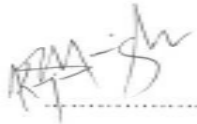
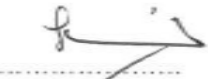


 Eskom	Standard	
---	----------	--

Title:	SHE Requirements for the Eskom Commercial Process	Unique identifier:	32-726
		Documentation type:	ST
		Revision:	0
		Effective Date	1 September 2011
		Total pages:	39
		Next Review Date:	N/A
		Disclosure Classification:	Controlled Disclosure

Compilers		Functional Responsibility	Authorised by
			
K Pillay	K Mansingh	K Pather	E Johnson
Senior Consultant	SHE Manager	Corporate OHS Manager	Chief Officer
Strategy and Risk Management	Group Capital	Strategy and Risk Management	Strategy and Risk Management
Date: <u>15/08/2011</u>	Date: _____	Date: <u>17/08/2011</u>	Date: <u>15/08/2011</u>

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

CONTENTS

	Page
1. INTRODUCTION	3
2. SUPPORTING CLAUSES.....	4
2.1 SCOPE	4
2.2 PURPOSE	4
2.3 APPLICABILITY	4
2.4 NORMATIVE/INFORMATIVE REFERENCES.....	5
2.5 DEFINITIONS.....	5
2.6 ABBREVIATIONS.....	6
2.7 ROLES AND RESPONSIBILITIES.....	6
2.7 PROCESS FOR MONITORING.....	8
2.8 RELATED/SUPPORTING DOCUMENTS.....	8
3. SHE REQUIREMENTS	8
4. AUTHORISATION.....	11
5. REVISIONS	12
6. DEVELOPMENT TEAM	12
7. ACKNOWLEDGEMENTS	12
ANNEXURE A: ESKOM SHE EVALUATION QUESTIONNAIRE FOR SUPPLIER ASSESSMENTS	13
ANNEXURE B: SHE REQUIREMENTS FOR TENDER ENQUIRIES.....	23
ANNEXURE C: SHE TENDER EVALUATION AND SCORING CARD (TRACKING SUBMISSION AND THE QUALITY THEREOF).....	27
ANNEXURE D: SHE POST-CONTRACT REVIEWS	36
ANNEXURE E – ENVIRONMENTAL STATUS RATING CERTIFICATE	38

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

1 INTRODUCTION

Eskom has embarked on a drive to create and sustain a world-class culture and standard of Safety, Health and the Environment (SHE). In order to achieve this culture and standard, there was a need to introduce strategies and requirements that would support this platform. One of the main aspects of this is supplier management and the way that Eskom contracts with suppliers, hence the need to define the minimum Safety, Health and Environmental (SHE) requirements that must be integrated into the Eskom Commercial process.

This standard addresses the minimum criteria for assessing supplier safety, health and environmental conformity with the corresponding standards, procedures and policies that an Eskom supplier has to achieve. These criteria will be used as part of the pre-qualification of suppliers and provide Eskom's clear expectations to prospective and existing suppliers.

