of Personal Information Act (POPIA)
- T2.2-17 Supplier Code of Conduct
- T2.2-18 Supplier Declaration Form
- T2.2-19 Domestic Prominent Influential Persons (DPIP) Or Foreign Prominent Public Officials (FPPO)

#### **2.1.3 Bonds/Guarantees/Financial/Insurance:**

- T2.2-20 Insurance provided by the Consultant

### **2.2 C1.1 Offer portion of Form of Offer & Acceptance**

### **2.3 C1.2 Contract Data**

### **2.4 C2.1 Pricing Instructions Activity Schedule**

### **2.5 C2.2 Priced Activity Schedule**

## **T2.2-01: Eligibility Criteria Schedule: Certificate of Attendance at Tender Clarification Meeting**

This is to certify that

(Company Name or member of a Joint Venture)

Represented  
By:

(Name and Surname)

Was represented at the compulsory tender clarification meeting

Held at:		
On (date)		<b>Starting time:</b>

**Attendance of the above company/joint venture at the meeting was confirmed:**

Name

Signature

**For and on Behalf of the  
*Employers Agent.***

Date

## **T2.2-02 Eligibility Criteria Schedule: Pre-qualification schedules:**

Tenderers are required to comply with the following pre-qualification criteria, failure to comply will lead to the disqualification of the tenderers bid:

Valid Proof of Registration with **EAPASA for the EAP/ or Senior EAP.**

No.	Key Persons	Name and Surname	CV attached (Yes/No)
1	Environmental Assessment Practitioner (EAP)/ Or Senior EAP		
2	Environmental Assessment Practitioner (EAP)/ Or Senior EAP		

### **Valid Professional Registration with EAPASA**

Name Of Company:

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I/We

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In my capacity as:

---

do hereby certify that (Name)

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**is a professionally registered member of EAPASA.**

**Certificate Number:**

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**\* A Valid certificate must be attached**

SIGNED at on this \_\_\_\_\_ day of \_\_\_\_\_

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## T2.2-03: Evaluation Schedule - Management and CV's of Key People (30)

Describe the management arrangements for the *services*.

Submit the following documents as a minimum with your tender document:

1. A sufficiently detailed organogram indicating roles and responsibilities – and the names of the various team members and Key People.
2. CV for the Key People shall as a minimum include:
  - **Environmental Assessment Practitioner (EAP)**
  - **Senior Environmental Assessment Practitioner or Project Manager**
  - **Marine Mammal Specialist**
  - **Marine Water Specialist**

No.	Key Persons	Name and Surname	CV attached (Yes/No)
1	Environmental Assessment Practitioner (EAP)		
2	Senior Environmental Assessment Practitioner or Project Manager		
3	Marine Mammal Specialist		
4	Marine Water Specialist		

3. Where the tenderer chooses to use the same person as EAP and Senior EAP, it should be made clear in the submission.
4. The CV's of Key People must include their:
  - **Qualifications**
  - **Years'** of Experience delivering Management, EAP, or specialist services (relevant to the role the CV is provided for)
  - The CV must provide detailed roles and responsibilities supporting the years of experience.
  - **Valid Proof of Registration with EAPASA for the EAP/or Senior EAP**
  - Valid Proof of registration with SACNASP for Environmental Specialists, Failure to submit Proof of registration (SACNASP for Environmental Specialis) **will result in a score of Zero (0)** for that particular personnel.

**Note:** Copies of qualifications must be submitted with the tender document.

The qualifications referred to in this schedule are South African qualification as per the South African Qualifications Authority (SAQA) and regulated in terms of the National Qualifications Framework Act No. 67 of 2008. Where a CV makes reference to qualifications obtained outside of South Africa the tenderer should demonstrate that these are equivalent to the South African National Qualifications Framework (NQF levels).

**Attached submissions to this schedule:**

.....  
.....  
.....  
.....

The scoring of the CV's of Key People will be as follows:

**Management and CV's of *Key People* (30)**

	<b>ENVIRONMENTAL ASSESSMENT PRACTITIONER (EAP)</b>	<b>ENVIRONMENTAL ASSESSMENT PRACTITIONER (EAP)</b>	<b>SENIOR EAP OR PROJECT MANAGER</b>	<b>SENIOR EAP OR PROJECT MANAGER</b>	<b>MARINE MAMMAL SPECIALIST</b>	<b>MARINE MAMMAL SPECIALIST</b>	<b>MARINE WATER SPECIALIST</b>	<b>MARINE WATER SPECIALIST</b>
	<b>Qualifications</b>	<b>Years of Experience</b>						
	<b>(8)</b>	<b>(6)</b>	<b>(4)</b>	<b>(2)</b>	<b>(3)</b>	<b>(2)</b>	<b>(3)</b>	<b>(2)</b>
<b>Score 0</b>	The tenderer has submitted no information OR the tenderer does not possess the minimum qualification	The tenderer has submitted no information OR the tenderer does not possess the minimum experience	The tenderer has submitted no information OR the tenderer does not possess the minimum qualification	The tenderer has submitted no information OR the tenderer does not possess the minimum experience	The tenderer has submitted no information OR the tenderer does not possess the minimum qualification	The tenderer has submitted no information OR the tenderer does not possess the minimum experience	The tenderer has submitted no information OR the tenderer does not possess the minimum qualification	The tenderer has submitted no information OR the tenderer does not possess the minimum qualification
<b>Score 20</b>	They are in possession of a relevant Certificate in Environmental Management;	They have ≤2 years on-the-job EAP experience in conducting EIAs	They are in possession of a relevant Certificate in Environmental Management;	They have ≤4 years relevant on-the-job management experience.	They are in possession of a relevant Certificate in Environmental Management;	They have ≤2 years relevant on-the-job marine mammal monitoring experience	They are in possession of a relevant Certificate in Environmental Management;	They have ≤2 years relevant on-the-job marine water monitoring experience
<b>Score 40</b>	They are in possession of a Diploma in Environmental Management;	They have > 2years but ≤6 years of on-the-job EAP experience in conducting EIAs.	They are in possession of a Diploma in Environmental Management;	They have >4years but ≤8 years of relevant on the job Management experience	They are in possession of a Diploma in Environmental Management;	They have >2years but ≤6 years of relevant on the job marine mammal monitoring experience	They are in possession of a Diploma in Environmental Management;	They have >2years but ≤6 years of relevant on the job marine water monitoring experience



	ENVIRONMENTAL ASSESSMENT PRACTITIONER (EAP)	ENVIRONMENTAL ASSESSMENT PRACTITIONER (EAP)	SENIOR EAP OR PROJECT MANAGER	SENIOR EAP OR PROJECT MANAGER	MARINE MAMMAL SPECIALIST	MARINE MAMMAL SPECIALIST	MARINE WATER SPECIALIST	MARINE WATER SPECIALIST
	Qualifications	Years of Experience	Qualifications	Years of Experience	Qualifications	Years of Experience	Qualifications	Years of Experience
<b>Score 60</b>	They are in possession of a Bachelors Degree in Natural Science or Environmental studies.	They have >6yrs but ≤10 years of on-the-job EAP experience in conducting EIAs.	They are in possession of a Bachelors Degree in Natural Science or Environmental studies.	They have >8yrs but ≤10 years of relevant on-the-job Management experience.	They are in possession of a Bachelors Degree in Natural Science or Environmental studies.	They have >6yrs but ≤10 years of relevant on-the-job marine mammal monitoring experience.	They are in possession of a Bachelors Degree in Natural Science or Environmental studies.	They have >6yrs but ≤10 years of relevant on-the-job marine water monitoring experience.
<b>Score 80</b>	They are in possession of a Bachelors Degree with Honours in Natural Science,	They have >10 yrs but ≤12 years on-the-job EAP experience in conducting EIAs.	They are in possession of a Bachelors Degree with Honours in Natural Science or Environmental studies.	They have >10 but ≤ 15 years of relevant on-the-job Management experience.	They are in possession of a Bachelors Degree with Honours in Natural Science or Environmental studies.	They have >10 but ≤ 12 years of relevant on-the- marine mammal monitoring experience.	They are in possession of a Bachelors Degree with Honours in Natural Science or Environmental studies.	They have >10 but ≤ 12 years of relevant on-the-job marine water monitoring experience.
<b>Score 100</b>	They are in possession of a Masters Degree in Natural Science, or Environmental studies.	They have >12 years of on-the-job EAP & Project Management experience in conducting SEAs or EMFs	They are in possession of a Masters Degree in Natural Science or Environmental studies.	They have >15 years relevant on-the-job management experience.	They are in possession of a Masters Degree in Natural Science or Environmental studies.	They have >12 years relevant on-the-job marine mammal monitoring experience.	They are in possession of a Masters Degree in Natural Science or Environmental studies.	They have >12 years relevant on-the-job marine water monitoring experience.

## **T2.2-04: Evaluation Schedule - Method Statement/ Approach Paper**

### **Note to tenderers:**

The approach paper provides the *Consultant* with an opportunity to describe how the Consultant intends to and will deliver the necessary services. The approach paper should be in an essay format and must respond to the Scope of Services supplied as part of this tender document. The tenderer should take this opportunity to fully express themselves, but without making unrealistic commitments.

The Approach Paper must include a concise introduction and describe the necessary project set up for delivery of the *services*. The approach paper must be specific to the project scope and not necessarily be a duplicated EIA/BA process.

Hereunder, are the 5 key elements with prompts to assist with the development of the Approach Paper.

### **1. TEAM SET UP**

- 1.1 How will the team of Key People be set up to perform the various components of the Scope?
- 1.2 The Consultant should discuss team composition – carefully setting out the various and required roles indicating who will be fulfilling each role.
- 1.3 How will the roles of Project Manager, EAP and Specialists function?
- 1.4 Has the Tenderer worked with the Specialists before? What are their credentials?

### **2. IMPACT ASSESSMENT**

- 2.1 How will this task be undertaken?
- 2.2 How will Stakeholder Engagement be co-ordinated?
- 2.3 What are the gaps in the current available information? Are any further Specialist studies anticipated?

### **3. RISK ASSESSMENT**

- 3.1 What are the foreseeable risks to completing the Screening & Baseline Assessment in time? How can these risks be mitigated?

### **4. SCHEDULING**

- 4.1 The consultant is to provide realistic project timelines as part of the methodology. How will the processes timelines be shortened to aid obtain approvals, exemptions, and other applicable permits on planned schedule?
- 4.2 Consultant must propose a timeline or draft schedule for the required services. Make specific reference to what the Consultant considers to be key milestones.
- 4.2 How, and in what order, will the necessary tasks be undertaken?
- 4.3 What are the possible risks that can affect the schedule? How has this been incorporated into the planning?



## 5. PROJECT AND QUALITY MANAGEMENT

- 5.1 The Consultant must highlight the issues of importance that are specific to this project and explain the technical approach that would be adopted to address them.
- 5.2 The approach paper should explain the methodologies which are to be adopted (internal and external communications, chain of custody, technical reporting, quality assurance and quality control, etc.) in order to successfully execute the Services.
- 5.3 The approach should also include and outline the processes, procedures and associated resources required, to meet the objectives of the *services* and indicate how risks will be managed.

The *Consultant* must be as descriptive as possible in outlining the proposed approach or “methodology” to be applied in achieving the *Employer’s* objectives, on achieving the regulatory and statutory requirements placed on the *Employer*, and on providing the Scope of Services described and implied in this tender.

The scoring of the approach paper must address **The following 5 key elements** in detail as outlined under T2.2.04;

- Team set up;
- Impact Assessment;
- Risk Assessment;
- Scheduling; and
- Project and Quality management.

	<b>Method Statement/ Approach Paper (40)</b>
<b>Score 0</b>	The tenderer has submitted no information to determine a score
<b>Score 20</b>	The Proposed team set up, Impact assessment, risk assessment, scheduling, project and quality management does not correlate with the required scope of works and there is a lack clarity
<b>Score 40</b>	All five (5) key elements were mentioned in the approach paper, however either one (1) to four (4) elements have minor inconsistencies with project objectives and deliverables.
<b>Score 60</b>	All 5 (five) key elements were addressed, and the team set up, project schedule, quality management, methodology and risk assessment are consistent with the project objectives and deliverables.
<b>Score 80</b>	All 5 (five) key elements were addressed, and the team set up, project schedule, quality management, methodology and risk assessment are consistent with the project objectives and deliverables. The tenderer has described in the approach paper how time Or costs can be saved by maximizing resource utilization or by using any other alternative.
<b>Score 100</b>	All 5 (five) key elements were addressed, the team set up, project schedule, quality management, methodology and risk assessment are consistent with the project objectives and deliverables. The tenderer has described in the approach paper how time And costs can be saved by maximizing resource utilization or by using any other alternative.

## **T2.2-05: Evaluation Schedule - Method Statement/ Approach Paper**

### **Note to tenderers:**

The approach paper provides the *Consultant* with an opportunity to describe how the Consultant intends to and will deliver the necessary *services*. The approach paper should be in an essay format and must respond to the Scope of Services supplied as part of this tender document. The tenderer should take this opportunity to fully express themselves, but without making unrealistic commitments.

The Approach Paper must include a concise introduction and describe the necessary project set up for delivery of the *services*. The approach paper must be specific to the project scope and not necessarily be a duplicated EIA/BA process.

Hereunder, are the 5 key elements with prompts to assist with the development of the Approach Paper.

### **1. TEAM SET UP**

- 1.1 How will the team of Key People be set up to perform the various components of the Scope?
- 1.2 The Consultant should discuss team composition – carefully setting out the various and required roles indicating who will be fulfilling each role.
- 1.3 How will the roles of Project Manager, EAP and Specialists function?
- 1.4 Has the Tenderer worked with the Specialists before? What are their credentials?

### **2. IMPACT ASSESSMENT**

- 2.1 How will this task be undertaken?
- 2.2 How will Stakeholder Engagement be co-ordinated?
- 2.3 What are the gaps in the current available information? Are any further Specialist studies anticipated?

### **3. RISK ASSESSMENT**

- 3.1 What are the foreseeable risks to completing the Screening & Baseline Assessment in time? How can these risks be mitigated?

### **4. SCHEDULING**

- 4.1 The consultant is to provide realistic project timelines as part of the methodology. How will the processes timelines be shortened to aid obtain approvals, exemptions, and other applicable permits on planned schedule?
- 4.2 Consultant must propose a timeline or draft schedule for the required services. Make specific reference to what the Consultant considers to be key milestones.
- 4.2 How, and in what order, will the necessary tasks be undertaken?
- 4.3 What are the possible risks that can affect the schedule? How has this been incorporated into the planning?



## 5. PROJECT AND QUALITY MANAGEMENT

- 5.1 The Consultant must highlight the issues of importance that are specific to this project and explain the technical approach that would be adopted to address them.
- 5.2 The approach paper should explain the methodologies which are to be adopted (internal and external communications, chain of custody, technical reporting, quality assurance and quality control, etc.) in order to successfully execute the Services.
- 5.3 The approach should also include and outline the processes, procedures and associated resources required, to meet the objectives of the *services* and indicate how risks will be managed.

The *Consultant* must be as descriptive as possible in outlining the proposed approach or “methodology” to be applied in achieving the *Employer’s* objectives, on achieving the regulatory and statutory requirements placed on the *Employer*, and on providing the Scope of Services described and implied in this tender.

The scoring of the approach paper must address **The following 5 key elements** in detail as outlined.

- Team set up;
- Impact Assessment;
- Risk Assessment;
- Scheduling; and
- Project and Quality management.

	<b>Method Statement/ Approach Paper (40)</b>
<b>Score 0</b>	The tenderer has submitted no information to determine a score
<b>Score 20</b>	The Proposed team set up, Impact assessment, risk assessment, scheduling, project and quality management does not correlate with the required scope of works and there is a lack clarity
<b>Score 40</b>	All five (5) key elements were mentioned in the approach paper, however either one (1) to four (4) elements have minor inconsistencies with project objectives and deliverables.
<b>Score 60</b>	All 5 (five) key elements were addressed, and the team set up, project schedule, quality management, methodology and risk assessment are consistent with the project objectives and deliverables.
<b>Score 80</b>	All 5 (five) key elements were addressed, and the team set up, project schedule, quality management, methodology and risk assessment are consistent with the project objectives and deliverables. The tenderer has described in the approach paper how time Or costs can be saved by maximizing resource utilization or by using any other alternative.
<b>Score 100</b>	All 5 (five) key elements were addressed, the team set up, project schedule, quality management, methodology and risk assessment are consistent with the project objectives and deliverables. The tenderer has described in the approach paper how time And costs can be saved by maximizing resource utilization or by using any other alternative.

## T2.2-06: Authority to submit a Tender

Indicate the status of the tenderer by ticking the appropriate box hereunder. The tenderer must complete the certificate set out below for his category of organisation or alternatively attach a certified copy of a company / organisation document which provides the same information for the relevant category as requested here.

A - COMPANY	B - PARTNERSHIP	C - JOINT VENTURE	D - SOLE PROPRIETOR

### A. Certificate for Company

I, \_\_\_\_\_, chairperson of the board of directors of \_\_\_\_\_, hereby confirm that by resolution of the board taken on \_\_\_\_\_ (date), Mr/Ms \_\_\_\_\_, acting in the capacity of \_\_\_\_\_, was authorised to sign all documents in connection with this tender offer and any contract resulting from it on behalf of the company.

Signed

Date

Name

Position

Chairman of the Board of Directors

### B. Certificate for Partnership

We, the undersigned, being the **key partners** in the business trading as \_\_\_\_\_ hereby authorise Mr/Ms \_\_\_\_\_, acting in the capacity of \_\_\_\_\_, to sign all documents in connection with the tender offer for Contract \_\_\_\_\_ and any contract resulting from it on our behalf.

Name	Address	Signature	Date

NOTE: This certificate is to be completed and signed by the full number of Partners necessary to commit the Partnership. Attach additional pages if more space is required.

### C. Certificate for Joint Venture

We, the undersigned, are submitting this tender offer in Joint Venture and hereby authorise Mr/Ms \_\_\_\_\_, an authorised signatory of the company \_\_\_\_\_, acting in the capacity of lead partner, to sign all documents in connection with the tender offer for Contract \_\_\_\_\_ and any contract resulting from it on our behalf.

This authorisation is evidenced by the attached power of attorney signed by legally authorised signatories of all the partners to the Joint Venture.

**Furthermore we attach to this Schedule a copy of the joint venture agreement which incorporates a statement that all partners are liable jointly and severally for the execution of the contract and that the lead partner is authorised to incur liabilities, receive instructions and payments and be responsible for the entire execution of the contract for and on behalf of any and all the partners.**

Name of firm	Address	Authorising signature, name (in caps) and capacity

### D. Certificate for Sole Proprietor

I, \_\_\_\_\_, hereby confirm that I am the sole owner of the business trading as \_\_\_\_\_

Signed

Date

Name

Position

Sole Proprietor

## **T2.2-07: Record of Addenda to Tender Documents**

The tenderer hereby confirms that the following communications were received from the *Employer* before the submission of this tender offer, amending the tender documents and have been taken all the Addenda into account in this tender offer:

	<b>Date</b>	<b>Title or Details of Addenda</b>
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		
<b>5</b>		
<b>6</b>		
<b>7</b>		
<b>8</b>		
<b>9</b>		
<b>10</b>		

Attach additional pages if more space is required.