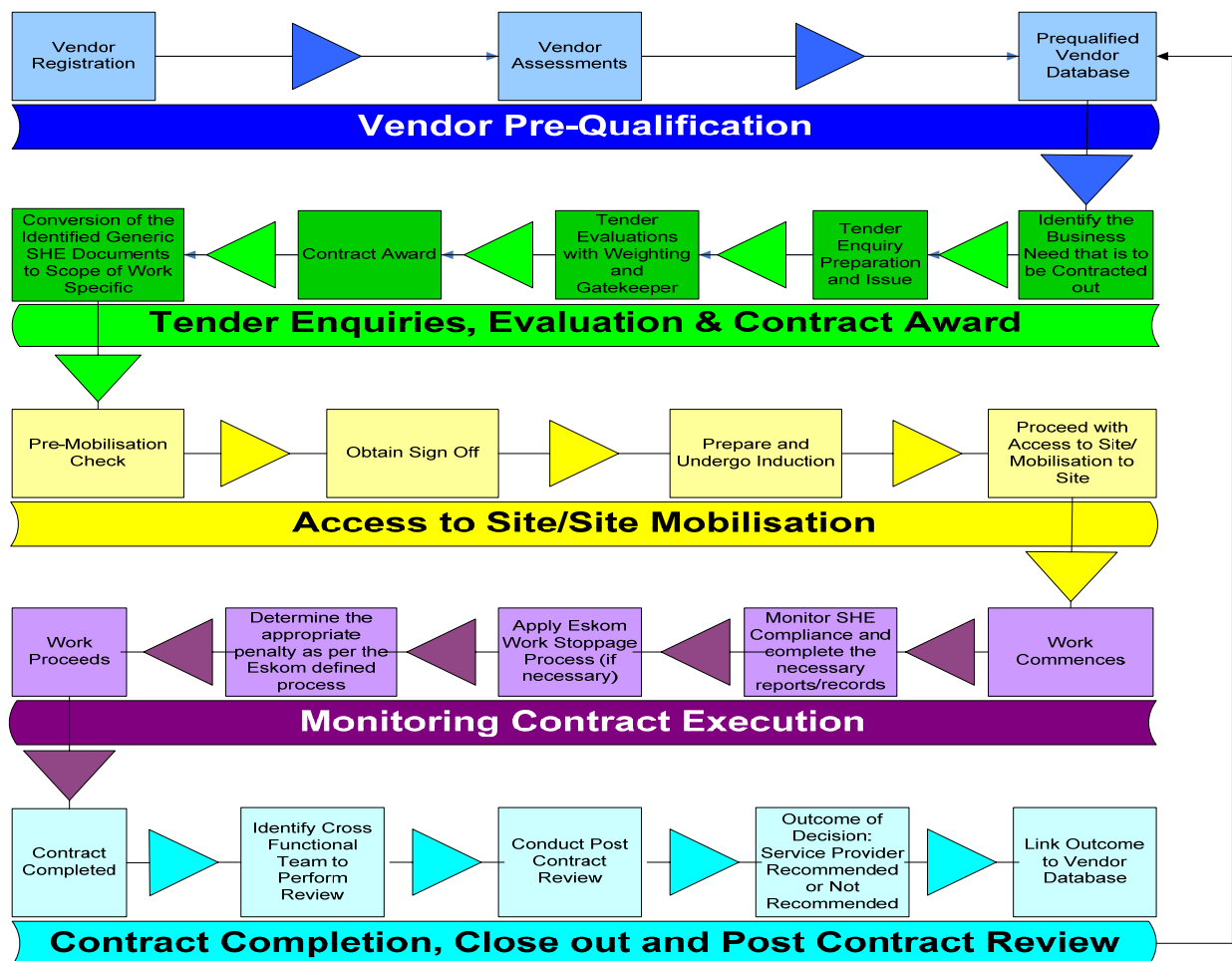


Figure 1: Summarised flowchart of the requirements, illustrating the activities undertaken in the various stages.

2 SUPPORTING CLAUSES

2.1 SCOPE

This standard outlines:

- key responsibilities of the Group Commercial Division, Line Management and SHE Functionaries;
- the minimum SHE criteria and requirements that shall be addressed during:
 - a) supplier registration onto Eskom supplier database,
 - b) tender enquiry, evaluation and contractor award
 - c) site to site/site mobilisation
 - d) monitoring performance during the contract execution period,
 - g) contract completion, close out and post contract review,
 - h) instances, where works and services under a contract can be suspended/ terminated,
 - j) suspension of suppliers from the Eskom supplier database.

2.2 PURPOSE

The purpose of this standard is to ensure standardisation within Eskom's commercial processes with regards to addressing SHE adequately. In order to achieve this, it is necessary to define: the SHE responsibilities of the Group Commercial Department, Line Management and SHE Functionaries; and the minimum generic safety, health and environmental requirements that must be met during the Commercial processes for all suppliers that Eskom engages with.

2.3 APPLICABILITY

The requirements contained in this document shall apply throughout Eskom Holdings Limited, its divisions, subsidiaries and entities in which Eskom has a controlling interest.

In cases where contracts are funded by National/International funders, then the requirements are to be considered in conjunction with the requirements contained within this standard. In cases where the funders' commercial processes supersede Eskom's commercial processes, discretion is allowed to ensure that there is compliance and that the SHE requirements are adequately addressed. Where the funder's SHE requirements are mandatory and are in conflict with the SHE requirements as set out in this standard, then the funder's requirements will take precedence and effort will be made to ensure that Eskom's requirements are aligned as far as is reasonably possible.

Requirements contained within this standard that may be found to be impracticable to comply with, shall be referred to via a motivation outlining: the scenario; the reasons as to why the requirement/s are impracticable; and suggested recommendations. This motivation must be signed off by the relevant line manager and supported by the SHE manager and submitted to the Divisional Senior Manager responsible for SHE. The Divisional Senior Manager for SHE will review and make a decision on whether the requirements can be departed from alternatively if unclear, will seek guidance from the Corporate OHS Manager.

2.4 NORMATIVE/INFORMATIVE REFERENCES

Parties using this document shall apply the most recent edition of the documents listed in the following paragraphs.

2.4.1 Normative

- [1] Eskom Safety, Health, Environment and Quality Policy 32-727.
- [2] Eskom's Procurement and Supply Chain Management Procedure 32-1034
- [3] Eskom Disciplinary Code Standard 32-196
- [4] Eskom Cardinal Rules Directive 32-421
- [5] Eskom Incident Management Procedure 32 -95
- [6] Occupational Health and Safety Act, Act 85 of 1993
- [7] Compensation for Occupational Injuries and Diseases Act, Act 130 of 1993
- [8] OHSAS 18001 Occupational Health and Safety Management Systems
- [9] ISO 14001: 2004 Environmental Management Systems
- [10] ISO 9001: 2008 Quality Management Systems
- [11] Mine Health and Safety Act, Act 29 of 1996, and Regulations
- [12] National Environmental Management: Air Quality Act, Act 32 of 2002
- [13] National Water Act, Act 36 of 1998, as amended
- [14] National Environmental Management Act, Act 107 of 1998
- [15] National Environmental Management: Waste Act 59 of 2008

2.4.2 Informative

- [1] Eskom Construction Safety, Health and Environmental Management 32-136
- [2] Preventive action identified from various incident investigation reports, identifying the need for SHE requirements to be addressed in the Eskom Commercial process.