## **T2.2-08 LETTER/S OF GOOD STANDING WITH THE WORKMEN'S COMPENSATION FUND**

Attached to this schedule is the Letter/s of Good Standing.

- 1.
- 2.
- 3.
- 4.

Name of Company/Members of Joint Venture:

## **T2.2-09: Risk Management**

Tenderers to review the potential risks associated with the Scope of Services. Demonstrate and outline measures to evaluate and mitigate the perceived risk elements relating to design, construction, procurement, interfaces and commissioning of the scope taking into account the cost, schedule, quality, health and safety and the environment.

The tenderer to comprehensibly complete a detailed initial risk register with the potential risk associated with the scope. Furthermore, the tenderer shall indicate % probability, % impact, and mitigation plan as the minimum.



## **T2.2-10 NON-DISCLOSURE AGREEMENT**

**[..... 2020]**

**Note to tenderers: This Non-Disclosure Agreement is to be completed and signed by an authorised signatory:**

**THIS AGREEMENT** is made effective as of ..... day of ..... 20..... by and between:

**TRANSNET SOC LTD**

(Registration No. 1990/000900/30), a company incorporated and existing under the laws of South Africa, having its principal place of business at Transnet Corporate Centre 138 Eloff Street , Braamfontein , Johannesburg 2000

**and**

.....  
(Registration No. ....),a private company incorporated and existing under the laws of South Africa having its principal place of business at  
.....  
.....

**WHEREAS**

Transnet and the Company wish to exchange Information [as defined below] and it is envisaged that each party may from time to time receive Information relating to the other in respect thereof. In consideration of each party making available to the other such Information, the parties jointly agree that any dealings between them shall be subject to the terms and conditions of this Agreement which themselves will be subject to the parameters of the Tender Document.

**IT IS HEREBY AGREED**

**1. INTERPRETATION**

In this Agreement:

- 1.1 **Agents** mean directors, officers, employees, agents, professional advisers, contractors or sub-contractors, or any Group member;
- 1.2 **Bid or Bid Document** (hereinafter Tender) means Transnet's Request for Information [RFI] Request for Proposal [RFP] or Request for Quotation [RFQ], as the case may be;
- 1.3 **Confidential Information** means any information or other data relating to one party [the **Disclosing Party**] and/or the business carried on or proposed or intended to be carried on by that party and which is made available for the purposes of the Bid to the other party [the **Receiving Party**] or its Agents by the Disclosing Party or its Agents or recorded in agreed minutes following oral disclosure and any other information otherwise made available by the Disclosing Party or its Agents to the Receiving Party or its Agents, whether before, on or after the date of this Agreement, and whether in writing or otherwise, including any information, analysis or specifications derived from, containing or reflecting such information but excluding information which:

1.3.1 is publicly available at the time of its disclosure or becomes publicly available [other than as a result of disclosure by the Receiving Party or any of its Agents contrary to the terms of this Agreement]; or

1.3.2 was lawfully in the possession of the Receiving Party or its Agents [as can be demonstrated by its written records or other reasonable evidence] free of any restriction as to its use or disclosure prior to its being so disclosed; or

1.3.3 following such disclosure, becomes available to the Receiving Party or its Agents [as can be demonstrated by its written records or other reasonable evidence] from a source other than the Disclosing Party or its Agents, which source is not bound by any duty of confidentiality owed, directly or indirectly, to the Disclosing Party in relation to such information;

1.4 **Group** means any subsidiary, any holding company and any subsidiary of any holding company of either party; and

1.5 **Information** means all information in whatever form including, without limitation, any information relating to systems, operations, plans, intentions, market opportunities, know-how, trade secrets and business affairs whether in writing, conveyed orally or by machine-readable medium.

## **2. CONFIDENTIAL INFORMATION**

2.1 All Confidential Information given by one party to this Agreement [the **Disclosing Party**] to the other party [the **Receiving Party**] will be treated by the Receiving Party as secret and confidential and will not, without the Disclosing Party's written consent, directly or indirectly communicate or disclose [whether in writing or orally or in any other manner] Confidential Information to any other person other than in accordance with the terms of this Agreement.

2.2 The Receiving Party will only use the Confidential Information for the sole purpose of technical and commercial discussions between the parties in relation to the Tender or for the subsequent performance of any contract between the parties in relation to the Tender.

2.3 Notwithstanding clause 2.1 above, the Receiving Party may disclose Confidential Information:

2.3.1 to those of its Agents who strictly need to know the Confidential Information for the sole purpose set out in clause 2.2 above, provided that the Receiving Party shall ensure that such Agents are made aware prior to the disclosure of any part of the Confidential Information that the same is confidential and that they owe a duty of confidence to the Disclosing Party. The Receiving Party shall at all times remain liable for any actions of such Agents that would constitute a breach of this Agreement; or

2.3.2 to the extent required by law or the rules of any applicable regulatory authority, subject to clause 2.4 below.

2.4 In the event that the Receiving Party is required to disclose any Confidential Information in accordance with clause 2.3.2 above, it shall promptly notify the Disclosing Party and cooperate with the Disclosing Party regarding the form, nature, content and purpose of such disclosure or any action which the Disclosing Party may reasonably take to challenge the validity of such requirement.

2.5 In the event that any Confidential Information shall be copied, disclosed or used otherwise than as permitted under this Agreement then, upon becoming aware of the same, without prejudice to any rights or remedies of the Disclosing Party, the Receiving Party shall as soon as practicable notify the Disclosing Party of such event and if requested take such steps [including the institution of legal proceedings] as shall be necessary to remedy [if capable of remedy] the default and/or to prevent further unauthorised copying, disclosure or use.

2.6 All Confidential Information shall remain the property of the Disclosing Party and its disclosure shall not confer on the Receiving Party any rights, including intellectual property rights over the Confidential Information whatsoever, beyond those contained in this Agreement.

### **3. RECORDS AND RETURN OF INFORMATION**

3.1 The Receiving Party agrees to ensure proper and secure storage of all Information and any copies thereof.

3.2 The Receiving Party shall keep a written record, to be supplied to the Disclosing Party upon request, of the Confidential Information provided and any copies made thereof and, so far as is reasonably practicable, of the location of such Confidential Information and any copies thereof.

3.3 The Company shall, within 7 [seven] days of receipt of a written demand from Transnet:

3.3.1 return all written Confidential Information [including all copies]; and

3.3.2 expunge or destroy any Confidential Information from any computer, word processor or other device whatsoever into which it was copied, read or programmed by the Company or on its behalf.

3.4 The Company shall on request supply a certificate signed by a director as to its full compliance with the requirements of clause 3.3.2 above.

### **4. ANNOUNCEMENTS**

4.1 Neither party will make or permit to be made any announcement or disclosure of its prospective interest in the Tender without the prior written consent of the other party.

4.2 Neither party shall make use of the other party's name or any information acquired through its dealings with the other party for publicity or marketing purposes without the prior written consent of the other party.

### **5. DURATION**

The obligations of each party and its Agents under this Agreement shall survive the termination of any discussions or negotiations between the parties regarding the Tender and continue thereafter for a period of 5 [five] years.

### **6. PRINCIPAL**

Each party confirms that it is acting as principal and not as nominee, agent or broker for any other person and that it will be responsible for any costs incurred by it or its advisers in considering or pursuing the Tender and in complying with the terms of this Agreement.

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**7. ADEQUACY OF DAMAGES**

Nothing contained in this Agreement shall be construed as prohibiting the Disclosing Party from pursuing any other remedies available to it, either at law or in equity, for any such threatened or actual breach of this Agreement, including specific performance, recovery of damages or otherwise.

**8. PRIVACY AND DATA PROTECTION**

- 8.1 The Receiving Party undertakes to comply with South Africa's general privacy protection in terms Section 14 of the Bill of Rights in connection with this Tender and shall procure that its personnel shall observe the provisions of such Act [as applicable] or any amendments and re-enactments thereof and any regulations made pursuant thereto.
- 8.2 The Receiving Party warrants that it and its Agents have the appropriate technical and organisational measures in place against unauthorised or unlawful processing of data relating to the Tender and against accidental loss or destruction of, or damage to such data held or processed by them.

**9. GENERAL**

- 9.1 Neither party may assign the benefit of this Agreement, or any interest hereunder, except with the prior written consent of the other, save that Transnet may assign this Agreement at any time to any member of the Transnet Group.
- 9.2 No failure or delay in exercising any right, power or privilege under this Agreement will operate as a waiver of it, nor will any single or partial exercise of it preclude any further exercise or the exercise of any right, power or privilege under this Agreement or otherwise.
- 9.3 The provisions of this Agreement shall be severable in the event that any of its provisions are held by a court of competent jurisdiction or other applicable authority to be invalid, void or otherwise unenforceable, and the remaining provisions shall remain enforceable to the fullest extent permitted by law.
- 9.4 This Agreement may only be modified by a written agreement duly signed by persons authorised on behalf of each party.
- 9.5 Nothing in this Agreement shall constitute the creation of a partnership, joint venture or agency between the parties.
- 9.6 This Agreement will be governed by and construed in accordance with South African law and the parties irrevocably submit to the exclusive jurisdiction of the South African courts.

Signed

Date

Name

Position

Tenderer



## T2.2-11: RFP DECLARATION FORM

NAME OF COMPANY: \_\_\_\_\_

We \_\_\_\_\_ do hereby certify that:

1. Transnet has supplied and we have received appropriate tender offers to any/all questions (as applicable) which were submitted by ourselves for tender clarification purposes;
2. we have received all information we deemed necessary for the completion of this Tender;
3. at no stage have we received additional information relating to the subject matter of this tender from Transnet sources, other than information formally received from the designated Transnet contact(s) as nominated in the tender documents;
4. we are satisfied, insofar as our company is concerned, that the processes and procedures adopted by Transnet in issuing this tender and the requirements requested from tenderers in responding to this tender have been conducted in a fair and transparent manner; and
5. furthermore, we acknowledge that a direct relationship exists between a family member and/or an owner / member / director / partner / shareholder (unlisted companies) of our company and an employee or board member of the Transnet Group as indicated below:

*[Respondent to indicate if this section is not applicable]*

FULL NAME OF OWNER/MEMBER/DIRECTOR/

PARTNER/SHAREHOLDER:

ADDRESS:

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Indicate nature of relationship with Transnet:

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*[Failure to furnish complete and accurate information in this regard may lead to the disqualification of your response and may preclude a Respondent from doing future business with Transnet]*



We declare, to the extent that we are aware or become aware of any relationship between ourselves and Transnet (other than any existing and appropriate business relationship with Transnet) which could unfairly advantage our company in the forthcoming adjudication process, we shall notify Transnet immediately in writing of such circumstances.

6. We accept that any dispute pertaining to this tender will be resolved through the Ombudsman process and will be subject to the Terms of Reference of the Ombudsman. The Ombudsman process must first be exhausted before judicial review of a decision is sought. (Refer "Important Notice to respondents" below).
7. We further accept that Transnet reserves the right to reverse a tender award or decision based on the recommendations of the Ombudsman without having to follow a formal court process to have such award or decision set aside.
8. We have acquainted ourselves and agree with the content of T2.2-13 "Service Provider Integrity Pact".

For and on behalf of
.....
duly authorised thereto
Name:
Signature:
Date:

### **IMPORTANT NOTICE TO TENDERERS**

- Transnet has appointed a Procurement Ombudsman to investigate any material complaint in respect of tenders exceeding R5,000,000.00 (five million S.A. Rand) in value. Should a Tenderer have any material concern regarding an tender process which meets this value threshold, a complaint may be lodged with Transnet's Procurement Ombudsman for further investigation.
- It is incumbent on the Tenderer to familiarise himself/herself with the Terms of Reference for the Transnet Procurement Ombudsman, details of which are available for review at Transnet's website [www.transnet.net](http://www.transnet.net).
- An official complaint form may be downloaded from this website and submitted, together with any supporting documentation, within the prescribed period, to [procurement.ombud@transnet.net](mailto:procurement.ombud@transnet.net)

- For transactions below the R5,000,000.00 (five million S.A. Rand) threshold, a complaint may be lodged with the Chief Procurement Officer of the relevant Transnet Operating Division.
- All Tenderers should note that a complaint must be made in good faith. If a complaint is made in bad faith, Transnet reserves the right to place such a tenderer on its List of Excluded Bidders.



**T2.2-12: REQUEST FOR QUOTATION – BREACH OF LAW**

NAME OF COMPANY: \_\_\_\_\_

I / We \_\_\_\_\_ do hereby certify that **I/we** **have/have not been** found guilty during the preceding 5 (five) years of a serious breach of law, including but not limited to a breach of the Competition Act, 89 of 1998, by a court of law, tribunal or other administrative body. The type of breach that the Tenderer is required to disclose excludes relatively minor offences or misdemeanours, e.g. traffic offences.

*Where found guilty of such a serious breach, please disclose:*NATURE OF BREACH:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

DATE OF BREACH: \_\_\_\_\_

Furthermore, I/we acknowledge that Transnet SOC Ltd reserves the right to exclude any Tenderer from the tendering process, should that person or company have been found guilty of a serious breach of law, tribunal or regulatory obligation.

Signed on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SIGNATURE OF TENDERER





## T2.2-13: Certificate of Acquaintance with Tender Documents

NAME OF TENDERING ENTITY:

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1. By signing this certificate I/we acknowledge that I/we have made myself/ourselves thoroughly familiar with, and agree with all the conditions governing this RFP. This includes those terms and conditions of the Contract, the Supplier Integrity Pact, Non-Disclosure Agreement etc. contained in any printed form stated to form part of the documents thereof, but not limited to those listed in this clause.
2. I/we furthermore agree that Transnet SOC Ltd shall recognise no claim from me/us for relief based on an allegation that I/we overlooked any TENDER/contract condition or failed to take it into account for the purpose of calculating my/our offered prices or otherwise.
3. I/we understand that the accompanying Tender will be disqualified if this Certificate is found not to be true and complete in every respect.
4. For the purposes of this Certificate and the accompanying Tender, I/we understand that the word "competitor" shall include any individual or organisation, other than the Tenderer, whether or not affiliated with the Tenderer, who:
  - a) has been requested to submit a Tender in response to this Tender invitation;
  - b) could potentially submit a Tender in response to this Tender invitation, based on their qualifications, abilities or experience; and
  - c) provides the same Services as the Tenderer and/or is in the same line of business as the Tenderer
5. The Tenderer has arrived at the accompanying Tender independently from, and without consultation, communication, agreement or arrangement with any competitor. However communication between partners in a joint venture or consortium will not be construed as collusive Tendering.
6. In particular, without limiting the generality of paragraph 5 above, there has been no consultation, communication, agreement or arrangement with any competitor regarding:
  - a) prices;
  - b) geographical area where Services will be rendered [market allocation]
  - c) methods, factors or formulas used to calculate prices;
  - d) the intention or decision to submit or not to submit, a Tender;
  - e) the submission of a Tender which does not meet the specifications and conditions of the TENDER; or
  - f) Tendering with the intention not winning the Tender.

7. In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications and conditions or delivery particulars of the Services to which this TENDER relates.
8. The terms of the accompanying Tender have not been, and will not be, disclosed by the Tenderer, directly or indirectly, to any competitor, prior to the date and time of the official Tender opening or of the awarding of the contract.
9. I/We am/are aware that, in addition and without prejudice to any other remedy provided to combat any restrictive practices related to Tenders and contracts, Tenders that are suspicious will be reported to the Competition Commission for investigation and possible imposition of administrative penalties in terms of section 59 of the Competition Act No 89 of 1998 and/or may be reported to the National Prosecuting Authority [NPA] for criminal investigation. In addition, Tenderers that submit suspicious Tenders may be restricted from conducting business with the public sector for a period not exceeding 10 [ten] years in terms of the Prevention and Combating of Corrupt Activities Act No 12 of 2004 or any other applicable legislation.

Signed on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

---

SIGNATURE OF TENDERER

## **T2.2-14 SERVICE PROVIDER INTEGRITY PACT**

Important Note: All potential tenderers must read this document and certify in the RFP Declaration Form that they have acquainted themselves with, and agree with the content.

The contract with the successful tenderer will automatically incorporate this Integrity Pact and shall be deemed as part of the final concluded contract.

### **INTEGRITY PACT**

Between

**TRANSNET SOC LTD**

Registration Number: 1990/000900/30

("Transnet")

and

The Contractor (hereinafter referred to as the "Tenderer/Service Providers/Contractor")

## PREAMBLE

Transnet values full compliance with all relevant laws and regulations, ethical standards and the principles of economical use of resources, fairness and transparency in its relations with its Tenderers/Service Providers/Contractors.

In order to achieve these goals, Transnet and the Tenderer/Service Provider/Contractor hereby enter into this agreement hereinafter referred to as the "Integrity Pact" which will form part of the Tenderer's/Service Provider's/Contractor's application for registration with Transnet as a vendor.

The general purpose of this Integrity Pact is to agree on avoiding all forms of dishonesty, fraud and corruption by following a system that is fair, transparent and free from any undue influence prior to, during and subsequent to the currency of any procurement and/or reverse logistics event and any further contract to be entered into between the Parties, relating to such event.

All Tenderers/Service Providers/Contractor's will be required to sign and comply with undertakings contained in this Integrity Pact, should they want to be registered as a Transnet vendor.

## 1 OBJECTIVES

- 1.1 Transnet and the Tenderer/Service Provider/Contractor agree to enter into this Integrity Pact, to avoid all forms of dishonesty, fraud and corruption including practices that are anti-competitive in nature, negotiations made in bad faith and under-pricing by following a system that is fair, transparent and free from any influence/unprejudiced dealings prior to, during and subsequent to the currency of the contract to be entered into with a view to:
  - a) Enable Transnet to obtain the desired contract at a reasonable and competitive price in conformity to the defined specifications of the works, goods and services; and
  - b) Enable Tenderers/Service Providers/Contractors to abstain from bribing or participating in any corrupt practice in order to secure the contract.

## 2 COMMITMENTS OF TRANSNET

Transnet commits to take all measures necessary to prevent dishonesty, fraud and corruption and to observe the following principles:

- 2.1 Transnet hereby undertakes that no employee of Transnet connected directly or indirectly with the sourcing event and ensuing contract, will demand, take a promise for or accept directly or through intermediaries any bribe, consideration, gift, reward, favour or any material or immaterial benefit or any other advantage from the Tenderer, either for themselves or for any person, organisation or third party related to the contract in exchange for an advantage in the tendering



process, Tender evaluation, contracting or implementation process related to any contract.