2.5 DEFINITIONS

- a) **Contract Custodian:** the person defined in a contract as the Eskom agent or representative, for example, the Project Manager i.e. the person responsible for managing the contract and ensuring that the works or services are executed in terms of the contract.
- b) **Environmental Management Programme:** is a programme for achieving organisational objectives and targets relating to the mitigation of the environmental impacts of its activities, products and services. Note that the approved EMP is approved by the relevant authorities (e.g. Department of Environmental Affairs) prior to such activities or the supply of such products or services.
- c) **Service provider:** any private person or legal entity that provides any service/s to Eskom for compensation.

- d) **SHE Functionary:** the key individual charged with dedicated safety, health and/or environmental responsibilities, such as, SHE/Safety/Environmental - managers, officers, advisers and co-ordinators. A SHE Functionary should not be confused with a health and safety representative as defined in Sections 17 and 18 of the OHS Act.
- e) **SHE Functional head:** the manager charged with safety, health and/or environmental responsibilities for a each business unit (e.g. project, grid, region or power station)
- f) **Site:** means an Eskom department, specific project site, or the site where a supplier provides a service to Eskom, directly or indirectly.
- g) **Supplier:** this is a person or legal entity that qualifies to render a service to or performs work for Eskom directly or indirectly and is listed on the Eskom supplier database. Suppliers will include contractors, vendors, service providers and consultants. Eskom may or may not have a contract with such supplier. Suppliers may also be known as a vendors, contractors or service providers.
- h) **Tender:** a tender is an offer to do or perform an act which the party offering is bound to perform for the party to whom the offer is made.

2.6 ABBREVIATIONS

Abbreviation	Description
COID	Compensation for Occupational Injuries and Diseases Act
DOL	Department of Labour
DMR	Department of Mineral Resources
DE	Divisional Executive
EMP	Environmental Management Programme
ESR	Environmental Status Rating
GCD	Group Commercial Division
ISO	International Standards Organisation
SHE	Safety, Health and Environment

2.7 ROLES AND RESPONSIBILITIES

2.7.1 Commercial Functionaries shall:

- 2.7.1.1 Ensure that sufficient notification and preparation times are provided to the relevant SHE functionary for the preparation of the relevant SHE requirements for enquiry.
- 2.7.1.2 Ensure that the SHE requirements is provided by the appropriate SHE functionary (via the contract custodian) prior to the release of tender documents.
- 2.7.1.3 Ensure that the “Acknowledgement For Eskom Rules and Requirements” (Annexure B) is reviewed to ensure that all applicable rules and requirements are referenced in this form in order for the supplier to acknowledge and comply with. Ensure that this completed form is included in the enquiry procurement package.
- 2.7.1.4 Ensures that a SHE functionary representative participates in and provides input into relevant meetings or forums, processes and reports that lead to the awarding of a contract (e.g. supplier evaluations, squad check and squad check meetings, contracting strategies, negotiations, clarification meetings, tender evaluations and evaluation report compilation);

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

2.7.1.5 Ensures that the records pertaining to supplier non-conformances during contract execution, work stoppages, performance during contract execution, post-contract review and assessment, supplier suspensions and contract terminations are received from the contract custodian and, where applicable (e.g. audit results), that the SHE functionaries and the Group Commercial Division (Supplier Management) have documented and recorded all such information on a system/database to make it easily accessible to the relevant stakeholders for future reference, especially when determining the allocation of future works or services.

2.7.2 Contract Custodian

The contract custodian is accountable for:

- 2.7.2.1 ensuring that the supplier enforces and adheres to the relevant contract SHE requirements
- 2.7.2.2 ensuring that the necessary details pertaining to non-conformances on contractual SHE obligations during contract execution, work stoppages, post-contract review, supplier suspensions and contract terminations are recorded and submitted to the Commercial department and SHE functionaries for recording to support future reference; and
- 2.7.2.3 ensuring that there is a mechanism to monitor SHE compliance during contract execution and that, with SHE and Supplier Management Functionaries a post-contract review is conducted with the relevant information and that the results of such assessment are recorded, documented and fed back into the Eskom supplier database.

2.7.3 Line Managers who have SHE Functionaries reporting directly to them

- 2.7.3.1 Line Managers, with SHE functionaries reporting directly to them, are responsible for ensuring that the SHE functionaries fulfil the responsibilities for participation and input regarding the SHE matters necessary for addressing the relevant phases of the commercial process.