- 2.2 Transnet will, during the registration and tendering process treat all Tenderers/ Service Providers/Contractor with equity, transparency and fairness. Transnet will in particular, before and during the registration process, provide to all Tenderers/ Service Providers/Contractors the same information and will not provide to any Tenderers/Service Providers/Contractors confidential/additional information through which the Tenderers/Service Providers/Contractors could obtain an advantage in relation to any tendering process.
- 2.3 Transnet further confirms that its employees will not favour any prospective Tenderers/Service Providers/Contractors in any form that could afford an undue advantage to a particular Tenderer during the tendering stage, and will further treat all Tenderers/Service Providers/Contractors participating in the tendering process in a fair manner.
- 2.4 Transnet will exclude from the tender process such employees who have any personal interest in the Tenderers/Service Providers/Contractors participating in the tendering process.

### **3 OBLIGATIONS OF THE TENDERER / SERVICE PROVIDER**

- 3.1 Transnet has a '**Zero Gifts**' Policy. No employee is allowed to accept gifts, favours or benefits.
  - a) Transnet officials and employees **shall not** solicit, give or accept, or from agreeing to solicit, give, accept or receive directly or indirectly, any gift, gratuity, favour, entertainment, loan, or anything of monetary value, from any person or juridical entities in the course of official duties or in connection with any operation being managed by, or any transaction which may be affected by the functions of their office.
  - b) Transnet officials and employees **shall not** solicit or accept gifts of any kind, from vendors, suppliers, customers, potential employees, potential vendors, and suppliers, or any other individual or organisation irrespective of the value.
  - c) Under **no circumstances** should gifts, business courtesies or hospitality packages be accepted from or given to prospective suppliers participating in a tender process at the respective employee's Operating Division, regardless of retail value.
  - d) Gratuities, bribes or kickbacks of any kind must never be solicited, accepted or offered, either directly or indirectly. This includes money, loans, equity, special privileges, personal favours, benefit or services. Such favours will be considered to constitute corruption.

- 3.2 The Tenderer/Service Provider/Contractor commits itself to take all measures necessary to prevent corrupt practices, unfair means and illegal activities during any stage of its Tender or during any ensuing contract stage in order to secure the contract or in furtherance to secure it and in particular the Tenderer/Service Provider/Contractor commits to the following:
  - a) The Tenderer/Service Provider/Contractor will not, directly or through any other person or firm, offer, promise or give to Transnet or to any of Transnet's employees involved in the tendering process or to any third person any material or other benefit or payment, in order to obtain in exchange an advantage during the tendering process; and
  - b) The Tenderer/Service Provider/Contractor will not offer, directly or through intermediaries, any bribe, gift, consideration, reward, favour, any material or immaterial benefit or other advantage, commission, fees, brokerage or inducement to any employee of Transnet, connected directly or indirectly with the tendering process, or to any person, organisation or third party related to the contract in exchange for any advantage in the tendering, evaluation, contracting and implementation of the contract.
- 3.3 The Tenderer/Service Provider/Contractor will not collude with other parties interested in the contract to preclude a competitive Tender price, impair the transparency, fairness and progress of the tendering process, Tender evaluation, contracting and implementation of the contract. The Tenderer / Service Provider further commits itself to delivering against all agreed upon conditions as stipulated within the contract.
- 3.4 The Tenderer/Service Provider/Contractor will not enter into any illegal or dishonest agreement or understanding, whether formal or informal with other Tenderers/Service Providers/Contractors. This applies in particular to certifications, submissions or non-submission of documents or actions that are restrictive or to introduce cartels into the tendering process.
- 3.5 The Tenderer/Service Provider/Contractor will not commit any criminal offence under the relevant anti-corruption laws of South Africa or any other country. Furthermore, the Tenderer/Service Provider/Contractor will not use for illegitimate purposes or for restrictive purposes or personal gain, or pass on to others, any information provided by Transnet as part of the business relationship, regarding plans, technical proposals and business details, including information contained or transmitted electronically.
- 3.6 A Tenderer/Service Provider/Contractor of foreign origin shall disclose the name and address of its agents or representatives in South Africa, if any, involved directly or indirectly in the registration or tendering process. Similarly, the Tenderer / Service Provider / Contractor of South African nationality shall furnish

the name and address of the foreign principals, if any, involved directly or indirectly in the registration or tendering process.

- 3.7 The Tenderer/Service Provider/Contractor will not misrepresent facts or furnish false or forged documents or information in order to influence the tendering process to the advantage of the Tenderer/Service Provider/Contractor or detriment of Transnet or other competitors.
- 3.8 Transnet may require the Tenderer/Service Provider/Contractor to furnish Transnet with a copy of its code of conduct. Such code of conduct must address the compliance programme for the implementation of the code of conduct and reject the use of bribes and other dishonest and unethical conduct.
- 3.9 The Tenderer/Service Provider/Contractor will not instigate third persons to commit offences outlined above or be an accessory to such offences.
- 3.10 The Tenderer/Service Provider/Contractor confirms that they will uphold the ten principles of the United Nations Global Compact (UNGC) in the fields of Human Rights, Labour, Anti-Corruption and the Environment when undertaking business with Transnet as follows:
  - a) Human Rights
    - Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and
    - Principle 2: make sure that they are not complicit in human rights abuses.
  - b) Labour
    - Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
    - Principle 4: the elimination of all forms of forced and compulsory labour;
    - Principle 5: the effective abolition of child labour; and
    - Principle 6: the elimination of discrimination in respect of employment and occupation.
  - c) Environment
    - Principle 7: Businesses should support a precautionary approach to environmental challenges;
    - Principle 8: undertake initiatives to promote greater environmental responsibility; and

- Principle 9: encourage the development and diffusion of environmentally friendly technologies.

d) Anti-Corruption

- Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.

#### **4 INDEPENDENT TENDERING**

- 4.1 For the purposes of that Certificate in relation to any submitted Tender, the Tenderer declares to fully understand that the word "competitor" shall include any individual or organisation, other than the Tenderer, whether or not affiliated with the Tenderer, who:
  - a) has been requested to submit a Tender in response to this Tender invitation;
  - b) could potentially submit a Tender in response to this Tender invitation, based on their qualifications, abilities or experience; and
  - c) provides the same Goods and Services as the Tenderer and/or is in the same line of business as the Tenderer.
- 4.2 The Tenderer has arrived at his submitted Tender independently from, and without consultation, communication, agreement or arrangement with any competitor. However communication between partners in a joint venture or consortium will not be construed as collusive tendering.
- 4.3 In particular, without limiting the generality of paragraph 5 above, there has been no consultation, communication, agreement or arrangement with any competitor regarding:
  - a) prices;
  - b) geographical area where Goods or Services will be rendered [market allocation];
  - c) methods, factors or formulas used to calculate prices;
  - d) the intention or decision to submit or not to submit, a Tender;
  - e) the submission of a Tender which does not meet the specifications and conditions of the RFP; or
  - f) tendering with the intention of not winning the Tender.
- 4.4 In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications and conditions or delivery particulars of the Goods or Services to which his/her tender relates.

- 4.5 The terms of the Tender as submitted have not been, and will not be, disclosed by the Tenderer, directly or indirectly, to any competitor, prior to the date and time of the official Tender opening or of the awarding of the contract.
- 4.6 Tenderers are aware that, in addition and without prejudice to any other remedy provided to combat any restrictive practices related to Tenders and contracts, Tenders that are suspicious will be reported to the Competition Commission for investigation and possible imposition of administrative penalties in terms of section 59 of the Competition Act No 89 of 1998 and/or may be reported to the National Prosecuting Authority [NPA] for criminal investigation and/or may be restricted from conducting business with the public sector for a period not exceeding 10 [ten] years in terms of the Prevention and Combating of Corrupt Activities Act No 12 of 2004 or any other applicable legislation.
- 4.7 Should the Tenderer find any terms or conditions stipulated in any of the relevant documents quoted in the Tender unacceptable, it should indicate which conditions are unacceptable and offer alternatives by written submission on its company letterhead, attached to its submitted Tender. Any such submission shall be subject to review by Transnet's Legal Counsel who shall determine whether the proposed alternative(s) are acceptable or otherwise, as the case may be.

## 5 DISQUALIFICATION FROM TENDERING PROCESS

- 5.1 If the Tenderer/Service Provider/Contractor has committed a transgression through a violation of section 3 of this Integrity Pact or in any other form such as to put its reliability or credibility as a Tenderer/Service Provider/Contractor into question, Transnet may reject the Tenderer's / Service Provider's / Contractor's application from the registration or tendering process and remove the Tenderer/Service Provider/Contractor from its database, if already registered.
- 5.2 If the Tenderer/Service Provider/Contractor has committed a transgression through a violation of section 3, or any material violation, such as to put its reliability or credibility into question. Transnet may after following due procedures and at its own discretion also exclude the Tenderer/Service Provider /Contractor from future tendering processes. The imposition and duration of the exclusion will be determined by the severity of the transgression. The severity will be determined by the circumstances of the case, which will include amongst others the number of transgressions, the position of the transgressors within the company hierarchy of the Tenderer/Service Provider/Contractor and the amount of the damage. The exclusion will be imposed for up to a maximum of 10 (ten) years. However, Transnet reserves the right to impose a longer period of exclusion, depending on the gravity of the misconduct.

5.3 If the Tenderer/Service Provider/Contractor can prove that it has restored the damage caused by it and has installed a suitable corruption prevention system, or taken other remedial measures as the circumstances of the case may require, Transnet may at its own discretion revoke the exclusion or suspend the imposed penalty.

## **6 TRANSNET'S LIST OF EXCLUDED TENDERERS (BLACKLIST)**

6.1 The process of restriction is used to exclude a company/person from conducting future business with Transnet and other organs of state for a specified period. No Tender shall be awarded to a Tenderer whose name (or any of its members, directors, partners or trustees) appear on the Register of Tender Defaulters kept by National Treasury, or who have been placed on National Treasury's List of Restricted Suppliers. Transnet reserves the right to withdraw an award, or cancel a contract concluded with a Tenderer should it be established, at any time, that a tenderer has been restricted with National Treasury by another government institution.

6.2 All the stipulations on Transnet's restriction process as laid down in Transnet's Supply Chain Policy and Procurement Procedures Manual (CPM included) are included herein by way of reference. Below follows a condensed summary of this restriction procedure.

6.3 On completion of the restriction procedure, Transnet will submit the restricted entity's details (including the identity number of the individuals and registration number of the entity) to National Treasury for placement on National Treasury's Database of Restricted Suppliers for the specified period of exclusion. National Treasury will make the final decision on whether to restrict an entity from doing business with any organ of state for a period not exceeding 10 years and place the entity concerned on the Database of Restricted Suppliers published on its official website.

6.4 The decision to restrict is based on one of the grounds for restriction. The standard of proof to commence the restriction process is whether a "*prima facie*" (i.e. on the face of it) case has been established.

6.5 Depending on the seriousness of the misconduct and the strategic importance of the Goods/Services, in addition to restricting a company/person from future business, Transnet may decide to terminate some or all existing contracts with the company/person as well.

6.6 A Service Provider or Contractor to Transnet may not subcontract any portion of the contract to a blacklisted company.

6.7 Grounds for blacklisting include: If any person/Enterprise which has submitted a Tender, concluded a contract, or, in the capacity of agent or subcontractor, has been associated with such Tender or contract:

- a) Has, in bad faith, withdrawn such Tender after the advertised closing date and time for the receipt of Tenders;
- b) has, after being notified of the acceptance of his Tender, failed or refused to sign a contract when called upon to do so in terms of any condition forming part of the Tender documents;
- c) has carried out any contract resulting from such Tender in an unsatisfactory manner or has breached any condition of the contract;
- d) has offered, promised or given a bribe in relation to the obtaining or execution of the contract;
- e) has acted in a fraudulent or improper manner or in bad faith towards Transnet or any Government Department or towards any public body, Enterprise or person;
- f) has made any incorrect statement in a certificate or other communication with regard to the Local Content of his Goods or his B-BBEE status and is unable to prove to the satisfaction of Transnet that:
  - (i) he made the statement in good faith honestly believing it to be correct; and
  - (ii) before making such statement he took all reasonable steps to satisfy himself of its correctness;
- g) caused Transnet damage, or to incur costs in order to meet the contractor's requirements and which could not be recovered from the contractor;
- h) has litigated against Transnet in bad faith.

6.8 Grounds for blacklisting include a company/person recorded as being a company or person prohibited from doing business with the public sector on National Treasury's database of Restricted Service Providers or Register of Tender Defaulters.

6.9 Companies associated with the person/s guilty of misconduct (i.e. entities owned, controlled or managed by such persons), any companies subsequently formed by the person(s) guilty of the misconduct and/or an existing company where such person(s) acquires a controlling stake may be considered for

blacklisting. The decision to extend the blacklist to associated companies will be at the sole discretion of Transnet.

## 7 PREVIOUS TRANSGRESSIONS

- 7.1 The Tenderer/Service Provider/Contractor hereby declares that no previous transgressions resulting in a serious breach of any law, including but not limited to, corruption, fraud, theft, extortion and contraventions of the Competition Act 89 of 1998, which occurred in the last 5 (five) years with any other public sector undertaking, government department or private sector company that could justify its exclusion from its registration on the Tenderer's/Service Provider's/Contractor's database or any tendering process.
- 7.2 If it is found to be that the Tenderer/Service Provider/Contractor made an incorrect statement on this subject, the Tenderer/Service Provider/Contractor can be rejected from the registration process or removed from the Tenderer/Service Provider/Contractor database, if already registered, for such reason (refer to the Breach of Law Returnable Form contained in the document.)

## 8 SANCTIONS FOR VIOLATIONS

- 8.1 Transnet shall also take all or any one of the following actions, wherever required to:
  - a) Immediately exclude the Tenderer/Service Provider/Contractor from the tendering process or call off the pre-contract negotiations without giving any compensation to the Tenderer/Service Provider/Contractor. However, the proceedings with the other Tenderer/ Service Provider/Contractor may continue;
  - b) Immediately cancel the contract, if already awarded or signed, without giving any compensation to the Tenderer/Service Provider/Contractor;
  - c) Recover all sums already paid by Transnet;
  - d) Encash the advance bank guarantee and performance bond or warranty bond, if furnished by the Tenderer/Service Provider/Contractor, in order to recover the payments, already made by Transnet, along with interest;
  - e) Cancel all or any other contracts with the Tenderer/Service Provider/Contractor; and
  - f) Exclude the Tenderer/ Service Provider/Contractor from entering into any Tender with Transnet in future.

## 9 CONFLICTS OF INTEREST

- 9.1 A conflict of interest includes, inter alia, a situation in which:
  - a) A Transnet employee has a personal financial interest in a tendering / supplying entity; and

b) A Transnet employee has private interests or personal considerations or has an affiliation or a relationship which affects, or may affect, or may be perceived to affect his / her judgment in action in the best interest of Transnet, or could affect the employee's motivations for acting in a particular manner, or which could result in, or be perceived as favouritism or nepotism.

9.2 A Transnet employee uses his / her position, or privileges or information obtained while acting in the capacity as an employee for:

- Private gain or advancement; or
- The expectation of private gain, or advancement, or any other advantage accruing to the employee must be declared in a prescribed form.

Thus, conflicts of interest of any Tender committee member or any person involved in the sourcing process must be declared in a prescribed form.

9.3 If a Tenderer/Service Provider/Contractor has or becomes aware of a conflict of interest i.e. a family, business and / or social relationship between its owner(s)/ member(s)/director(s)/partner(s)/shareholder(s) and a Transnet employee/ member of Transnet's Board of Directors in respect of a Tender which will be considered for the Tender process, the Tenderer/Service Provider/ Contractor:

- must disclose the interest and its general nature, in the Request for Proposal ("RFX") declaration form; or
- must notify Transnet immediately in writing once the circumstances has arisen.

9.4 The Tenderer/Service Provider/Contractor shall not lend to or borrow any money from or enter into any monetary dealings or transactions, directly or indirectly, with any committee member or any person involved in the sourcing process, where this is done, Transnet shall be entitled forthwith to rescind the contract and all other contracts with the Tenderer/Service Provider/Contractor.

## 10 DISPUTE RESOLUTION

10.1 Transnet recognises that trust and good faith are pivotal to its relationship with its Tenderer / Service Provider / Contractor. When a dispute arises between Transnet and its Tenderer / Service Provider / Contractor, the parties should use their best endeavours to resolve the dispute in an amicable manner, whenever possible. Litigation in bad faith negates the principles of trust and good faith on which commercial relationships are based. Accordingly, following a blacklisting process as mentioned in paragraph 6 above, Transnet will not do business with a company that litigates against it in bad faith or is involved in any action that reflects bad faith on its part. Litigation in bad faith includes, but is not limited to the following instances:

a) **Vexatious proceedings:** these are frivolous proceedings which have been instituted without proper grounds;

- b) **Perjury:** where a Tenderer / Service Provider / Contractor make a false statement either in giving evidence or on an affidavit;
- c) **Scurrilous allegations:** where a Tenderer / Service Provider / Contractor makes allegations regarding a senior Transnet employee which are without proper foundation, scandalous, abusive or defamatory; and
- d) **Abuse of court process:** when a Tenderer / Service Provider / Contractor abuses the court process in order to gain a competitive advantage during a Tender process.

## 11 GENERAL

- 11.1 This Integrity Pact is governed by and interpreted in accordance with the laws of the Republic of South Africa.
- 11.2 The actions stipulated in this Integrity Pact are without prejudice to any other legal action that may follow in accordance with the provisions of the law relating to any civil or criminal proceedings.
- 11.3 The validity of this Integrity Pact shall cover all the tendering processes and will be valid for an indefinite period unless cancelled by either Party.
- 11.4 Should one or several provisions of this Integrity Pact turn out to be invalid the remainder of this Integrity Pact remains valid.
- 11.5 Should a Tenderer/Service Provider/Contractor be confronted with dishonest, fraudulent or corruptive behaviour of one or more Transnet employees, Transnet expects its Tenderer/Service Provider/Contractor to report this behaviour directly to a senior Transnet official/employee or alternatively by using Transnet's "Tip-Off Anonymous" hotline number 0800 003 056, whereby your confidentiality is guaranteed.

The Parties hereby declare that each of them has read and understood the clauses of this Integrity Pact and shall abide by it. To the best of the Parties' knowledge and belief, the information provided in this Integrity Pact is true and correct.

I ..... duly authorised by the tendering entity, hereby certify that the tendering entity are **fully acquainted** with the contents of the Integrity Pact and further **agree to abide by it** in full.

Signature .....

Date .....

## T2.2-15: ANNEX G Compulsory Enterprise Questionnaire

The following particulars hereunder must be furnished.

In the case of a Joint Venture, separate enterprise questionnaires in respect of each partner/member must be completed and submitted.