2.7.4 SHE Functionaries

- 2.7.4.1 The divisional manager (responsible for SHE) is responsible for ensuring that the relevant stakeholders in his/her division (direct and indirect) receive the necessary training to ensure that they understand and are competent to perform the duties defined in this standard.
- 2.7.4.2 The functional manager (responsible for SHE) of each business unit (e.g. project, grid, region or power station, project) is responsible for the identification and selection of competent staff members who will receive the further training they require to meet the requirements set out in this document.
- 2.7.4.3 The functional manager (responsible for SHE) of each business unit (e.g. project, grid, region or power station, project) shall apply discretion when allocating a SHE resource to represent the functional area in commercial issues, by considering the seniority level of the SHE resource against the value and complexity of the commercial task.
- 2.7.4.4 The functional manager (responsible for SHE) shall ensure adequate representation by a SHE functionary for participation and input into all the relevant meetings/forums, processes and reports that lead to the awarding of a contract (e.g. supplier evaluations, squad check, contracting strategies, negotiations, clarification meetings, tender evaluations).
- 2.7.4.5 The SHE functionary is responsible for co-ordinating the research, preparation and consolidation of the applicable SHE requirements, together with the designer/project engineer and contract custodian for each tender enquiry, and ensures that these requirements are handed over to the Commercial representative for further action.

- 2.7.4.6 The finalised SHE requirements that are issued with the tender enquiry must be listed in a checklist format (refer to template in Annexure B) which has to be incorporated into a tender and assessed during tender evaluations.
- 2.7.4.7 The SHE functionary is responsible for ensuring the utilisation and support of a mechanism for monitoring SHE performance and compliance during contract execution and the post-contract review and assessment, and also ensures that all related reports are provided to Group Commercial Division for incorporation into the supplier management database.
- 2.7.4.8 The SHE functionary is responsible for ensuring that detailed information and evidence pertaining to supplier non-conformances, work stoppages, supplier suspensions and contract terminations are immediately recorded and reported to the contract custodian and made available to Group Commercial Division for future reference, which will be useful especially when determining the allocation of future works or services.

2.8 PROCESS FOR MONITORING

Monitoring mechanisms (such as audits and reviews) shall be instituted by line management to ensure compliance to the requirements contained in this standard.

2.9 RELATED/SUPPORTING DOCUMENTS

32-1034 Eskom's Procurement and Supply Chain Management Procedure

3 SHE REQUIREMENTS

3.1 SHE Representation at all levels of Tender Committees

- 3.1.1 Commercial Manager shall ensure that there are SHE functionaries (SHE managers or his/her nominated representatives) appointed and represented at all Tender Committees.

3.2 Contracting strategies, meetings and reports

- 3.2.1 Group Commercial Department has to ensure that SHE functionaries are consulted to contribute to the formulation of contracting strategies and reports, and participates in the necessary meetings required as part of the commercial process.

3.3 Supplier SHE assessments

- 3.3.1 The Commercial department shall ensure that when a potential supplier applies for registration on the Eskom supplier database, a SHE evaluation questionnaire shall also be completed and submitted by the potential supplier. The completed questionnaire shall be assessed by the SHE functionary for evaluation in order to determine whether the potential supplier qualifies for successful registration on the Eskom supplier database, from a SHE perspective. All existing suppliers on the Eskom database shall also be re-assessed in terms of the requirements contained in the Supplier Assessment Questionnaire. If after such assessment the supplier is found not to comply with the minimum requirements of this standard, the commercial department must engage with such suppliers to ensure compliance with this standard. See Annexure A for the Supplier Assessment Questionnaire.

3.4 SHE Requirements for tender enquiries

- 3.4.1 Specific minimum requirements (refer to Annexure B) have to be included in the tender documentation that will be mandatory for informing the tenderer of essential compliance as well

as the requirements that the tenderers have to address and respond to when submitting their tender returnables.

3.5 Standardisation of Tender Evaluation SHE Criteria and Scoring Matrix

- 3.5.1 It is the intent and purpose to have a standardised evaluation process for SHE, so as to assess whether the supplier has the capability and capacity to manage SHE adequately for the scope of the work being tendered for.
- 3.5.2 Refer to Annexure C for the SHE Evaluation Scorecard and Scoring Matrix to be used when evaluating tenders.

3.6 SHE sections/questions and weightings in checklists, reports and evaluations, respectively

- 3.6.1 GCD has to ensure that all the SHE questions contained in the existing checklists, reports and evaluations (at all stages of the commercial process) are reviewed by the SHE Functional managers, to ensure that the appropriate SHE questions/criteria are reflected.
- 3.6.2 For tender evaluations, GCD has to ensure that all SHE evaluations are carried out separate and independent of other evaluations. The SHE Functionary is responsible for all SHE evaluations on tenders and shall ensure a SHE representative is available to carry out the evaluations. An Independent SHE report shall be compiled hereafter and submitted to the GCD package coordinator or buyer.
- 3.6.3 The SHE weighting (not less than 10%) and gatekeeper (not less than 80%) in the contract strategy and in the tender evaluation shall be determined by the contract strategy team, noting that if the gatekeeper requirement is not met, then the tender should not to be considered further.