Section 1: Name of enterprise:

Section 2: VAT registration number, if any:

Section 3: CIDB registration number, if any

Section 4: CSD number:

Section 5: Particulars of sole proprietors and partners in partnerships

Name	Identity number	Personal income tax number

\* Complete only if sole proprietor or partnership and attach separate page if more than 3 partners

Section 6: Particulars of companies and close corporations

Company registration number:

Close corporation number:

Tax reference number:

**Section 7: The attached SBD4 must be completed for each tender and be attached as a tender requirement.**

**Section 8: The attached SBD 6 must be completed for each tender and be attached as a requirement.**

The undersigned, who warrants that he / she is duly authorised to do so on behalf of the enterprise:

- i) authorizes the Employer to obtain a tax clearance certificate from the South African Revenue Services that my / our tax matters are in order;
- ii) confirms that neither the name of the enterprise or the name of any partner, manager, director or other person, who wholly or partly exercises, or may exercise, control over the enterprise appears on the Register of Tender Defaulters established in terms of the Prevention and Combating of Corrupt Activities Act of 2004;
- iii) confirms that no partner, member, director or other person, who wholly or partly exercises, or may exercise, control over the enterprise appears, has within the last five years been convicted of fraud or corruption;
- iv) confirms that I / we are not associated, linked or involved with any other tendering entities submitting tender offers and have no other relationship with any of the tenderers or those responsible for compiling the scope of work that could cause or be interpreted as a conflict of interest; and
- v) confirms that the contents of this questionnaire are within my personal knowledge and are to the best of my belief both true and correct.

Signed

Date

Name

Position

Enterprise  
name

## SBD 6.1

### PREFERENCE POINTS CLAIM FORM

This preference form must form part of all bids invited. It contains general information and serves as a claim for preference points for Specific Goals contribution. Transnet will award preference points to companies who provide valid proof of evidence as per the table of evidence in paragraph 4.1 below.

#### 1. GENERAL CONDITIONS

- 1.1 The following preference point systems are applicable to all bids:
  - the 80/20 system for requirements with a Rand value of up to R50 000 000 (all applicable taxes included); and
  - the 90/10 system for requirements with a Rand value above R50 000 000 (all applicable taxes included).
- 1.2 The value of this bid is estimated to exceed R50 000 000 (all applicable taxes included) and therefore the **80/20** preference point system shall be applicable. Despite the stipulated preference point system, Transnet shall use the lowest acceptable bid to determine the applicable preference point system in a situation where all received acceptable bids are received outside the stated preference point system.
- 1.3 Preference points for this bid shall be awarded for:
  - (a) Price;
  - (b) B-BBEE Status Level of Contribution; and
  - (c) Any other specific goal determined in the Transnet preferential procurement policy
- 1.4 The maximum points for this bid are allocated as follows:

	POINTS
<b>Price</b>	<b>80</b>
<b>B-BBEE status level of contribution level 1 &amp; 2</b>	<b>10</b>
<b>30% black women owned entities</b>	<b>10</b>
<b>Total points for price and B-BBEE must not exceed</b>	<b>100</b>

- 1.5 Failure on the part of a bidder to submit proof of evidence required for any of the specific goals together with the bid will be interpreted to mean that preference points for that specific goal are not claimed.
- 1.6 The purchaser reserves the right to require of a bidder, either before a bid is adjudicated or at any time subsequently, to substantiate any claim in regard to preferences, in any manner required by the purchaser.

#### 2. DEFINITIONS

- (a) **“all applicable taxes”** includes value-added tax, pay as you earn, income tax, unemployment insurance fund contributions and skills development levies;
- (b) **“B-BBEE”** means broad-based black economic empowerment as defined in section 1 of the Broad-Based Black Economic Empowerment Act;
- (c) **“B-BBEE status level of contributor”** means the B-BBEE status received by a measured entity based on its overall performance using the relevant scorecard contained in the Codes of Good Practice on Black Economic Empowerment, issued in terms of section 9(1) of the Broad-Based Black Economic Empowerment Act;
- (d) **“bid”** means a written offer in a prescribed or stipulated form in response to an invitation by an organ of state for the supply/provision of services, works or goods, through price quotations, advertised competitive bidding processes or proposals;
- (e) **“Broad-Based Black Economic Empowerment Act”** means the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003);
- (f) **“EME”** means an Exempted Micro Enterprise as defined by Codes of Good Practice under section 9 (1) of the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003);
- (g) **“functionality”** means the ability of a bidder to provide goods or services in accordance with specification as set out in the bid documents
- (h) **“Price”** includes all applicable taxes less all unconditional discounts.
- (i) **“Proof of B-BBEE Status Level of Contributor”**
  - i) the B-BBEE status level certificate issued by an authorised body or person;
  - ii) a sworn affidavit as prescribed by the B-BBEE Codes of Good Practice; or
  - iii) any other requirement prescribed in terms of the B-BBEE Act.
- (j) **“QSE”** means a Qualifying Small Enterprise as defined by Codes of Good Practice under section 9 (1) of the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003);
- (k) **“rand value”** means the total estimated value of a contract in South African currency, calculated at the time of bid invitations, and includes all applicable taxes and excise duties.
- (l) **“Specific goals”** means targeted advancement areas or categories of persons or groups either previously disadvantaged or falling within the scope of the Reconstruction and Development Programme identified by Transnet to be given preference in allocation of procurement contracts in line with section 2(1) of the PPPFA.

### 3. POINTS AWARDED FOR PRICE

#### 3.1 THE 80/20 PREFERENCE POINT SYSTEMS

A maximum of 80 points is allocated for price on the following basis:

80/20

$$Ps = 80 \left( 1 - \frac{Pt - P_{\min}}{P_{\min}} \right)$$

Where

Ps = Points scored for comparative price of bid under consideration

Pt = Comparative price of bid under consideration

Pmin = Comparative price of lowest acceptable bid

#### 4. EVIDENCE REQUIRED FOR CLAIMING SPECIFIC GOALS

4.1 In terms of Transnet Preferential Procurement Policy (TPPP) and Procurement Manuals, preference points must be awarded to a bidder for providing evidence in accordance with the table below::

Specific Goals	Acceptable Evidence
B-BBEE Status contributor	B-BBEE Certificate / Sworn- Affidavit / B-BBEE CIPC Certificate (in case of JV, a consolidated scorecard will be accepted) as per DTIC guideline
30% Black Women Owned Entities	B-BBEE Certificate / Sworn- Affidavit / B-BBEE CIPC Certificate (in case of JV, a consolidated scorecard will be accepted) as per DTIC guideline

4.2 The table below indicates the required proof of B-BBEE status depending on the category of enterprises:

Enterprise	B-BBEE Certificate & Sworn Affidavit
<b>Large</b>	Certificate issued by SANAS accredited verification agency
<b>QSE</b>	Certificate issued by SANAS accredited verification agency Sworn Affidavit signed by the authorised QSE representative and attested by a Commissioner of Oaths confirming annual turnover and black ownership (only black-owned QSEs - 51% to 100% Black owned) [Sworn affidavits must substantially comply with the format that can be obtained on the DTI's website at <a href="http://www.dti.gov.za/economic_empowerment/bee_codes.jsp.">www.dti.gov.za/economic_empowerment/bee_codes.jsp.</a> ]
<b>EME<sup>1</sup></b>	Sworn Affidavit signed by the authorised EME representative and attested by a Commissioner of Oaths confirming annual turnover and black ownership Certificate issued by CIPC (formerly CIPRO) confirming annual turnover and black ownership

<sup>1</sup> In terms of the Implementation Guide: Preferential Procurement Regulations, 2017, Version 2, paragraph 11.11 provides that in the Transport Sector, EMEs can provide a letter from accounting officer or get verified and be issued with a B-BBEE certificate by SANAS accredited professional or agency as the Transport Sector Code has not been aligned to the generic Codes. EMEs in the Transport Sector are not allowed to provide a sworn affidavit as the generic codes are not applicable to them.

	Certificate issued by SANAS accredited verification agency only if the EME is being measured on the QSE scorecard
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- 4.3 A trust, consortium or joint venture (including unincorporated consortia and joint ventures) must submit a consolidated B-BBEE Status Level verification certificate for every separate bid.
- 4.4 Tertiary Institutions and Public Entities will be required to submit their B-BBEE status level certificates in terms of the specialized scorecard contained in the B-BBEE Codes of Good Practice.
- 4.5 A person will not be awarded points for B-BBEE status level if it is indicated in the bid documents that such a bidder intends sub-contracting more than 25% of the value of the contract to any other enterprise that does not qualify for at least the points that such a bidder qualifies for, unless the intended sub-contractor is an EME that has the capability and ability to execute the sub-contract.
- 4.6 A person awarded a contract may not sub-contract more than 25% of the value of the contract to any other enterprise that does not have an equal or higher B-BBEE status level than the person concerned, unless the contract is sub-contracted to an EME that has the capability and ability to execute the sub-contract.
- 4.7 Bidders are to note that the rules pertaining to B-BBEE verification and other B-BBEE requirements may be changed from time to time by regulatory bodies such as National Treasury or the DTI. It is the Bidder's responsibility to ensure that his/her bid complies fully with all B-BBEE requirements at the time of the submission of the bid.

## 5. BID DECLARATION

- 5.1 Bidders who claim points in respect of B-BBEE Status Level of Contribution must complete the following:

## 6. B-BBEE STATUS LEVEL OF CONTRIBUTION CLAIMED IN TERMS OF PARAGRAPHS 1.4 AND 6.1

- 6.1 B-BBEE Status Level of Contribution: . . . = .....(maximum of 10 points)

(Points claimed in respect of paragraph 6.1 must be in accordance with the table reflected in paragraph 4.1 and must be substantiated by relevant proof of B-BBEE status level of contributor.

## 7. SUB-CONTRACTING

- 7.1 Will any portion of the contract be sub-contracted?

**(*Tick applicable box*)**

YES      NO

### 7.1.1 If yes, indicate:

- i) What percentage of the contract will be subcontracted.....%
- ii) The name of the sub-contractor.....
- iii) The B-BBEE status level of the sub-contractor.....
- iv) Whether the sub-contractor is an EME or QSE.

***(Tick applicable box)***

YES  NO

## 8. DECLARATION WITH REGARD TO COMPANY/FIRM

8.1 Name of company/firm:.....

8.2 VAT registration number:.....

8.3 Company registration number:.....

#### 8.4 TYPE OF COMPANY/ FIRM

- Partnership/Joint Venture / Consortium
- One person business/sole property
- Close corporation
- Company
- (Pty) Limited

[TICK APPLICABLE BOX]

## 8.5 DESCRIBE PRINCIPAL BUSINESS ACTIVITIES

.....

---

COMPANY CLASSIFICATION

- Manufacturer
- Supplier
- Professional Service provider
- Other Service providers, e.g. transporter, etc.

Other Service p  
[ *TICK APPLICABLE BOX* ]

8.7 Total number of years the company/firm has been in business:.....

8.8 I/we, the undersigned, who is / are duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the B-BBE status level of contribution indicated in paragraphs 1.4 and 6.1 of the foregoing certificate, qualifies the company/ firm for the preference(s) shown and I / we acknowledge that:

- i) The information furnished is true and correct;
- ii) The preference points claimed are in accordance with the General Conditions as indicated in paragraph 1 of this form;
- iii) In the event of a contract being awarded as a result of points claimed as shown in paragraph 1.4 and 6.1, the contractor may be required to furnish documentary proof to the satisfaction of the purchaser that the claims are correct;
- iv) If a bidder submitted false information regarding its B-BBEE status level of contributor,, which will affect or has affected the evaluation of a bid, or where a bidder has failed to declare any subcontracting arrangements or any of the conditions of contract have not been fulfilled, the purchaser may, in addition to any other remedy it may have
  - (a) disqualify the person from the bidding process;
  - (b) recover costs, losses or damages it has incurred or suffered as a result of that person's conduct;
  - (c) cancel the contract and claim any damages which it has suffered as a result of having to make less favourable arrangements due to such cancellation;
  - (d) if the successful bidder subcontracted a portion of the bid to another person without disclosing it, Transnet reserves the right to penalise the bidder up to 10 percent of the value of the contract;
  - (e) recommend that the bidder or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted by the National Treasury from obtaining business from any organ of state for a period not exceeding 10 years, after the audi alteram partem (hear the other side) rule has been applied; and
  - (f) forward the matter for criminal prosecution.

WITNESSES

1. .....
2. .....

.....

SIGNATURE(S) OF BIDDERS(S)

DATE: .....

## 1. PURPOSE OF THE FORM

Any person (natural or juristic) may make an offer or offers in terms of this invitation to bid. In line with the principles of transparency, accountability, impartiality, and ethics as enshrined in the Constitution of the Republic of South

Africa and further expressed in various pieces of legislation, it is required for the bidder to make this declaration in respect of the details required hereunder.

Where a person/s are listed in the Register for Tender Defaulters and / or the List of Restricted Suppliers, that person will automatically be disqualified from the bid process.

## 2. Bidder's declaration

2.1 Is the bidder, or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest<sup>2</sup> in the enterprise, employed by the state? **YES/NO**

2.1.1 If so, furnish particulars of the names, individual identity numbers, and, if applicable, state employee numbers of sole proprietor/ directors / trustees / shareholders / members/ partners or any person having a controlling interest in the enterprise, in table below.

person connected with the bidder, have a relationship with any person who is employed by the procuring institution? **YES/NO**

### 2.2.1 If so, furnish particulars:

.....

2.3 Does the bidder or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest in the enterprise have any interest in any other related enterprise whether or not they are bidding for this contract? **YES/NO**

<sup>2</sup> the power, by one person or a group of persons holding the majority of the equity of an enterprise, alternatively, the person/s having the deciding vote or power to influence or to direct the course and decisions of the enterprise.

### 2.3.1 If so, furnish particulars:

.....  
.....

## 3 DECLARATION

I, ..... the ..... undersigned,  
(name) ..... in submitting  
the accompanying bid, do hereby make the following statements that I certify to  
be true and complete in every respect:

- 3.1 I have read and I understand the contents of this disclosure;
- 3.2 I understand that the accompanying bid will be disqualified if this disclosure is found not to be true and complete in every respect;
- 3.3 The bidder has arrived at the accompanying bid independently from, and without consultation, communication, agreement or arrangement with any competitor. However, communication between partners in a joint venture or consortium<sup>3</sup> will not be construed as collusive bidding.
- 3.4 In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications, prices, including methods, factors or formulas used to calculate prices, market allocation, the intention or decision to submit or not to submit the bid, bidding with the intention not to win the bid and conditions or delivery particulars of the products or services to which this bid invitation relates.
- 3.4 The terms of the accompanying bid have not been, and will not be, disclosed by the bidder, directly or indirectly, to any competitor, prior to the date and time of the official bid opening or of the awarding of the contract.
- 3.5 There have been no consultations, communications, agreements or arrangements made by the bidder with any official of the procuring institution in relation to this procurement process prior to and during the bidding process except to provide clarification on the bid submitted where so required by the institution; and the bidder was not involved in the drafting of the specifications or terms of reference for this bid.
- 3.6 I am aware that, in addition and without prejudice to any other remedy provided to combat any restrictive practices related to bids and contracts, bids that are suspicious will be reported to the Competition Commission for investigation and possible imposition of administrative penalties in terms of section 59 of the Competition Act No 89 of 1998 and or may be reported to the National Prosecuting Authority (NPA) for criminal investigation and or may be restricted from conducting business with the public sector for a period not exceeding ten (10) years in terms of the Prevention and Combating of Corrupt Activities Act No 12 of 2004 or any other applicable legislation.

<sup>3</sup> Joint venture or Consortium means an association of persons for the purpose of combining their expertise, property, capital, efforts, skill and knowledge in an activity for the execution of a contract.

---

I CERTIFY THAT THE INFORMATION FURNISHED IN PARAGRAPHS  
1, 2 and 3 ABOVE IS CORRECT.

I ACCEPT THAT THE STATE MAY REJECT THE BID OR ACT AGAINST ME IN  
TERMS OF PARAGRAPH 6 OF PFMA SCM INSTRUCTION 03 OF 2021/22 ON  
PREVENTING AND COMBATING ABUSE IN THE SUPPLY CHAIN MANAGEMENT  
SYSTEM SHOULD THIS DECLARATION PROVE TO BE FALSE.

.....  
Signature

.....  
Date

.....  
Position

.....  
Name of bidder

## **T2.2-16 Agreement in terms of Protection of Personal Information Act, 4 of 2013 ("POPIA")**

### **1. PREAMBLE AND INTRODUCTION**

- 1.1. The rights and obligation of the Parties in terms of the Protection of Personal Information Act, 4 of 2013 ("POPIA") are included as forming part of the terms and conditions of this contract.

### **2. PROTECTION OF PERSONAL INFORMATION**

- 2.1. The following terms shall bear the same meaning as contemplated in Section 1 of the Protection of Person information act, No. of 2013 "(POPIA)":  
consent; data subject; electronic communication; information officer; operator; person; personal information; processing; record; Regulator; responsible party; special information; as well as any terms derived from these terms.
- 2.2. The Operator will process all information by the Transnet in terms of the requirements contemplated in Section 4(1) of the POPIA:  
Accountability; Processing limitation; Purpose specification; Further processing limitation; Information quality; Openness; Security safeguards and Data subject participation.
- 2.3. The Parties acknowledge and agree that, in relation to personal information of Transnet and the information of a third party that will be processed pursuant to this Agreement , the Operator is (.....) hereinafter Operator and the Data subject is "Transnet". Operator will process personal information only with the knowledge and authorisation of Transnet and will treat personal information and the information of a third party which comes to its knowledge as confidential and will not disclose it, unless so required by law or subject to the exceptions contained in the POPIA.
- 2.4. Transnet reserves all the rights afforded to it by the POPIA in the processing of any of its information as contained in this Agreement and the Operator is required to comply with all prescripts as detailed in the POPIA relating to all information concerning Transnet.
- 2.5. In terms of this Agreement, the Operator acknowledges that it will obtain and have access to personal information of Transnet and the information of a third party and agrees that it shall only process the information disclosed by Transnet in terms of this Agreement and only for the purposes as detailed in this Agreement and in accordance with any applicable law.
- 2.6. Should there be a need for the Operator to process the personal information and the information of a third party in a way that is not agreed to in this Agreement, the Operator must request consent from Transnet to the processing of its personal information or and the information of a third party in a manner other than that it was collected for, which consent cannot be unreasonably withheld.

- 2.7. Furthermore, the Operator will not otherwise modify, amend or alter any personal information and the information of a third party submitted by Transnet or disclose or permit the disclosure of any personal information and the information of a third party to any third party without prior written consent from Transnet.
- 2.8. The Operator shall, at all times, ensure compliance with any applicable laws put in place and maintain sufficient measures, policies and systems to manage and secure against all forms of risks to any information that may be shared or accessed pursuant to the services offered to Transnet in terms of this Agreement (physically, through a computer or any other form of electronic communication).
- 2.9. The Operator shall notify Transnet in writing of any unauthorised access to personal information and the information of a third party, cybercrimes or suspected cybercrimes, in its knowledge and report such crimes or suspected crimes to the relevant authorities in accordance with applicable laws, after becoming aware of such crimes or suspected crime. The Operator must inform Transnet of the breach as soon as it has occurred to allow Transnet to take all necessary remedial steps to mitigate the extent of the loss or compromise of personal information and the information of a third party and to restore the integrity of the affected personal information as quickly as is possible.
- 2.10. Transnet may, in writing, request the Operator to confirm and/or make available any personal information and the information of a third party in its possession in relation to Transnet and if such personal information has been accessed by third parties and the identity thereof in terms of the POPIA.
- 2.11. Transnet may further request that the Operator correct, delete, destroy, withdraw consent or object to the processing of any personal information and the information of a third party relating to the Transnet or a third party in the Operator's possession in terms of the provision of the POPIA and utilizing Form 2 of the POPIA Regulations .
- 2.12. In signing this addendum that is in terms of the POPIA, the Operator hereby agrees that it has adequate measures in place to provide protection of the personal information and the information of a third party given to it by Transnet in line with the 8 conditions of the POPIA and that it will provide to Transnet satisfactory evidence of these measures whenever called upon to do so by Transnet.