3.7 Prerequisites for commencement of works or services following contract award

- 3.7.1 GCD has to ensure that the SHE functionaries are given timely notice of the contract award so that they can ensure that the SHE verification checks are done in order to confirm whether or not the supplier can mobilise to site and commence work.
- 3.7.2 SHE functionaries have to conduct verification checks to ensure that the supplier complies with the conditions and provision of resources as agreed in the contract. The tender evaluation criteria that were used for assessing the supplier can be used to conduct this verification exercise.

3.8 Management of subcontractors and suppliers

- 3.8.1 GCD has to ensure that the main supplier or principal supplier is notified that they are accountable for the management of their subcontractors and suppliers and also to ensure that the subcontractors and suppliers comply with the applicable legal and Eskom requirements (applicable during the contract execution of works and services in terms of the contract).
- 3.8.2 The contract custodian together with GCD has to ensure that all the non-conformances or non-compliances of the subcontractors or suppliers (at all tiers) to the main supplier are dealt with directly by the main supplier or principal supplier in terms of the contractually defined performance and penalty processes. If the non-complying subcontractor is also listed as an Eskom supplier, such defaults must also be recorded against that supplier.

3.9 Suspension of works and services under a contract

- 3.9.1 Any person may stop an activity, unsafe act or unsafe condition that poses or may pose a threat to the health and safety of an individual or create a risk of degradation of the environment. This includes any unauthorised work or service performed by or legally or contractually non-compliant acts or omissions by a supplier or such supplier's subcontractor or supplier.
- 3.9.2 Work stoppages that are initiated due to SHE concerns, non-compliance or poor performance related to the supplier's works or services, shall not warrant any financial compensation claim lodged against Eskom where the supplier has not met the requirements defined legally or contractually.
- 3.9.3 Work stoppages will be classified in accordance with the following and the applicable Eskom Work Stoppages shall be adhered to:
- 3.9.3.1 **Temporary stoppage of activity(s)/task(s) due to SHE concerns, including the following circumstances:**
- 3.9.3.1.1 Ad hoc work stoppages by Eskom management –at the discretion of the Eskom senior management, all work of a similar nature may be stopped due to the occurrence of a fatal or serious incident, and the applicable suppliers will be required to comply with and/or verify the conditions stipulated in the work stoppage instruction pack.
- 3.9.3.2 **Stoppage /suspension/termination of contract**
- 3.9.3.2.1 The contract custodian as defined in the Eskom contract with the main supplier will be the authorised person to communicate the stoppage/suspension / termination of the contract after seeking advice from Eskom's Legal Department and approval from the BU Management with GCD participation (see 32-1034 Eskom Procurement and Supply Chain Management Procedure - Supplier Discipline).

3.10 SUPPLIER DISCIPLINE

- 3.10.1 Suppliers may face an internal Eskom disciplinary hearing and sanction of suspension, if after an investigation, the supplier is found to be guilty of supplier misconduct.
- 3.10.2 The following offences are deemed to be acts of supplier misconduct:
- Building up a history of poor performance on one or more contracts with Eskom based on documentary evidence of non-conformance or any other documentary proof;
 - A history of non-conformance on one or more contracts regarding Eskom's safety, health, environmental or quality requirements; and/or
 - Committed any other act or omission that may breach the necessary trust relationship between Eskom and the supplier.
- 3.10.3 Divisions shall ensure that a systematic approach is applied to all erring contractors whereby contractors that have been found to be breaching health and safety legislation and procedural requirements, through experiencing work related fatalities, lost time incidents and non-conformances are consistently reviewed and subsequently reprimanded and/or suspended depending on outcomes of the investigation process.
- 3.10.4 Extreme cases may result in contractor suspension as per Eskom Supplier Suspension Process.
- 3.10.5 Eskom will apply the supplier disciplinary process (32-1034) without prejudice and in addition to any legal or contractual rights or remedies Eskom may have.

3.11 ENFORCEMENT OF COMPLIANCE WITH SHE REQUIREMENTS DURING CONTRACT EXECUTION AND THE MONITORING / ASSURANCE THEREOF

3.11.1 SHE functionaries have to ensure that there is a mechanism to monitor SHE performance and the supplier's compliance at pre-determined intervals during contract execution, and that these reports are provided to the contract custodian as well as the commercial department during the execution of the contract and for the post-contract review process.

“Eskom takes a ZERO TOLERANCE stance to violation of Eskom Cardinal Rules and will apply appropriate sanctions for contraventions.”

3.12 POST-CONTRACT REVIEWS

3.12.1 GCD (supplier management) shall ensure that post-contract reviews are incorporated into the commercial process so as to review the supplier's SHE performance during the execution of the contract and ensure that the outcome is linked back to the supplier database so that the assessment results are made accessible and available to relevant stakeholders for future reference.

3.12.2 GCD (supplier management) must ensure that the committee/panel that conducts the post-contract review of the supplier consists of at least the following representatives: GCD; SHE manager; contract/project manager.

3.12.3 SHE functionaries must prepare the SHE component in preparation for the review process.

3.12.4 The output of the post-contract assessment shall be in the form of a report which will be submitted to GCD (supplier management) for record-keeping purposes and the results input into the supplier database for the future consideration of that specific contractor.

3.12.5 The criteria to be utilised in the post-contract reviews are referenced in Annexure D.

4 AUTHORISATION

This document has been seen and accepted by:

Name	Designation
B Dames	Chief Executive
PS O'Flaherty	Finance Director (Finance and Group Capital)
E Johnson	Chief Officer (Strategy and Risk Management Division)
T Govender	Divisional Executive (Generation Division)
D L Marokane	Chief Commercial Officer (Group Commercial Division)
BE Bulunga	Divisional Executive (Human Resources Division)
MM Ntsokolo	Divisional Executive (Transmission Division)
Dr SJ Lennon	Divisional Executive (Eskom International)
A Noah	Divisional Executive (Distribution Division)
M Koko	Divisional Executive (Group Technology Division)
K Lakmeharan	Divisional Executive (Delivery Unit)
T Molefe	Divisional Executive (Customer Service Division)
CAK Choeu	Divisional Executive (Corporate Affairs Division)
M Adam	Divisional Executive (Regulation and Legal)

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

5 REVISIONS

Date	Rev.	Compilers	Remarks
June 2011	0	Development team	This standard addresses minimum Safety, Health and Environmental requirements that must be integrated into the Eskom Commercial process.

6 DEVELOPMENT TEAM

The following people were involved in the development of this document:

- Robin Pillay
- Kajal Mansingh

7 ACKNOWLEDGEMENTS

The following are acknowledged for their contributions in the compilation of this standard:

- Divisional Representatives
- Kerseri Pather
- Maryeen Maynard
- Occupational Health and Safety Liaison Committee (OHSLC)

ANNEXURE A: ESKOM SHE EVALUATION QUESTIONNAIRE FOR SUPPLIER ASSESSMENTS

As part of Eskom's Supplier Management System, it is now a requirement for all suppliers who wish to undertake work for Eskom to undergo an occupational safety, health and environment (SHE) evaluation process. This process assists Eskom to determine whether suppliers take reasonably practicable steps to apply safe systems of work and comply with the legislative and Eskom-specific requirements.

All completed questionnaires will be evaluated by the Eskom Commercial (GCD) Supplier Management Department. It is required that the applicants should provide as much relevant and detailed information as possible in the SHE assessment, so as to enable Eskom to assess accurately the SHE information provided, before approving and registering the potential supplier on the Eskom supplier database.

The potential supplier's understanding of the content and context of the information and documentation provided will be tested by an Eskom representative to ensure that such understanding reflects and authentically represents the supplier's reality.

Applicants should note that if Eskom considers an application to be fundamentally unacceptable on key SHE issues, regardless of its other merits, the application shall be rejected. Applicants must truthfully and explicitly complete the answers in the questionnaire, as failure to comply with this requirement is likely to disqualify an application or may result in the supplier's permanent suspension from doing work for Eskom.

Please complete the following form, and where required, submit copies of the appropriate documentation. Return all documentation to the responsible GCD (Commercial) adviser (e.g. Business Development, Supplier Management etc.). This questionnaire is supplementary to the general supplier evaluation form and is specifically aimed at assessing the overall competence and maturity of the supplier's SHE management.

Most questions require a YES/NO response and only where more detailed information is a necessity, are applicants required to provide detailed answers. This questionnaire must be completed and returned with all appropriate documents. All questions have to be answered, and where certain questions are not applicable, an explanation should be given.

Company Name:		
Company Street Address:		
Company Postal Address:		
Telephone:		
Facsimile:		
E-mail:		
Company representatives:		
Name	Position	Contact Number
1		
2		
3		
4		
Company profile:		

Note: Where the Not Applicable (N/A) is greyed out, that question must have a YES or NO answer.

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
	Organisational structure and contact details of key persons				
1	Provide a copy of your company organogram /structure.				
2	Contact details of CEO/MD (if applicable, supply details of both) Name: Telephone number: E-mail: Designation:				
3	Who are your competent person/s for the provision of SHE advice (if external consultants, provide name and address of company and consultant/s or agency) For Health and Safety: Name: Telephone number: Position: Professional registration: E-mail: Related experience: Permanent or on contract: To whom does person report in your Company: For Environment: Name: Telephone number: Position: Professional registration: E-mail: Related experience: Permanent or on contract: To whom does this person report in your Company?				
4	SHE Management System Does your Company have an SHE Management System? If Yes , then complete subsections 4.1 – 4.2:				