**The Operator is required to provide confirmation that all measures in terms of the POPIA are in place when processing personal information and the information of a third party received from Transnet:**

YES	
NO	

2.13. Further, the Operator acknowledges that it will be held liable by Transnet should it fail to process personal information in line with the requirements of the POPIA. The Operator will be subject to any civil or criminal action, administrative fines or other penalty or loss that may arise as a result of the processing of any personal information that Transnet submitted to it.

2.14. Should a Tenderer have any complaints or objections to processing of its personal information, by Transnet, the Tenderer can submit a complaint to the Information Regulator on <https://www.justice.gov.za/inforeg/>, click on contact us, click on complaints.IR@justice.gov.za

### **3. SOLE AGREEMENT**

3.1. The Agreement, constitute the sole agreement between the parties relating to the subject matter referred to in paragraph 1.1 of this and no amendment/variation/change shall be of any force and effect unless reduced to writing and signed by or on behalf of both parties.

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 2021

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

..... (Pty) Ltd

(Operator)

Authorised signatory for and on behalf of .....(Pty) Ltd who warrants that he/she is duly authorised to sign this Agreement.

#### **AS WITNESSES:**

1. Name: \_\_\_\_\_

Signature: \_\_\_\_\_

2. Name: \_\_\_\_\_

Signature: \_\_\_\_\_



## T2.2-17 : Supplier Code of Conduct

Transnet SOC Limited aims to achieve the best value for money when buying or selling goods and obtaining services. This however must be done in an open and fair manner that supports and drives a competitive economy. Underpinning our process are several acts and policies that any supplier dealing with Transnet must understand and support. These are:

- The Transnet Procurement Policy – A guide for Tenderers.
- Section 217 of the Constitution - the five pillars of Public PSCM (Procurement and Supply Chain Management): fair, equitable, transparent, competitive and cost effective;
- The Public Finance Management Act (PFMA);
- The Broad Based Black Economic Empowerment Act (BBBEE)
- The Prevention and Combating of Corrupt Activities Act (PRECCA); and
- The Construction Industry Development Board Act (CIDB Act).

This code of conduct has been included in this contract to formally appraise Transnet Suppliers of Transnet's expectations regarding behaviour and conduct of its Suppliers.

### ***Prohibition of Bribes, Kickbacks, Unlawful Payments, and Other Corrupt Practices***

Transnet is in the process of transforming itself into a self-sustaining State Owned Enterprise, actively competing in the logistics industry. Our aim is to become a world class, profitable, logistics organisation. As such, our transformation is focused on adopting a performance culture and to adopt behaviours that will enable this transformation.

#### ***1. Transnet SOC Limited will not participate in corrupt practices. Therefore, it expects its suppliers to act in a similar manner.***

- Transnet and its employees will follow the laws of this country and keep accurate business records that reflect actual transactions with, and payments to, our suppliers.
- Employees must not accept or request money or anything of value, directly or indirectly, from suppliers.
- Employees may not receive anything that is calculated to:
  - Illegally influence their judgement or conduct or to ensure the desired outcome of a sourcing activity;

- Win or retain business or to influence any act or decision of any person involved in sourcing decisions; or
  - Gain an improper advantage.
- There may be times when a supplier is confronted with fraudulent or corrupt behaviour of Transnet employees. We expect our Suppliers to use our "Tip-offs Anonymous" Hot line to report these acts. (0800 003 056).

**2. *Transnet SOC Limited is firmly committed to the ideas of free and competitive enterprise.***

- Suppliers are expected to comply with all applicable laws and regulations regarding fair competition and antitrust practices.
- Transnet does not engage with non-value adding agents or representatives solely for the purpose of increasing BBBEE spend (fronting).

**3. *Transnet's relationship with suppliers requires us to clearly define requirements, to exchange information and share mutual benefits.***

- Generally, suppliers have their own business standards and regulations. Although Transnet cannot control the actions of our suppliers, we will not tolerate any illegal activities. These include, but are not limited to:
  - Misrepresentation of their product (origin of manufacture, specifications, intellectual property rights, etc);
  - Collusion;
  - Failure to disclose accurate information required during the sourcing activity (ownership, financial situation, BBBEE status, etc.);
  - Corrupt activities listed above; and
  - Harassment, intimidation or other aggressive actions towards Transnet employees.
- Suppliers must be evaluated and approved before any materials, components, products or services are purchased from them. Rigorous due diligence is conducted and the supplier is expected to participate in an honest and straight forward manner.
- Suppliers must record and report facts accurately, honestly and objectively. Financial records must be accurate in all material respects.

### ***Conflicts of Interest***

A conflict of interest arises when personal interests or activities influence (or appear to influence) the ability to act in the best interests of Transnet SOC Limited.

- Doing business with family members.
- Having a financial interest in another company in our industry

Where possible, contracts will be negotiated to include the above in the terms of such contracts. To the extent such terms are not included in contractual obligations and any of the above code is breached, then Transnet reserves its right to review doing business with these suppliers.

I, \_\_\_\_\_ of \_\_\_\_\_

*(insert name of Director or as per Authority Resolution from Board of Directors)* \_\_\_\_\_ *(insert name of Company)*

hereby acknowledge having read, understood and agree to the terms and conditions set out in the "Transnet Supplier Code of Conduct."

Signed this on day

\_\_\_\_\_ at: \_\_\_\_\_

\_\_\_\_\_  
Signature



## T2.2-18 SUPPLIER DECLARATION FORM

Transnet Vendor Management has received a request to load / change your company details onto the Transnet vendor master database. Please return the completed Supplier Declaration Form (SDF) together with the required supporting documents as per Appendix A to the Transnet Official who is intending to procure your company's services / products, to enable us to process this request. Please only submit the documentation relevant to your request.

**Please Note:** all organisations, institutions and individuals who wish to provide goods and/or services to organs of the State must be registered on the National Treasury's Central Supplier Database (CSD). This needs to be done via their portal at <https://secure.csd.gov.za/> before applying to Transnet.

### General Terms and Conditions:

**Please Note:** Failure to submit the relevant documentation will delay the vendor creation / change process.

Where applicable, the respective Transnet Operating Division processing your application may request further or additional information from your company.

The Service Provider warrants that the details of its bank account ("the nominated account") provided herein, are correct and acknowledges that payments due to the Supplier will be made into the nominated account. If details of the nominated account should change, the Service Provider must notify Transnet in writing of such change, failing which any payments made by Transnet into the nominated account will constitute a full discharge of the indebtedness of Transnet to the Supplier in respect of the payment so made. Transnet will incur no liability for any payments made to the incorrect account or any costs associated therewith. In such an event, the Service Provider indemnifies and holds Transnet harmless in respect of any payments made to an incorrect bank account and will, on demand, pay Transnet any costs associated herewith.

Transnet expects its suppliers to timeously renew their Tax Clearance and B-BBEE certificates (Large Enterprises and QSEs less than 51% black owned) as well as sworn affidavits in the case of EMEs and QSEs with more than 51% black ownership as per Appendices C and D.

**In addition, please take note of the following very important information:**

**1. If your annual turnover is R10 million or less,** then in terms of the DTI Generic Codes of Good Practice, you are classified as an Exempted Micro Enterprise (EME). If your company is classified as an EME, please include in your submission a sworn affidavit confirming your company's most recent annual turnover is less than R10 million and percentage of black ownership and black female ownership in the company (Appendix C) OR B-BBEE certificate issued by a verification agency accredited by SANAS in terms of the EME scorecard should you feel you will be able to attain a better B-BBEE score. It is only in this context that an EME may submit a B-BBEE verification certificate. These EME sworn affidavits must be accepted by the . Government introduced this mechanism specifically to reduce the cost of doing business and regulatory burden for these entities and the template for the sworn affidavit is available at no cost on the website [www.thedti.gov.za](http://www.thedti.gov.za) or EME certificates at CIPC from [www.cipic.co.za](http://www.cipic.co.za).

The B-BBEE Commission said "that only time an EME can be verified by a SANAS accredited verification professional is when it wishes to maximise its B-BBEE points and move to a higher B-BBEE recognition level, and that must be done use the QSE Scorecard".

**2. If your annual turnover is between R10 million and R50 million,** then in terms of the DTI codes, you are classified as a Qualifying Small Enterprise (QSE). A QSE which is at least 51% black owned, is required to submit a sworn affidavit confirming their annual total revenue of between R10 million and R50 million and level of black ownership (Appendix D). QSE 'that does not qualify for 51% of black ownership, are required to submit a B-BBEE verification certificate issued by a verification agency accredited by SANAS their QSEs are required to submit a B-BBEE verification certificate issued by a verification agency accredited by SANAS.

**Please Note:** B-BBEE certificate and detailed scorecard should be obtained from an accredited rating agency (e.g. SANAS Member).

**3. If your annual turnover exceeds R50 million,** then in terms of the DTI codes, you are classified as a Large Enterprise. Large Enterprises are required to submit a B-BBEE level verification certificate issued by a verification agency accredited by SANAS.

**Please Note:** B-BBEE certificate and detailed scorecard should be obtained from an accredited rating agency (e.g. SANAS Member).

**4. The supplier to furnish proof to the procurement department as required in the Fourth Schedule of the Income Tax Act. 58 of 1962** whether a supplier of service is to be classified as an "employee", "personal service provider" or "labour broker". Failure to do so will result in the supplier being subject to employee's tax.



**5. No payments can be made to a vendor until the** vendor has been registered / updated, and no vendor can be registered / updated until the vendor application form, together with its supporting documentation, has been received and processed. No payments can be made to a vendor until the vendor has met / comply with the procurement requirements.

6. It is in line with PPPFA Regulations, only valid B-BBEE status level certificate issued by an unauthorised body or person OR a sworn affidavit as prescribed by the B-BBEE Codes of Good Practice, OR any other requirement prescribed in terms of the Broad- Based Black Economic Empowerment Act.

7. The B-BBEE Commission advises entities and organs of state to reject B-BBEE certificates that have been issued by verification agencies or professionals who are not accredited by South African National Accreditation Systems ("SANAS") as such B-BBEE certificates are invalid for lack of authority and mandate to issue them. A list of SANAS Accredited agencies is available on the SANAS website at [www.sanas.co.za](http://www.sanas.co.za).

8. Presenting banking details. Please note: Banks have decided to enable the customers and provide the ability for customers to generate Account Confirmation/Bank Account letters via their online platform; this is a digital approach to the authentication of banking details.



## SUPPLIER DECLARATION FORM

### Supplier Declaration Form

**Important Notice:** all organisations, institutions and individuals who wish to provide goods and/or services to organs of the State must be registered on the National Treasury Central Supplier Database (CSD). This needs to be done via their portal at <https://secure.csd.gov.za/> before applying to Transnet.

CSD Number (MAAA):

Company Trading Name						
Company Registered Name						
Company Registration No Or ID No If a Sole Proprietor						
Company Income Tax Number						
Form of Entity	CC	Trust	Pty Ltd	Limited	Partnership	Sole Proprietor
	Non-profit (NPO's or NPC)	Personal Liability Co	State Owned Co	National Govt	Provincial Govt	Local Govt
	Education al Institution	Specialise d Profession	Financial Institution	Joint Venture	Foreign International	Foreign Branch Office

Did your company previously operate under another name?		Yes	No			
If <b>YES</b> state the previous details below:						
Trading Name						
Registered Name						
Company Registration No Or ID No If a Sole Proprietor						
Form of Entity	CC	Trust	Pty Ltd	Limited	Partnership	Sole Proprietor
	Non-profit (NPO's or NPC)	Personal Liability Co	State Owned Co	National Govt	Provincial Govt	Local Govt
	Education al Institution	Specialise d Profession	Financial Institution	Joint Venture	Foreign International	Foreign Branch Office

Your Current Company's VAT Registration Status					
VAT Registration Number					
If <b>Exempted from VAT registration</b> , state reason and submit proof from SARS in confirming the exemption status					
If your business entity is not VAT Registered, please submit a current original sworn affidavit (see example in Appendix I). Your Non VAT Registration must be confirmed annually.					



Company Banking Details		Bank Name	
Universal Branch Code		Bank Account Number	

Company Physical Address			Code	
Company Postal Address			Code	
Company Telephone number				
Company Fax Number				
Company E-Mail Address				
Company Website Address				

Company Contact Person Name	
Designation	
Telephone	
Email	

Is your company a Labour Broker?	Yes	No	
Main Product / Service Supplied e.g. Stationery / Consulting / Labour etc.			
How many personnel does the business employ?	Full Time		Part Time
Please Note: Should your business employ more than 2 full time employees who are not connected persons as defined in the Income Tax Act, please submit a sworn affidavit, as per Appendix II.			

Most recent Financial Year's Annual Turnover	<R10Million <b>EME</b>	>R10Million <R50Million <b>QSE</b>	>R50Million <b>Large Enterprise</b>
--	---------------------------	--	--

Does your company have a valid proof of B-BBEE status?	Yes	No	
Please indicate your Broad Based BEE status (Level 1 to 9)	1	2	3 4 5 6 7 8 9
Majority Race of Ownership			
% Black Ownership	% Black Women Ownership	% Black Disabled person(s) Ownership	% Black Youth Ownership
% Black Unemployed	% Black People Living in Rural Areas	% Black Military Veterans	

**Please Note:** Please provide proof of B-BBEE status as per Appendix C and D:

- Large Enterprise and QSEs with less than 51% black ownership need to obtain a B-BBEE certificate and detailed scorecard from an accredited rating agency;
- EMEs and QSEs with at least 51% black ownership may provide an affidavit using the templates provided in Appendix C and D respectively;



- Black Disabled person(s) ownership will only be accepted if accompanied with a certified letter signed by a physician on the physician's letterhead confirming the disability;
- A certified South African identification document will be required for all Black Youth Ownership.

<b>Supplier Development Information Required</b>				
<b>EMPOWERING SUPPLIER</b>	YES <input type="radio"/> NO <input type="radio"/>			
An Empowering Supplier is a B-BBEE compliant Entity which complies with at least three criteria if it is a large Entity, or one criterion if it is a Qualifying Small Enterprise ("QSE"), as detailed in Statement 400 of the New Codes.				
In terms of the requirements of an Empowering Supplier, numerous companies found it challenging to meet the target of 25% transformation of raw materials or beneficiation including local manufacturing, particularly so, if these companies imported goods or products from offshore. The matter was further compounded by the requirement for 25% of Cost of Sales, excluding labour cost and depreciation, to be procured from local producers or suppliers.				
<b>FIRST TIME SUPPLIER</b>	YES <input type="radio"/> NO <input type="radio"/>			
A supplier that we haven't as yet Traded within Transnet and will be registered via our database for the 1 <sup>st</sup> time.				
<b>SUPPLIER DEVELOPMENT PLAN</b>	YES <input type="radio"/> NO <input type="radio"/>			
Supplier Development Plan is a plan that when we as Transnet award a supplier a long term contract depending on the complexity of the Transaction. We will negotiate supplier development obligations that they must meet throughout the contract duration. e.g. we might request that they (create jobs or do skills development or encourage procurement from designated groups. (BWO, BYO & BDO etc.).				
<b>DEVELOPMENT PLAN DOCUMENT</b>	YES <input type="radio"/> NO <input type="radio"/>			
Agreed plan that will be crafted with the supplier in regards to their development (It could be for ED OR SD in terms of their developmental needs they may require with the company).	*If Yes- Attach supporting documents			
<b>ENTERPRISE DEVELOPMENT BENEFICIARY</b>	YES <input type="radio"/> NO <input type="radio"/>			
A supplier that is not as yet in our value chain that we are assisting in their developmental area.				
<b>SUPPLIER DEVELOPMENT BENEFICIARY</b>	YES <input type="radio"/> NO <input type="radio"/>			
A supplier that we are already doing business with or transacting with and we are also assisting them assisting them				



in their developmental area e.g. (They might require training or financial assistance etc.)				
<b>GRADUATION FROM ED TO SD BENEFICIARY</b>  When a supplier that we assisted with as an ED beneficiary then gets awarded a business and we start Transacting with.	YES <input type="radio"/> NO <input type="radio"/>			
<b>ENTERPRISE DEVELOPMENT RECIPIENT</b>  A supplier that isn't in our value chain as yet but we have assisted them with an ED intervention	YES <input type="radio"/> NO <input type="radio"/>			

**By signing below, I hereby verify that I am duly authorised to sign for and on behalf of firm / organisation and that all information contained herein and attached herewith are true and correct**

Name and Surname		Designation	
Signature		Date	



## APPENDIX B

Affidavit or Solemn Declaration as to VAT registration status

### Affidavit or Solemn Declaration

I, \_\_\_\_\_ solemnly swear/declare that \_\_\_\_\_ is not a registered VAT vendor and is not required to register as a VAT vendor because the combined value of taxable supplies made by the provider in any 12 month period has not exceeded or is not expected to exceed R1million threshold, as required in terms of the Value Added Tax Act.

Signature: \_\_\_\_\_

Designation: \_\_\_\_\_

Date: \_\_\_\_\_

### Commissioner of Oaths

Thus signed and sworn to before me at \_\_\_\_\_ on this the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_,

the Deponent having knowledge that he/she knows and understands the contents of this Affidavit, and that he/she has no objection to taking the prescribed oath, which he/she regards binding on his/her conscience and that the allegations herein contained are all true and correct.

\_\_\_\_\_  
 Commissioner of Oaths




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**APPENDIX C**


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**SWORN AFFIDAVIT – B-BBEE QUALIFYING SMALL ENTERPRISE – GENERAL**


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I, the undersigned,

<b>Full name &amp; Surname</b>	
<b>Identity number</b>	

Hereby declare under oath as follows:

1. The contents of this statement are to the best of my knowledge a true reflection of the facts.
2. I am a Member / Director / Owner of the following enterprise and am duly authorised to act on its behalf:

<b>Enterprise Name:</b>	
<b>Trading Name (If Applicable):</b>	
<b>Registration Number:</b>	
<b>Enterprise Physical Address:</b>	
<b>Type of Entity (CC, (Pty) Ltd, Sole Prop etc.):</b>	
<b>Nature of Business:</b>	
<b>Definition of "Black People"</b>	<p>As per the Broad-Based Black Economic Empowerment Act 53 of 2003 as Amended by Act No 46 of 2013 "Black People" is a generic term which means Africans, Coloureds and Indians –</p> <p>(a) who are citizens of the Republic of South Africa by birth or descent; or</p> <p>(b) who became citizens of the Republic of South Africa by naturalisation-              i. before 27 April 1994; or              ii. on or after 27 April 1994 and who would have been entitled to acquire citizenship by naturalization prior to that date;"</p>
<b>Definition of "Black"</b>	Black Designated Groups means:



<b>Designated Groups"</b>	<p>(a) unemployed black people not attending and not required by law to attend an educational institution and not awaiting admission to an educational institution;</p> <p>(b) Black people who are youth as defined in the National Youth Commission Act of 1996;</p> <p>(c) Black people who are persons with disabilities as defined in the Code of Good Practice on employment of people with disabilities issued under the Employment Equity Act;</p> <p>(d) Black people living in rural and under developed areas;</p> <p>(e) Black military veterans who qualifies to be called a military veteran in terms of the Military Veterans Act 18 of 2011;"</p>
---------------------------	---

3. I hereby declare under Oath that:

- The Enterprise is \_\_\_\_\_ % Black Owned as per Amended Code Series 100 of the Amended Codes of Good Practice issued under section 9 (1) of B-BBEE Act No 53 of 2003 as Amended by Act No 46 of 2013,
- The Enterprise is \_\_\_\_\_ % Black Female Owned as per Amended Code Series 100 of the Amended Codes of Good Practice issued under section 9 (1) of B-BBEE Act No 53 of 2003 as Amended by Act No 46 of 2013,
- The Enterprise is \_\_\_\_\_ % Black Designated Group Owned as per Amended Code Series 100 of the Amended Codes of Good Practice issued under section 9 (1) of B-BBEE Act No 53 of 2003 as Amended by Act No 46 of 2013,
- Black Designated Group Owned % Breakdown as per the definition stated above:
- Black Youth % = \_\_\_\_\_ %
- Black Disabled % = \_\_\_\_\_ %
- Black Unemployed % = \_\_\_\_\_ %
- Black People living in Rural areas % = \_\_\_\_\_ %
- Black Military Veterans % = \_\_\_\_\_ %
- Based on the Financial Statements/Management Accounts and other information available on the latest financial year-end of \_\_\_\_\_, the annual Total Revenue was between



R10,000,000.00 (Ten Million Rands) and R50,000,000.00 (Fifty Million Rands),

- Please confirm on the table below the B-BBEE level contributor, **by ticking the applicable box.**

100% Black Owned	<b>Level One</b> (135% B-BBEE procurement recognition level)	
At Least 51% black owned	<b>Level Two</b> (125% B-BBEE procurement recognition level)	

4. I know and understand the contents of this affidavit and I have no objection to take the prescribed oath and consider the oath binding on my conscience and on the owners of the enterprise which I represent in this matter.

5. The sworn affidavit will be valid for a period of 12 months from the date signed by commissioner.

**Deponent Signature**

.....

**Date**

.....

**Commissioner of Oaths**

Signature & stamp



## APPENDIX D

### **SWORN AFFIDAVIT – B-BBEE EXEMPTED MICRO ENTERPRISE – GENERAL**

I, the undersigned,

<b>Full name &amp; Surname</b>	
<b>Identity number</b>	

Hereby declare under oath as follows:

1. The contents of this statement are to the best of my knowledge a true reflection of the facts.
2. I am a Member / Director / Owner of the following enterprise and am duly authorised to act on its behalf:

<b>Enterprise Name:</b>	
<b>Trading Name (If Applicable):</b>	
<b>Registration Number:</b>	
<b>Enterprise Physical Address:</b>	
<b>Type of Entity (CC, (Pty) Ltd, Sole Prop etc.):</b>	
<b>Nature of Business:</b>	
<b>Definition of “Black People”</b>	<p>As per the Broad-Based Black Economic Empowerment Act 53 of 2003 as Amended by Act No 46 of 2013 “Black People” is a generic term which means Africans, Coloureds and Indians –</p> <p>(a) who are citizens of the Republic of South Africa by birth or descent;</p> <p>or</p>

	<p>(b) who became citizens of the Republic of South Africa by naturalisation-</p> <ol style="list-style-type: none"> <li>before 27 April 1994; or</li> <li>on or after 27 April 1994 and who would have been entitled to acquire citizenship by naturalization prior to that date;"</li> </ol>
<b>Definition of "Black Designated Groups"</b>	<p>"Black Designated Groups means:</p> <ol style="list-style-type: none"> <li>unemployed black people not attending and not required by law to attend an educational institution and not awaiting admission to an educational institution;</li> <li>Black people who are youth as defined in the National Youth Commission Act of 1996;</li> <li>Black people who are persons with disabilities as defined in the Code of Good Practice on employment of people with disabilities issued under the Employment Equity Act;</li> <li>Black people living in rural and under developed areas;</li> <li>Black military veterans who qualifies to be called a military veteran in terms of the Military Veterans Act 18 of 2011;"</li> </ol>

3. I hereby declare under Oath that:

- The Enterprise is \_\_\_\_\_% Black Owned as per Amended Code Series 100 of the Amended Codes of Good Practice issued under section 9 (1) of B-BBEE Act No 53 of 2003 as Amended by Act No 46 of 2013,
- The Enterprise is \_\_\_\_\_% Black Female Owned as per Amended Code Series 100 of the Amended Codes of Good Practice issued under section 9 (1) of B-BBEE Act No 53 of 2003 as Amended by Act No 46 of 2013,
- The Enterprise is \_\_\_\_\_% Black Designated Group Owned as per Amended Code Series 100 of the Amended Codes of Good Practice issued under section 9 (1) of B-BBEE Act No 53 of 2003 as Amended by Act No 46 of 2013,
  
- Black Designated Group Owned % Breakdown as per the definition stated above:
- Black Youth % = \_\_\_\_\_%
- Black Disabled % = \_\_\_\_\_%
- Black Unemployed % = \_\_\_\_\_%



- Black People living in Rural areas % = \_\_\_\_\_ %
- Black Military Veterans % = \_\_\_\_\_ %
- Based on the Financial Statements/Management Accounts and other information available on the latest financial year-end of \_\_\_\_\_, the annual Total Revenue was R10,000,000.00 (Ten Million Rands) or less
- Please Confirm on the below table the B-BBEE Level Contributor, **by ticking the applicable box.**

100% Black Owned	<b>Level One</b> (135% B-BBEE procurement recognition	
At least 51% Black Owned	<b>Level Two</b> (125% B-BBEE procurement recognition level)	
Less than 51% Black Owned	<b>Level Four</b> (100% B-BBEE procurement recognition level)	

4. I know and understand the contents of this affidavit and I have no objection to take the prescribed oath and consider the oath binding on my conscience and on the Owners of the Enterprise which I represent in this matter.

5. The sworn affidavit will be valid for a period of 12 months from the date signed by commissioner.

**Deponent Signature**

.....

**Date**

.....

**Commissioner of Oaths**

Signature & stamp



### VENDOR REGISTRATION DOCUMENTS CHECKLIST

**Please note that you will have to provide the first two documents on the list (highlighted in red) and the rest will be provided by the supplier:**

	Yes	No
1. Complete the "Supplier Declaration Form" (SDF) (commissioned). See attachment.		
2. Complete the "Supplier Code of Conduct" (SCC). See attachment.		
3. Copy of cancelled cheque OR letter from the bank verifying banking details (with <b>bank stamp not older than 3 Months &amp; sign by Bank Teller</b> ).		
4. Certified ( <b>Not Older than 3 Months</b> ) copy of Identity document of Shareholders/Directors/Members (where applicable).		
5. Certified copy of certificate of incorporation, CM29 / CM9 (name change).		
6. Certified copy of share Certificates of Shareholders, CK1 / CK2 (if CC).		
7. A letter with the company's letterhead confirming both <b>Physical</b> and <b>Postal</b> address.		
8. Original or certified copy of SARS Tax Clearance certificate and Vat registration certificate.		
9. BBBEE certificate and detailed scorecard from a <b>SANAS</b> Accredited Verification Agency and/or Sworn Certified Affidavit.		
10. Central Supplier Database (CSD) Summary Registration Report.		



## **T2.2-19 Domestic Prominent Influential Persons (DPIP) Or Foreign Prominent Public Officials (FPPO)**

Transnet is free to procure the services of any person within or outside the Republic of South Africa in accordance with applicable legislation. Transnet shall not conduct or conclude business transactions, with any Respondents without having:

- Considered relevant governance protocols;
- Determined the DPIP or FPPO status of that counterparty; and
- Conducted a risk assessment and due diligence to assess the potential risks that may be posed by the business relationship.

As per the Transnet Domestic Prominent Influential Persons (DPIP) and Foreign Prominent Public Officials (FPPO) and Related Individuals Policy available on Transnet website <https://www.transnet.net/search/pages/results.aspx?k=FPIDP#k=DPIP>, Respondents are required to disclose any commercial relationship with a DPIP or FPPO (as defined in the Policy) by completing the following section:

<p>The below form contains personal information as defined in the Protection of Personal Information Act,</p> <p>2013 (the "Act"). By completing the form, the signatory consents to the processing of her/his personal information in accordance with the requirements of the Act. Consent cannot unreasonably be withheld.</p> <p><b>Is the Respondent</b>            (Complete with a "Yes" or "No")</p>					
<b>A DPIP/FPPO</b>		<b>Closely Related to a DPIP/FPPO</b>	<b>Closely Associated to a DPIP/FPPO</b>		
<p><b>List all known business interests, in which a DPIP/FPPO may have a direct/indirect interest or significant participation or involvement.</b></p>					
<b>No</b>	<b>Name of Entity /Business</b>	<b>Role in the Entity / Business (Nature of interest/ Participation)</b>	<b>Shareholding %</b>	<b>Registration Number</b>	<b>Status</b> (Mark the applicable option with an X)
					<b>Active</b>
1					
2					



TRANSNET NATIONAL PORTS AUTHORITY

TENDER NUMBER: TNPA/2023/11/0003/50556/RFQ

DESCRIPTION OF SERVICES: PROVISION OF ENVIRONMENTAL CONSULTANCY (AMENDMENT PROCESS)  
FOR THE CONSTRUCTION OF THE MARINE INFRASTRUCTURE AT THE PORT OF NGQURA.

Respondents declaring a commercial relationship with a DPIP or FPPO are to note that Transnet is required to annually publish on its website a list of all business contracts entered into with DPIP or FPPO. This list will include successful Respondents, if applicable.

## 2. SERVICE LEVELS

2.1 Transnet reserves the right to request that any member of the Service provider's team involved on the Transnet account be replaced if deemed not to be adding value for Transnet.

2.2 The Service provider guarantees that it will achieve a 95% [ninety-five per cent] service level on the following measures:

- a) Random checks on compliance with quality/quantity/specifications
- b) On-time delivery

2.3 The Service provider must provide a telephone number for customer service calls.

2.4 Failure of the Service provider to comply with stated service level requirements will give Transnet the right to cancel the contract in whole, without penalty to Transnet, giving 30 [thirty] calendar days' notice to the Service provider of its intention to do so.

### Acceptance of Service Levels:

YES		NO	
-----	--	----	--



## T2.2-20: Insurance provided by the *Consultant*

Clause 81.1 in NEC3 Professional Services Contract (June 2005)(amended June 2006 and April 2013) requires that the *Consultant* provides the insurance stated in the insurance table except any insurance which the *Employer* is to provide as stated in the Contract Data.

Please provide the following details for insurance which the *Consultant* is still to provide. Notwithstanding this information all costs related to insurance are deemed included in the tenderer's rates and prices.

Insurance against (See clause 81.1 of the PSC)	Minimum amount stated in the Contract Data & Name of Insurance Company	Cover	Premium
Liability of the <i>Consultant</i> for claims made against him arising out of his failure to use the skill and care normally used by professionals providing services similar to the <i>services</i>	The amount stated in the Contract Data		
Liability for death of or bodily injury to a person (not an employee of the <i>Consultant</i> ) or loss of or damage to property resulting from an action or failure to take action by the <i>Consultant</i>	The amount stated in the Contract Data for any one event		
Liability for death of or bodily injury to employees of the <i>Consultant</i> arising out of and in the course of their employment in connection with this contract	The greater of the amount required by the applicable law and the amount stated in the Contract Data for any one event		
(Other)			



## C1.1 FORM OF OFFER & ACCEPTANCE

### Offer

The Employer, identified in the Acceptance signature block, has solicited offers to enter into a contract for the procurement of:

**Provision Of Environmental Consultancy (Amendment Process) For The Construction Of The Marine Infrastructure At The Port Of Ngqura**

The tenderer, identified in the Offer signature block, has

examined the documents listed in the Tender Data and addenda thereto as listed in the Returnable Schedules, and by submitting this Offer has accepted the Conditions of Tender.

By the representative of the tenderer, deemed to be duly authorised, signing this part of this Form of Offer and Acceptance the tenderer offers to perform all of the obligations and liabilities of the NEC3 PSC *Consultant* under the contract including compliance with all its terms and conditions according to their true intent and meaning for an amount to be determined in accordance with the *conditions of contract* identified in the Contract Data.

The offered total of the Prices exclusive of VAT is	<b>R</b>
Value Added Tax @ 15% is	<b>R</b>
The offered total of the Prices inclusive of VAT is	<b>R</b>
(in words)	

This Offer may be accepted by the *Employer* by signing the Acceptance part of this Form of Offer and Acceptance and returning one copy of this document including the Schedule of Deviations (if any) to the tenderer before the end of the period of validity stated in the Tender Data, or other period as agreed, whereupon the tenderer becomes the party named as the *NEC3 PSC Consultant* in the *conditions of contract* identified in the Contract Data.



Signature(s)

Name(s)

Capacity

**for the  
tenderer:**

*(Insert name and address of organisation)*

Name &  
signature of  
witness

Date



## Acceptance

By signing this part of this Form of Offer and Acceptance, the *Employer* identified below accepts the tenderer's Offer. In consideration thereof, the *Employer* shall pay the *Consultant* the amount due in accordance with the *conditions of contract* identified in the Contract Data. Acceptance of the tenderer's Offer shall form an agreement between the *Employer* and the tenderer upon the terms and conditions contained in this agreement and in the contract that is the subject of this agreement.

The terms of the contract, are contained in:

- Part C1        Agreements and Contract Data, (which includes this Form of Offer and Acceptance)
- Part C2        Pricing Data
- Part C3        Scope of Services

and drawings and documents (or parts thereof), which may be incorporated by reference into the above listed Parts.

Deviations from and amendments to the documents listed in the Tender Data and any addenda thereto listed in the Returnable Schedules as well as any changes to the terms and *conditions of contract* of the Offer agreed by the tenderer and the *Employer* during this process of offer and acceptance, are contained in the Schedule of Deviations attached to and forming part of this Form of Offer and Acceptance. No amendments to or deviations from said documents are valid unless contained in this Schedule.

The tenderer shall within two weeks of receiving a completed copy of this agreement, including the Schedule of Deviations (if any), contact the *Employer's Agent* (whose details are given in the Contract Data) to arrange the delivery of any securities, bonds, guarantees, proof of insurance and any other documentation to be provided in terms of the *conditions of contract* identified in the Contract Data at, or just after, the date this agreement comes into effect. Failure to fulfil any of these obligations in accordance with those terms shall constitute a repudiation of this agreement.

Notwithstanding anything contained herein, this agreement comes into effect on the date of award of contract. Unless the tenderer (now the *NEC3 PSC Consultant*) within five working days of the date of such receipt notifies the *Employer* in writing of any reason why he cannot accept the contents of this agreement, this agreement shall constitute a binding contract between the Parties.



Signature(s)

Name(s)

Capacity

**for the  
Employer:**

Transnet SOC (Ltd)

Name &  
signature of  
witness

Date



## Schedule of Deviations

No.	Subject	Details
1	.....	.....
2	.....	.....
3	.....	.....
4	.....	.....
5	.....	.....
6	.....	.....
7	.....	.....

By the duly authorised representatives signing this Schedule of Deviations below, the *Employer* and the tenderer agree to and accept this Schedule of Deviations as the only deviations from and amendments to the documents listed in the Tender Data and any addenda thereto listed in the Tender Schedules, as well as any confirmation, clarification or changes to the terms of the Offer agreed by the tenderer and the Employer during this process of Offer and Acceptance.

It is expressly agreed that no other matter whether in writing, oral communication or implied during the period between the issue of the tender documents and the receipt by the tenderer of a completed signed copy of this Form shall have any meaning or effect in the contract between the parties arising from this Agreement.

**For the tenderer:****For the Employer**

Signature

Name

Capacity

On behalf  
of*(Insert name a***Transnet SOC (Ltd)**Name &  
signature  
of witness

Date



## C1.2 Contract Data

### Part one - Data provided by the *Employer*

Clause	Statement	Data
1	<b>General</b>	
	The <i>conditions of contract</i> are the core clauses and the clauses for main Option dispute resolution Option and secondary Options	<p>A: <b>Priced contract with activity schedule</b></p> <p>W1: <b>Dispute resolution procedure</b></p> <p>X2 <b>Changes in the law</b></p> <p>X7: <b>Delay damages</b></p> <p>X9: <b>Transfer of rights</b></p> <p>X10 <b>Employer's Agent</b></p> <p>X18: <b>Limitation of liability</b></p> <p>Z: <b>Additional conditions of contract</b></p>
	of the NEC3 Professional Services Contract (June 2005) (amended June 2006 and April 2013)	
10.1	The <i>Employer</i> is (Name): Address	<p><b>Transnet SOC Ltd</b></p> <p>Registered address:</p> <p><b>Transnet Corporate Centre</b>  <b>138 Eloff Street</b>  <b>Braamfontein</b>  <b>Johannesburg</b>  <b>2000</b></p>
	Having elected its Contractual Address for the purposes of this contract as:	<p><b>Transnet National Ports Authority</b></p> <p><b>eMendi Building</b>  <b>N2 Neptune Road</b>  <b>Off Klub Road</b>  <b>Port of Ngqura</b>  <b>Port Elizabeth</b>  <b>6100</b></p>



TRANSNET NATIONAL PORTS AUTHORITY

TENDER NUMBER: TNPA/2023/11/0003/50556/RFQ

DESCRIPTION OF SERVICES: PROVISION OF ENVIRONMENTAL CONSULTANCY (AMENDMENT PROCESS) FOR THE CONSTRUCTION OF THE MARINE INFRASTRUCTURE AT THE PORT OF NGQURA.

11.2(9)	The services are	Provision of environmental consultancy (amendment process) for the construction of the marine infrastructure at the port of Ngqura
11.2(10)	The following matters will be included in the Risk Register	
11.2(11)	The Scope is in	<b>Part C3.1: The Scope of the Contract Document</b>
12.2	The <i>law of the contract</i> is the law of	<b>the Republic of South Africa subject to the jurisdiction of the Courts of South Africa.</b>
13.1	The <i>language of this contract</i> is	<b>English</b>
13.3	The <i>period for reply</i> is	<b>2 (two) weeks</b>

## **2 The Parties' main responsibilities**

25.2	The <i>Employer</i> provides access to the following persons, places and things	<b>access to</b>	<b>access date</b>
		1	<b>Port of Ngqura</b>
		2	<b>To be advised</b>

## **3 Time**

31.2	The <i>starting date</i> is	<b>To be advised</b>	
11.2(3)	The <i>completion date</i> for the whole of the services is	<b>"X" Months after starting date.</b>	
11.2(6)	The <i>key dates</i> and the <i>conditions</i> to be met are:	<b>Condition to be met</b>	<b>key date</b>



TRANSNET NATIONAL PORTS AUTHORITY

TENDER NUMBER: TNPA/2023/11/0003/50556/RFQ

DESCRIPTION OF SERVICES: PROVISION OF ENVIRONMENTAL CONSULTANCY (AMENDMENT PROCESS) FOR THE CONSTRUCTION OF THE MARINE INFRASTRUCTURE AT THE PORT OF NGQURA.