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
4.1	Provide the type(s) / name(s) of the management system(s).				
4.2	If this is a recognised accredited system, please attach copies of certificates.	✓			
5	Does your Company have a Safety, Health, and Environmental (SHE) Policy in place that is signed by the supplier's senior management?	✓			
7	Has your Company identified the specific SHE impacts associated with the products, services or works it provides, and the steps taken to mitigate these impacts?				
8	Does your Company observe SHE legislation and industry best practice standards?				
9	Has your Company been prosecuted or issued with an enforcement notice / directive / compliance notice for infringement of any SHE legislation in the past three (3) years?				
9.1	If Yes, please provide details of the prosecution / enforcement notice / directive / compliance notice and what measures were taken to ensure the issue/s would not recur.	✓			
10	Has your Company had any reportable incident (safety and/or environmental) in the past five (5) years?				
10.1	If yes, please provide details:	✓			
	SUBTOTAL SCORE: _____				
	Environmental Management				
A.	Compliance				
1.	Has your company had any notices of violations, permit non-compliances or reportable spills in the past year? If yes, how many?				
B.	Continuous improvement				
1.	Policy and Environmental Management: Has your Company a formally established EMS in place? If so, is it based on ISO 14001 and is it certified? If not, what are your plans to do establish one in the next 12 months?	✓			
2.	General Environmental Impacts: Has your Company implemented any third-party certifications or reviews related to your product or services such as Energy Star or Type III environmental declarations – Principles and procedures (ISO 14025)? If so, which one?	✓			
3.	Climate Change: Does your Company measure and trend Greenhouse Gas (GHG) emissions? Have you set targets to achieve reduction?	✓			

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
	Is there an emissions reduction plan in place?				
4.	Energy Consumption: Does your Company measure and trend energy use? Are there targets in place to reduce consumption? Is there a programme in place to reduce consumption?				
5.	Water Use: Does your Company measure and trend water use? Are there targets in place to reduce consumption? Is there a programme in place to reduce consumption?	✓			
6.	Waste Management (Hazardous and non-hazardous waste): Does your Company measure and trend waste use? Are there targets in place to reduce waste? Is there a programme in place to reduce waste? Do you incorporate any recycled materials in your manufacturing process? Can your product be easily recycled, re-used or disposed of?	✓ ✓ ✓ ✓ ✓			
7.	Innovation: Does your Company have any opportunities to collaborate with us to improve environmental performance, such as transport reduction or technological improvements? Does your business work with suppliers on their environmental performance, especially on the reduction of GHG emissions?				
	Occupational health and wellness				
1	Does your Company have a Health and Wellness Policy/Plan and Programme?	✓			
2	Does your Company have an HIV/Aids Awareness Policy/Plan and Programme?	✓			
3	Does your Company have an Employee Assistance Programme for permanent and temporary employees?	✓			
4	Does your Company have a medical surveillance programme that includes permanent and temporary employees?				
5	Does your Company have man-job specifications (risk based) for each employee (including temporary / casual and labour broker persons) that is specific to the individual, the position that they fill, the work environment and tasks that they perform?				

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
	SUBTOTAL SCORE: _____				
	Security management				
1	Does your Company have a Security Management Policy to protect resources?	✓			
	SUBTOTAL SCORE: _____				
	Emergency preparedness				
1	Does your Company have a Policy/Standard on Emergency Preparedness?	✓			
	SUBTOTAL SCORE: _____				
	Subcontracting and supplier management				
1	Does your Company appoint competent subcontractors /suppliers? (provide details of selection process and criteria)	✓			
2	Do you have arrangements for monitoring compliance & performance of your subcontractor/supplier?	✓			
	SUBTOTAL SCORE: _____				
	Vehicle, driver/operator and passenger safety (motor vehicles / cycles, construction vehicles, mobile plant)				
1	Does your Company have a policy that addresses Driver, Passenger and Vehicle Safety (which includes vehicle maintenance, driver/operator competence)?	✓			
2	Do your Company's motor vehicles / cycles, construction vehicles, mobile plant used/hired comply with the manufacturer's design and legal requirements?				
	SUBTOTAL SCORE: _____				
	Occupational hygiene exposures				
1	Does your Company have an Occupational Hygiene Programme?	✓			
	SUBTOTAL SCORE: _____				
	Competent Persons				
1	Supervisors: Do the Appointed Supervisors have the required training, knowledge and experience specific to the work to be performed? (Proof has to be provided)	✓			
2	Does/Do the SHE functionary(ies) have the required SHE-related training, knowledge and experience specific to the work being performed? (Proof has to be provided)	✓			

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
3	Do employees have the appropriate qualifications and experience for performing the assigned tasks?				
4	If not, are they under direct and controlled competent supervision?				
	SUBTOTAL SCORE: _____				
	Fire prevention and protection management				
1	Are the fire risks being assessed and is provision made for the risks?				
	SUBTOTAL SCORE: _____				
	Hazard identification and risk assessment (HIRA)				
1	Does your Company have procedures in place for conducting hazard identification and risk assessments and for developing and implementing safe systems of work/method statements?	✓			
2	Does your Company have an updated Legal Register of the applicable legislation with which it has to comply?				
3	Does your Company have a competent person appointed to carry out hazard identification and risk assessments?				
4	Do employees perform hazard identification and a risk assessment prior to the commencement of a task?				
5	Does your Company have a standard/procedure on the hierarchy of control principles that is applied to the mitigation of risks?	✓			
	SUBTOTAL SCORE: _____				
	Training				
1	Does the Company have an orientation and safety induction programme / policy?	✓			
2	Does the Company have implemented training arrangements in place to ensure that employees have sufficient skills and understanding to discharge their various duties? This includes refresher training that will keep employees updated on legislation and good health, safety and environmental practice. This applies throughout the Company, from top management to trainees.				
4	Are training records kept?				
5	Have training matrices been developed and implemented?				
6	Have team leaders and team members been given the appropriate level of First Aid training?	✓			