1	Pre-application meeting with DFFE	To be advised
2	Initiation of the Amendment Process	To be advised
3	Public participation process	To be advised
4	Submission of the Amendment Report to DFFE and other relevant authorities	To be advised
5	I&AP Notification of DFFE decision	To be advised

31.1 The *Consultant* is to submit a first programme for acceptance within **2 (two) weeks of the Contract Date.**

32.2 The *Consultant* submits revised programmes at intervals no longer than **4 (four) weeks.**

#### **4 Quality**

40.2 The quality policy statement and quality plan are provided within **2 (two) weeks of the Contract Date.**

41.1 The *defects date* is **52 weeks after Completion of the whole of the services.**

#### **5 Payment**

50.1 The *assessment interval* is on the **25<sup>th</sup> day of each successive month.**

50.3	The expenses stated by the <i>Employer</i> are	Item	Amount
		Economy air fares	Charged at proven costs strictly on limits as set out in National Treasury Instructions as amended from time to time.
		Car hire not exceeding group B	Charged at proven costs strictly on limits as set out in National Treasury Instructions as amended from time to time.



		Accommodation	Charged at proven costs strictly on limits as set out in National Treasury Instructions as amended from time to time.
51.1	The period within which payments are made is	Payment will be effected on or before the last day of the month following the month during which a valid Tax Invoice and Statement were received.	
51.2	The <i>currency of this contract</i> is the	South African Rand (ZAR).	
51.5	The <i>interest rate</i> is	The prime lending rate of the Standard Bank of South Africa.	
<b>6</b>	<b>Compensation events</b>		No additional data required for this section of the <i>conditions of contract</i> .
<b>7</b>	<b>Rights to material</b>		No additional data required for this section of the <i>conditions of contract</i> .
<b>8</b>	<b>Indemnity, insurance and liability</b>		
81.1	The amounts of insurance and the periods for which the <i>Consultant</i> maintains insurance are	Event	Cover
	failure by the <i>Consultant</i> to use the skill and care normally used by professionals providing services similar to the services	Professional Indemnity insurance for not less than R5 000 000.00 (Five Million Rand) in respect of each claim, without limit to the number of claims	Period following Completion of the whole of the services or earlier termination  52 Weeks



<p>death of or bodily injury to a person (not an employee of the <i>Consultant</i>) or loss of or damage to property resulting from an action or failure to take action by the <i>Consultant</i></p>	<p><b>General Third Party Liability Insurance for all amounts falling within the excess of the policy, currently R50 000.00 (Fifty Thousand Rand) each and every claim, and/or for all amounts in excess of the policy limits as detailed in the policy document or whatever the <i>Consultant</i> deems desirable in respect of each claim, without limit to the number of claims</b></p>	<p><b>0 Weeks</b></p>
<p>death of or bodily injury to employees of the <i>Consultant</i> arising out of and in the course of their employment in connection with this contract</p>	<p><b>The minimum limit of indemnity for insurance in respect of death of or bodily injury to employees of the <i>Consultant</i> arising out of and in connection with this contract for any one event is that which is prescribed by the Compensation for Occupation Injuries and Diseases Act No. 130 of 1993 as amended.</b></p>	<p><b>0 Weeks</b></p>
<p>Motor Vehicle Liability Insurance</p>	<p><b>Comprising (as a minimum) “Balance of Third Party” Risks including Passenger Liability Indemnity for an amount of not less than R 10 000 000.00</b></p>	
<p>81.1 The <i>Employer</i> provides the following insurances</p>	<p><b>Professional Indemnity insurance in respect of failure of the <i>Consultant</i> to use the skill and care normally used by Professionals providing services similar to the services.</b></p> <p><b>General Third Party Liability cover in respect of death of or bodily injury to a person (not an employee of the <i>Consultant</i>) or loss of or damage to property resulting from an action or failure to take action by the <i>Consultant</i></b></p>	



82.1	The Consultant's total liability to the Employer for all matters arising under or in connection with this contract, other than the excluded matters, is limited to	<b>For all matters covered under the Employer's Professional Indemnity (PI) and General Third Party Liability policies, the Consultant's liability will be limited to the excesses applicable under the Employer's Professional Indemnity and General Third Party Liability policies as detailed in the policy wordings. The current excesses amounts to R5 000 000.00 (Five Million Rand) PI and R50 000.00 (Fifty Thousand Rand) General Third Party Liability, respectively, each and every claim. For all matters not covered under the Employer's Professional Indemnity and General Third Party Liability policies the Consultants liability will be limited to the final total of the Prices.</b>
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<b>9</b>	<b>Termination</b>	<b>No additional data required for this section of the <i>conditions of contract</i>.</b>
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<b>10</b>	<b>Data for main Option clause</b>	
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<b>A</b>	<b>Priced contract with activity schedule</b>	
21.3	The Consultant prepares forecasts of the total of the expenses at intervals of no longer than	<b>2 weeks.</b>

<b>11</b>	<b>Data for Option W1</b>	
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W1.1	The <i>Adjudicator</i> is	<b>Both parties will agree to an <i>Adjudicator</i> as and when a dispute arises. If the parties cannot reach an agreement on the <i>Adjudicator</i>, the Chairman of the Association of Arbitrators (Southern Africa) will appoint an <i>Adjudicator</i>.</b>
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W1.2(3)	The <i>Adjudicator nominating body</i> is:	<b>the Association of Arbitrators (Southern Africa)</b>
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W1.4(2)	The <i>tribunal</i> is:	<b>Arbitration</b>
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W1.4(5)	The <i>arbitration procedure</i> is	<b>The latest addition of the South African Rules for the Conduct of Arbitrations of the Association of Arbitrators (Southern Africa)</b>
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The place where arbitration is to be held is **Port Elizabeth, South Africa**

The person or organisation who will choose an arbitrator

- if the Parties cannot agree a choice or
- if the *arbitration procedure* does not state who selects an arbitrator, is

**The Chairman of the Association of Arbitrators (Southern Africa)**

<b>12</b>	<b>Data for secondary Option clauses</b>	
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<b>X2</b>	<b>Changes in the law</b>	
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X2.1	The <i>law of the project</i> is	<b>South African Law.</b>
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**X7 Delay damages**

X7.1	Delay damages for late Completion of the whole of the services are	2.5 % of the Contract Value per day	description	amount per day
		1		R0,04 cents/ R100 of the value of section 1
		2		R0.04cents/ R100 of the value of section 2
		3		R etc
Remainder of the services			R etc	

**X9 Transfer of rights**

The **Employer** owns the **Consultant** rights over any of the material whatsoever prepared for the Services of this Contract by the **Consultant**. The **Consultant** provides on request by the **Employer's Agent**, all documentation in whatever form as required (native's, PDF's, CD's, etc) and all other material items which transfer these rights to the **Employer**.

**X10 The Employer's Agent**

X10.1 The **Employer's Agent** is

Name:

Lungelo Mkhungo

Address

Transnet National Ports Authority

eMendi Building  
N2 Neptune Road  
Off Klub Road  
Port of Ngqura  
Port Elizabeth  
6100

The authority of the **Employer's Agent** is

**Fully empowered to act on behalf of the Employer for the services covered by the contract.**

**X18 Limitation of liability**

X18.1 The **Consultant's** liability to the **Employer** for indirect or consequential loss is limited to:

Nil



X18.2 The *Consultant's* liability to the *Employer* for Defects that are not found until after the *defects date* is limited to:

**The cost of correcting the defect (The Total of the Prices)**

X18.3 The *end of liability date* is

**2 (Two) years after Completion of the whole of the services.**

## **Z Additional conditions of contract**

The *additional conditions of contract* are

### **Z1 Obligations in respect of Joint Venture Agreements**

Z1.1

Insert the additional core clause 21.5

21.5.1 In the instance that the *Consultant* is a joint venture, the *Consultant* shall provide the *Employer* with a certified copy of its signed joint venture agreement, and in the instance that the joint venture is an 'Incorporated Joint Venture,' the Memorandum of Incorporation, within 4 (four) weeks of the Contract *starting date*.

The Joint Venture agreement shall contain but not be limited to the following:

- A brief description of the Contract and the Deliverables;
- The name, physical address, communications addresses and *domicilium citandi et executandi* of each of the constituents and of the Joint Venture;
- The constituents' interests;
- A schedule of the insurance policies, sureties, indemnities and guarantees which must be taken out by the Joint Venture and by the individual constituents;
- Details of an internal dispute resolution procedure;



- Written confirmation by all of the constituents:
  - i. of their joint and several liability to the *Employer* to Provide the *services*;
  - ii. proof of separate bank account/s in the name of the joint venture;
  - iii. identification of the leader in the joint venture confirming the authority of the leader to bind the joint venture through the *Consultant's* representative;
  - iv. Identification of the roles and responsibilities of the constituents to provide the *services*.
- Financial requirements for the Joint Venture:
  - i. the working capital requirements for the Joint Venture and the extent to which and manner whereby this will be provided and/or guaranteed by the constituents from time to time;
  - ii. the names of the auditors and others, if any, who will provide auditing and accounting services to the Joint Venture

Z1.2

Insert additional core clause 21.6

21.6. The *Consultant* shall not alter its composition or legal status of the Joint Venture without the prior approval of the *Employer*.

## **Z2 Additional obligations in respect of Termination**

Z2.1

The following will be included under core clause 90.1:  
 In the second main bullet, after the word 'partnership' add 'joint venture whether incorporate or otherwise (including any constituent of the joint venture)' and

Under the second main bullet, insert the following additional bullets after the last sub-bullet:

- commenced business rescue proceedings
- repudiated this Contract

Z2.2

*Clause 90.5 is added as an additional clause*

Where all or part of the Services are suspended for a period of six months or more either party may terminate the Contract by notifying the other.

## **Z3 Right Reserved by the *Employer* to Conduct Vetting through SSA**



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Z3.1

The *Employer* reserves the right to conduct vetting through State Security Agency (SSA) for security clearances of any *Consultant* who has access to National Key Points for the following without limitations:

1. Confidential – this clearance is based on any information which may be used by malicious, opposing or hostile elements to harm the objectives and functions of an organ of state.
2. Secret – clearance is based on any information, which may be used by malicious, opposing or hostile elements to disrupt the objectives and functions of an organ of state.
3. Top Secret – this clearance is based on information, which may be used by malicious, opposing or hostile elements to neutralise the objectives and functions of an organ of state.

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**Z4 Additional Clause Relating to the *Employer's* rights to take appropriate action**

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**Z4.1 The contract award is made without prejudice to any rights the *Employer* may have to take appropriate action later with regard to:**

Z4.1.1

Any declared, exposed or confirmed tender rigging.

The *Consultant* further undertakes:

not to give or cause any offer, payment, consideration, or benefit of any kind, which constitutes or could be construed as an illegal or corrupt practice, either directly or indirectly, as an inducement or reward for the award or in execution of this contract.

Z  
4.1.2

To comply with all laws, regulations or policies relating to the prevention and combating of bribery, corruption and money laundering to which it or the *Employer* is subject, including but not limited to the Prevention and Combating of Corrupt Activities Act, 12 of 2004.

Z4.1.3

The *Consultant*'s breach of this clause constitutes grounds for terminating the *Consultant*'s obligation to Provide the Services or taking any other action as appropriate against the *Consultant* (including civil or criminal action). However, lawful inducements and rewards shall not constitute grounds for termination.

Z4.1.4

If the *Consultant* is found guilty by a competent court, administrative or regulatory body of participating in illegal or corrupt practices, including but not limited to the making of offers (directly or indirectly), payments, gifts, gratuity, commission or benefits of any kind, which are in any way whatsoever in connection with the contract with the *Employer*, the *Employer* shall be entitled to terminate the contract forthwith and take any other action as appropriate against the *Consultant* (including civil or criminal action).

**Z4.2 The contract award is made without prejudice to any rights the *Employer* may have to take appropriate action later with regard to:**

**Z4.3 The contract award is made without prejudice to any rights the *Employer* may have to take appropriate action later with regard to:**

Politically Exposed Persons including any allegations with regards to State Capture.

Registration by any State Entity on the National Treasury Register of Restricted Suppliers or Registry of Tender defaulters.

## **Z5 Protection of Personal Information Act**

Z5.1

The *Employer* and the *Consultant* are required to process information obtained for the duration of the Contract in a manner that is aligned to the Protection of Personal Information Act.

**Z6 Time**

Z6.1

*Clause 33.2. is added as an additional clause.*

The *Employer* may at any time suspend part or all of the services. As a consequence, if the *Consultant* is required to demobilise and then remobilise its staff and equipment, the *Consultant* will be reimbursed at cost. The *Consultant* will be required to reduce and mitigate all its costs during the period of suspension and will be entitled to compensation only to the extent that it can demonstrate it has incurred costs which were not capable of being mitigated.

**Z7 Compensation Events**

Z7.1

Clause 61.4: The first bullet point is amended to read as follows: arises from the fault, error, negligence or default of the *Consultant*.

**Z8 Limitation of liability**

Z8.1

Add to core clause 82.1 and X18

For the avoidance of doubt the parties expressly agree that the total liability of the *Consultant* to the *Employer* applies jointly and severally across all organisations comprising of the *Consultant*.

**Z9 Additional clauses relating to cession of rights**

Z9.1

The *Consultant* shall not cede any rights under this contract without the approval of the *Employer*.

Z9.2

The *Employer* may on written notice to the *Consultant* cede and assign its rights and obligations under this contract to any of its subsidiaries or any of its present divisions or operations which may be converted into separate legal entities as a result of the restructuring of the *Employer*.

**Z10 Additional clauses relating to interpretation of the law**

Z10.1

Add to core clause 12.3 Any extension, concession, waiver or relaxation of any action by the Parties, the *Employers' Agent* or *Adjudicator* does not constitute a waiver of rights and does not give rise to an Estoppel or Lien, unless the Parties agree otherwise and confirm such an agreement in writing.

**Z11 Employer's Step in rights**

Z11.1

If the *Consultant* defaults by failing to comply with his obligations and fails to remedy such default within 2 weeks of the notification of the default by the *Employer's Agent*, the *Employer*, without prejudice to



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his other rights, powers and remedies under the contract, may remedy the default either himself or procure a third party (including any *sub-consultant* or supplier of the *Consultant*) to do so on his behalf. The reasonable costs of such remedial works shall be borne by the *Consultant*.

Z11.2

The *Consultant* co-operates with the *Employer* and facilitates and permits the use of all required information, materials and other matter (including but not limited to documents and all other drawings, CAD materials, data, software, models, plans, designs, programs, diagrams, evaluations, materials, specifications, schedules, reports, calculations, manuals or other documents or recorded information (electronic or otherwise) which have been or are at any time prepared by or on behalf of the *Consultant* under the contract or otherwise for and/or in connection with any subsequent works) and generally does all things required by the *Employers' Agent* to achieve this end.

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## C1.2 Contract Data

### Part two - Data provided by the *Consultant*

The tendering consultant is advised to read both the NEC3 Professional Services Contract (April 2013) and the relevant parts of its Guidance Notes (PSC3-GN) in order to understand the implications of this Data which the tenderer is required to complete. An example of the completed Data is provided on pages 151 to 159 of the PSC3 Guidance Notes.

Completion of the data in full, according to Options chosen, is essential to create a complete contract.

Clause	Statement	Data
10.1	The <i>Consultant</i> is (Name):  Address  Tel No.  Fax No.	
22.1	The <i>Consultant's key persons</i> are:  1 Name:  Job:  Responsibilities:  Qualifications:  Experience:  2 Name:  Job  Responsibilities:  Qualifications:  Experience:  Info.	<b>CV's (and further <i>key persons</i> data including CVs) are appended to Tender Schedule entitled.....</b>
11.2(3)	The <i>completion date</i> for the whole of the services is	
11.2(10)	The following matters will be included in the Risk Register	
11.2(13)	The <i>staff rates</i> are:	<b>name/designation</b> <b>rate</b>



TRANSNET NATIONAL PORTS AUTHORITY

TENDER NUMBER: TNPA/2023/11/0003/50556/RFQ

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		access to	access date
25.2	The <i>Employer</i> provides access to the following persons, places and things	1	
		2	
		3	

31.1	The programme identified in the Contract Data is
------	--

		item	amount
50.3	The <i>expenses</i> stated by the <i>Consultant</i> are		

**A Priced contract with activity schedule**

11.2(14)	The <i>activity schedule</i> is in	
11.2(18)	The tendered total of the Prices is	.....(in figures) .....(in words), excluding VAT

## PART C2: PRICING DATA

Document reference	Title	No of pages
C2.1	Pricing instructions: Option A	1
C2.2	Activity Schedule	3

## C2.1 Pricing instructions: Option A

### 1.1 The *conditions of contract*

### 1.2 How the contract prices work and assesses it for progress payment

Clause 11 in NEC3 Professional Services Contract (PSC), June 2005 (with amendments June 2006 and April 2013) Option A states:

**Identified 11 and defined 11.2 terms** (14) The Activity Schedule is the *activity schedule* unless later changed in accordance with this contract.

(15) The Price for Services Provided to Date is the total of the Prices for the activities which have been completed. A completed activity is one which is without Defects which would delay immediately following work.

(18) The Prices are the lump sums for each of the activities on the Activity Schedule unless later changed in accordance with this contract.

### 1.3 Measurement and Payment

- 1.3.1 The activity schedule provides the basis of all valuations of the Price for Services Provided to Date, payments in multiple currencies and general progress monitoring.
- 1.3.2 The amount due at each assessment date is based on activities and/or milestones completed as indicated on the activity schedule.
- 1.3.3 The activity schedule work breakdown structure provided by the Consultant is based on the activity schedule provided by the Employer. **The activities listed by the Employer are the minimum activities acceptable and identify the specific activities which are required to achieve Completion. The activity schedule work breakdown structure is compiled to the satisfaction of the Employer with any additions and/or amendments deemed necessary.**
- 1.3.4 The Consultant's detailed activity schedule summates back to the activity schedule provided by the Employer and is in sufficient detail to monitor completion of activities related to the Accepted Programme in order that payment of completed activities may be assessed.
- 1.3.5 The Prices are obtained from the activity schedule. The Prices includes for all direct and indirect costs, overheads, profits, oncosts, risks, liabilities, obligations, etc. relative to the contract.

## C2.2 Activity Schedule

The Tenderer details his **Activity Schedule** below or makes reference to his **Activity Schedule** and attaches it to this schedule. The tenderer must price for each of the activities listed on this activity schedule. In the event an activity is not priced for, the *Employer* will deem it as being included on the total sum of the price.

Activity No.	Activity Description	Price of each activity
1.	<b><u>Consultation with the client</u></b>	
1.1	Undertake a comprehensive review of the Project Scope, Engineering and Environmental Documents;	
1.2	Undertake a site visit of the Project Footprint;	
2.	<b><u>Authority Consultation</u></b>	
2.1	Arrange and undertake a pre-application consultation engagement with the National Department of Environmental Affairs (DFFE);	
2.2	Draft Minutes of Meeting held with relevant authorities i.e DFFE,	
2.3	Prepare and submit all required notifications of amendment to DFFE;	
2.4	Prepare and submit applications for amendment of the Environmental Authorisation and EMPr to DFFE, together with all other relevant, prescribed documents;	
3	<b><u>Public Participation Process</u></b>	
3.1	Develop and maintain comprehensive database of stakeholders (identifying key stakeholders)	
3.2	Development and distribution of Pre-application documents – BID, site notices etc.	
3.3	Advertisement of the environmental assessment process: - Prepare advert - Invitation to register - Notification of document review and public participation - Notification of DFFE decisions	
3.4	Distribution of draft EMPr for public review	
3.5	Organise and facilitate a public participation meeting (venue, facilitation, presentation etc.)	
3.6	Development of Comments and Responses report	
	Revise the Project Environmental Management Programme to align with Environmental Authorisation amendment requirements and specialist findings;	
4.	<b><u>Authority Review of Final EMPr</u></b>	
6.1	Authority site inspection & meeting regarding & EMPr report,	

6.2	Authority review & addressing DFFE queries	
<b>7.</b>	<b><u>Specialist Studies Required for EMPr Amendment</u></b>	
7.1	Marine Ecology	
7.2	Water Quality	
7.3	Marine Mammal Specialist	
<b>8.</b>	<b><u>Project Management &amp; Client Liaison:</u></b>	
<b>8.1</b>	<b>Progress Reports and Meetings</b>	
8.1	Monthly Progress Report 1	
8.2	Monthly Progress Report 2	
8.3	Monthly Progress Report 3	
8.4	Monthly Progress Report 4	
8.5	Monthly Progress Report 5	
8.6	Monthly Progress Report 6	
8.7	Monthly Progress Report 7	
8.8	Monthly Progress Report 8	
8.9	Monthly Progress Report 9	
8.10	Monthly Progress Report 10	
8.11	Monthly Progress Report 11	
8.12	Monthly Progress Report 12	
<b>9</b>	<b>Decision</b>	
9.1	Obtain and distribute Amended EMPr from DFFE to relevant stakeholders	
9.4	Management of the Appeal Process	
9.5	Collate Objections and respond to the DFFE and I&APs	
<b>Total of the Prices carried forward to the Form of Offer &amp; Acceptance (Excluding Vat)</b>		

\* This activity schedule is based on the initial scope of work as agreed on. Scope and timelines for deliverables may be modified due to changes in circumstances, with written consent required from both parties.

## PART C3: SCOPE OF SERVICES

Document reference	Title	No of pages
C3.1	The Scope	11
Total number of pages		11



# C3 Scope of services

## 1 General description of the services

### 1.1 Employer's objectives

The *Employer's* objective is to enter into a Professional Services Contract (PSC) with a Service Provider to provide Environmental Consultancy and Specialist Services for the proposed provision of a new Liquid Bulk Berth and associated infrastructure at the Port of Ngqura. The project area and scope is depicted in **Figure 1** below.



### 1.2 Background

The National Department of Forestry, Fisheries and the Environment (DFFE) issued an Environmental Authorisation (EA) (Ref: 14/12/16/3/3/2/475) on 24/11/2014 for the provision of Marine Infrastructure that includes Berth A100. Subsequent to this, an extension of the validity period of the EA in the form of a Part 1 Amendment process as defined in the EIA Regulations was undertaken and granted on 05/11/2019. A100 is a project component to the overall Marine Infrastructure EA.

All A100 equipment and infrastructure (including Loading Arms) are also included in the DFFE Environmental Authorisation (EA) (ECm1/LN2/M/11-57) for the Liquid Storage and Handling Facility.

A number of preconstruction monitoring requirements have been specified by the various Specialists during the EIA process and have been included in the Project Environmental Management Programme. This includes specific monitoring to be undertaken prior to the commencement of construction. The conditions of the EA which are onerous which have major implication for the execution of A100, emanated from identified impacts associated with the overall scope of the EIA.

Conditions and requirements of the project authorization have been based on the findings and recommendations of various specialist investigations undertaken as part of the Environmental Impact Assessment and Licensing Processes.

TNPA has undertaken Feasibility investigation for the proposed new Marine Infrastructure including A100, A101 and B101 with detailed engineering design up to 100% to allow for the Execution phase of the Berth A100 project. Based on the findings of the review it is expected that the optimized project scope will require amendment of the existing authorizations as prescribed by relevant Legislation.

Transnet National Ports Authority therefore seeks to appoint an Environmental Consultant to provide Consultancy and Specialist services required to obtain amendments of the Environmental Authorizations and to ensure compliance with the construction phase conditions of the EA and EMPr.

### 1.3 Objective

The TNPA's objective is to validate the existing Environmental Authorisation (EA) (DFFE Ref 14/12/16/3/3/2/475) in terms of the National Environmental Management Act (Act No. 107 of 1998) and or all further relevant environmental permits, licenses and authorizations required for the Tank Farm Berth: A100

The scope of services shall be executed as per the following task. A detailed description of the task is provided in Section 5 below:

#### Task 1: Environmental Authorization Processes

- To undertake review and ensure pre-construction methodology for Berth A100 including engineering and environmental reports and documents;
- Engage with relevant authorities to confirm required amendment processes;
- Apply for and obtain amendment of the existing Environmental Authorization (DFFE Reference Number: 14/12/16/3/3/2/475) and Project Environmental Management Programme (EMPr) for the Marine Infrastructure, in terms of the Environmental Impact Assessment (EIA) Regulations, 2014 as amended;
- Provide all Consultancy and Specialist Services that may be required as part of the EA and EMPr Amendment processes; and dumping at sea permit application process;
- Provide all required Project Management Services to facilitate the above processes.

## 2 Management and start up

### 2.1 Documentation control

The *Consultant* shall submit all documentation complying with the *Employer's* standards and requirements. The *Consultant* will issue all relevant documentation to the *Employer*, but control, maintenance and handling of these documents will be the *Consultant's* sole responsibility and at its expense, and managed with a suitable document control system.

Transfer of documents between parties should be submitted through the Transnet National Ports Authority (TNPA) Document Control Department.

### 2.2 Health & Safety Requirements

The *Consultant* and all appointed Specialists shall comply with the Health and Safety requirements contained in the TNPA Health and Safety Specification for the Project, the Occupational Health and Safety Act and Applicable Regulations as well as any other specifications and requirements that may be imposed for activities undertaken as outlined in this Scope of Services.

Compliance with the aforementioned shall be entirely at the *Consultant's* cost which shall be deemed to have been allowed for in the rates and prices.

The *Consultant* shall, in particular, comply with the following but not necessarily limited to:

- (i) The Compensation for Occupational Injuries and Diseases Act, no.130 of 1993. The *Consultant* shall produce proof of his registration and good standing with the Compensation Commissioner in terms of the Act and submit with his tender.
- (ii) Occupational Health and Safety Act (OHS Act), Act No. 85 of 1993.
- (iii) The Provisional Ordinances and Local Authority, by-laws and all relevant regulations framed there under.
- (iv) The *Consultant* and his employees as well as any other sub-consultants or specialists to be appointed shall have valid medicals and safety inductions when accessing or working in construction areas. Copies of which shall be submitted to the *Employer's Agent*. This will be at a time and location arranged by Transnet National Ports Authority. The *Consultant* should allow for this in his/her pricing.

All personnel working on site should have attended the health and safety induction course and be in possession of a permit to access the various sites.

### 2.3 Quality assurance requirements

The onus rests on the *Consultant* to produce work which will conform in quality and accuracy of detail to the requirements of the activities to be undertaken.

Quality control will be managed as per the *Consultant's* internal quality control procedures and any additional quality control requirements that may be stipulated in this document.

## 2.4 Consultant's management, supervision and key people

The *Consultant* shall provide an organizational structure showing key personnel and specialists and their lines of authority and communication.

## 2.5 Insurance provided by the Employer

Procedures for making insurance claims can be obtained from the *Employer's Agent*.

## 2.6 Contract change management

The standard reporting forms that shall be used will be provided to the *Consultant*.

# 3 Procurement

## 3.1 People

### 3.1.1 Preferred sub-consultants

The *Consultant* shall not appoint or bring sub-consultants onto site without the prior approval of the *Employer's Agent*, and all subcontractors will be required to conform to the requirements as set out herein as if they were employees of the *Consultant*.

The *Consultant* will be required to appoint specialists (where such specialist services are not available in-house) to undertake activities as specified in the description of services below. Curriculum Vitae (CVs) of all specialists should be included in the *Consultant's* submission and will be approved by TNPA.

### 3.1.2 Sub-consultant documentation, and assessment of sub-consultant tenders

The *Consultant* shall appoint his sub-consultants on the basis of the NEC3 PSC agreements, i.e. on the same terms and conditions applicable to the agreement between Transnet and the *Consultant*.

### 3.1.3 Attendance on sub-consultants

The *Consultant* shall ensure that the quality assurance requirements placed on him under this Contract are transferred to any sub-consultants.

### 3.1.4 Plant & Materials provided "free issue" by the Employer

No plant or materials are provided as "free issue" by the *Employer*.

# 4 Management structures

The Professional Services Contract shall indicate who the TNPA, project manager is. The TNPA project manager is fully empowered to act on behalf of TNPA for the services covered by the Contract. The project manager will accept, or not accept, the *Consultant's* assessment of the amount due in terms of the contract.

## 5 Description of the services

The appointed *Consultant* shall be required to provide:

- i) All services necessary to obtain relevant amendments of the existing authorisation and EMPr.

The detailed scope of service is provided in Section 5.1 below. The *Consultant* shall be responsible for overall project management of the Task to ensure that activities are undertaken within the required timeframes for completion, that services and reports are of good quality and that all deliverables as set out are met.

Project management shall include as a minimum the following where relevant:

- Project planning and management of all project tasks and deliverables;
- Hold project planning and coordination meetings;
- Submit project progress reports to the *Employer* at intervals to be agreed with the *Employer*;
- Attend and take minutes of *Employer*'s formal project progress meetings;
- Draw up and revise the project programmes for each Task, when necessary;
- Arrange and hold meetings with relevant environmental authorities, where required;
- Manage specialist investigations and activities;
- Manage review processes;
- Provide all required Reports;
- Liaise with *Employer*.

It is the *Consultant's* responsibility to ensure he/she is in possession and have full knowledge of the contents of the Project Scope Documents, Engineering designs, final environmental impact report and associated Appendices, the environmental authorization and environmental management programme relevant to the Berth A100 Project when providing the required services.

All services must be undertaken in accordance with the requirements of Environmental Legislation relevant to the Project including but not limited to:

- National Environmental management Act, 1998 (Act No. 107 of 1998);
- Environmental Impact Assessment Regulations, 2014 as amended;
- National Environmental Management: Integrated Coastal Management Act, 2008 (Act No. 24 of 2008).

## 5.1 Detailed Scope of Professional Services Required

### 5.1.1 Task: Environmental Authorization Processes

The *Consultant* shall provide services outlined below in accordance with requirements set out by relevant Environmental Legislation. Prior to initiating any legislative processes, the *Consultant* shall:

- Undertake a review the Project Scope, engineering and environmental documents; and
- Engage with relevant authorities to confirm required amendment process.

Upon receipt of confirmation from relevant Authorities regarding the nature of amendment process to be followed the *Consultant* shall provide the services outlined below:

#### **i) Amendment of Existing Environmental Authorization (DFFE Reference Number: 14/12/16/3/3/2/475) and Project Environmental Management Programme (EMPr)**

It is expected that the nature of the amendments required to the Environmental Authorisation and Project EMPr will fall within the ambit of Chapter 5 of the EIA Regulations 2014 as Amended:

- Sections 31 and 32 Part 2 Amendment Process; and
- Section 36 and 37 Part 4 amendment of Environmental Management Programme Process.

The *Consultant* shall provide all services required to obtain an amendment of the Environmental Authorisation and Project EMPr including public participation, specialist investigations and preparation of required reports and management plans;

The *Consultant* is required to provide a detailed activity schedule and cost breakdown for a Part 2 and Part 4 Amendment Process as prescribed by the EIA Regulations 2014 as amended.

Activities shall include but not necessarily be limited to the following:

- Undertake a review of the engineering design and construction methodology for Berth A100 including engineering and environmental reports and documents;
- Undertake a site visit of the Project Footprint;
- Arrange and undertake a pre-application consultation engagement with the National Department of Environmental Affairs (DFFE);
- Prepare and submit all required notifications of amendment to DFFE;
- Prepare and submit applications for amendment of the Environmental Authorisation and EMPr to DFFE, together with all other relevant, prescribed documents;
- Undertake all relevant specialist investigations required to support the applications for amendment, which shall include amongst others marine ecology, water quality and marine mammal specialist investigations and any other that DFFE and the *Consultant* may deem necessary;
- Revise the Project Environmental Management Programme to align with Environmental Authorisation amendment requirements and specialist findings;
- Prepare a report which shall address all aspects as outlined in Section 32 of the EIA Regulations, 2014 as amended and any other aspects that may have been agreed to with the Department;
- Undertake all public participation processes required for the Amendment process, in accordance with the requirements of the EIA Regulations, 2014 as amended;
- Submit the Report and revised EMPr to DFFE within the prescribed timeframes;
- Obtain an Amendment of the Environmental Authorisation and approval of Amended EMPr from DFFE;

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- Notify interested and affected parties of the Amendment and EMPr approval, within the prescribed timeframe.

## 5.2 Consulting Team Requirements

The *Consultants*' team requirements are as follows:

- a) The *Consultant* should acknowledge the deadlines and schedules associated with the activities to be undertaken.
- b) The *Consultant* should demonstrate experience of environmental work including specialist investigations and other assessments.
- c) The key personnel of the *Consultant* should have at least eight (8) years relevant experience.
- d) Any sub-consultants or specialists contracted by the appointed *Consultant* to undertake work on their behalf should have at least five (8) years' experience in their respective fields of specialisation.

The tender submission should, as a minimum:

- a) Demonstrate the *Consultants*' understanding of the Scope of Services.
- b) Include a detailed methodology.
- c) Include CV's showing experience, background and track record in similar types of projects.
- d) Provide a detailed team profile, including CV's of sub-consultants and specialists and an organizational structure demonstrating the key team member's skills, experience and their specific function in the team.

## 5.3 Contents of the Proposal

In order to be considered, the following information shall be provided:

- a) A title page indicating the tender number and subject, name of the Consultancy including sub-consultants, address and contact details.
- b) Table of content.
- c) Executive summary indicating the *Consultant*'s understanding of the Scope of Services and overview of the processes to be followed.
- d) Methodology and programme indicating specific tasks to be completed, identification of deliverables and key milestones in line with key dates provided by Transnet National Ports Authority. A programme (schedule) should be included which shows the individual tasks and associated timeframes for completion as well as professional hours.
- e) Organizational structure/chart indicating the key team members and their specific roles, as well as lines of communication between the team, the *Employer* and the *Employer's Agent*.

## 5.4 Programme

The tables below highlight key dates for the completion of Tasks and individual activities. The *Consultant's* proposal should be aligned with these dates.

**Task: Environmental Authorization Processes**

<b>Amendment of Existing Environmental Authorization (DFFE Ref 14/12/16/3/3/2/475) and Project Environmental Management Programme (EMPr)</b>				
<b>No.</b>	<b>Activity</b>	<b>Maximum time allowed</b>	<b>Start date</b>	<b>End date</b>
1.	Undertake a comprehensive review of the Project Scope, Engineering and Environmental Documents;	15 days		
2.	Undertake a site visit of the Project Footprint;			
3.	Arrange and undertake a pre-application consultation engagement with the National Department of Environmental Affairs (DFFE);			
4.	Prepare and submit all required notifications of amendment to DFFE;			
5.	Prepare and submit applications for amendment of the Environmental Authorisation and EMPr to DFFE, together with all other relevant, prescribed documents;			
6.	Undertake all relevant specialist investigations required to support the applications for amendment, which shall include amongst others marine ecology, water quality and marine mammal specialist investigations as well as any other that DFFE and the <i>Consultant</i> may deem necessary;			
7.	Revise the Project Environmental Management Programme to align with Environmental Authorisation amendment requirements and specialist findings;			
8.	Prepare a report which shall address all aspects as outlined in Section 32 of the EIA Regulations 2014 as amended and any other aspects that may have been agreed to with the Department;			
9.	Undertake all public participation processes required for the Amendment processes, in accordance with the requirements of the EIA Regulations 2014 as amended;			
10.	Submit the Report and revised EMPr to DFFE within the prescribed timeframes;	1 day		
11.	Obtain an Amendment of the Environmental Authorisation and approval of Amended EMPr from DFFE;	107 days		

<b>Amendment of Existing Environmental Authorization (DFFE Ref 14/12/16/3/3/2/475) and Project Environmental Management Programme (EMPr)</b>				
<b>No.</b>	<b>Activity</b>	<b>Maximum time allowed</b>	<b>Start date</b>	<b>End date</b>
12.	Notify interested and affected parties of the Amendment and EMPr approval, within the prescribed timeframe.			

## **5.5 Technical requirements**

The *Consultant* in the provision of services shall observe all relevant statutes, by-laws and associated regulations, applicable standards published by the South African Bureau of Standards, the International Organization for Standardisation or learned societies and standards of professional conduct, and “best practice”, as laid down, or recommended, by their respective professional associations, if any.

## **5.6 Ownership of Data, Designs and Documents**

The *Parties* shall agree that copyright in the data, design and documents shall, after payments by the *Employer* of the services to the *Consultant*, lie with the *Employer* subject to the *Employer*’s indemnification against any claim from any party that may arise as a result of the *Employer*’s use of such a document due to the *Consultants* infringement of copyright.

## **6 Information to be provided by the *Employer***

Transnet National Ports Authority will provide all relevant project, engineering and environmental documentation required to provide the services outlined above. These documents include, but are not limited to:

- Project Documents and Engineering designs will be provided to the preferred bidder upon award.

## **7 Facilities and Equipment to be provided by the *Employer***

No facilities or equipment is provided by the *Employer*.

## 8 Invoices

All invoices submitted by the *Consultant* shall be VAT invoices, which invoices shall be accompanied by a daily activity sheet covering the services together with, where relevant, a brief explanation as to what the time covered, the task order number and a full breakdown of expenses to which receipts relate.

### **Invoices are to be delivered to:**

Transnet National Ports Authority  
2<sup>nd</sup> Floor, Admin Building (eMendi)  
N2 Neptune Road  
Off Klub Road  
Port of Ngqura  
Port Elizabeth  
6212

**(Attention: Themba Ntanzi, TNPA Principal Project Manager)**