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
	SUBTOTAL SCORE: _____				
	COID				
	Is your company registered with COID or a mutual company and are you still in good standing? If yes, please provide copy of current valid certificate issued by the Compensation Commissioner.	✓			
	Are all the Company's employees registered with COID				
	SUBTOTAL SCORE: _____				
	References – Provide references of the least two (2) clients				
1	Past experience with references. Provide the following details per client: Client 1: • Client's name: • Description of works, services, product: • Duration of contract (specify start and end dates): • Value of contract/work/services/product: • Contact telephone number/s: • Number of 'near misses' reported: • Number of lost-time injuries: • Number of disabling injuries: • Number of motor vehicle incidents/accidents: • Number of fatalities: • Number of lost-time injuries: • Largest number of permanent staff members working for the supplier during the contract period: • Number of permanent or non-permanent staff members involved in the work/services/product on the contract: Total number of staff days lost due to Injuries: • Number of incidents of non-compliance to environmental legislation (including conditions of environmental authorisations / permits / licences): • Number of environmental incidents: • Energy efficiency improvements (kWh saved)?	✓			

Ref.	Eskom Safety, Health and Environmental and Safety Requirements Checklist for Supplier Registration	Proof required	Yes	No	N/A
	Client 2: - Client's name: - Description of works, services, product: - Duration of contract (specify start and end dates): - Value of contract/work/services/product: - Telephone number/s: - Number of 'near misses' reported: - Number of lost-time injuries: - Number of disabling injuries: - Number of motor vehicle incidents/accidents: - Number of fatalities: - Number of lost-time injuries: - Largest number of permanent staff members working for the supplier during the contract period: Number of permanent or non-permanent staff members involved in the work/services/product on the contract: - Number of incidents of non-compliance to environmental legislation (including conditions of environmental authorisations / permits / licences): - Number of environmental incidents: - Energy efficiency improvements (kWh saved)?				

COMPANY SIGN-OFF

I acknowledge that the information provided in this Supplier Safety, Health and Environmental Questionnaire, as part of the Eskom SHE evaluation process, is true and correct.

Company name:

Name and surname:

Position:

Signature:

Date:

FOR OFFICE USE ONLY**SCORING:**

A: Each question scores one (1) point. Total possible points

Percentage Score = $\frac{\text{Actual Score}}{\text{Possible Score}} \times 100 = \underline{\hspace{1cm}} \%$

Note: if a question is Not Applicable, do not score any points.

B: Subsections:

Actual
score

Total

Organisational structure and contact details of key persons

Comments:**SUPPLIER EVALUATION RESULT – Comply/Not Comply**

Approved /Not approved (NOTE: Gatekeeper of minimum of 80% is required)

NAME OF ASSESSOR:

SIGNATURE:

DATE:

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

ANNEXURE B: SHE REQUIREMENTS FOR TENDER ENQUIRIES

1. The specific requirements that will be mandatory for informing the tenderer and the requirements that the tenderer has to address when submitting its tender returnables:

***** NOTE: the tenderer has to ensure that he/she understands the SHE requirements listed hereunder by participating in the clarification meetings arranged by Eskom.**

1.1 Items for informing the tenderer:

- 1.1.1 Review the following ACKNOWLEDGEMENT FORM FOR ESKOM RULES AND REQUIREMENTS to ensure that the relevant and applicable information is contained so that the Supplier acknowledges having been informed of these rules and requirements and complies with them.
- 1.1.2 Ensure that the “Acknowledgement Form For Eskom Rules and Requirements” is reviewed to ensure that all applicable rules and requirements are referenced in this form in order for the supplier to acknowledge of being informed of these rules and requirements and comply with. Ensure that this completed form is included in the enquiry procurement package

ACKNOWLEDGEMENT FORM FOR ESKOM RULES AND REQUIREMENTS

1. The following documents contain requirements with which every person / supplier's staff members are expected to comply when working at/rendering a service to Eskom: a. Eskom Safety, Health, Environmental and Quality Policy: 32-727 b. Eskom Cardinal Rules, Directive: 32-421 c. Eskom Procedure on Smoking: 32-36 d. Eskom Incident Management Procedure 32-95
2. Work stoppages that are initiated due to SHE related matters shall not warrant any financial compensation claim lodged against Eskom.
3. Penalties shall be enforced on the main supplier for non-conformance/s (identified for the main supplier and/or its sub-contractor and/or supplier) pertaining to Eskom and/or Statutory SHE requirement/s.
4. Ensure that all employees (incl. subcontractors/suppliers) undergo the relevant Eskom induction
5. Management of Subcontractors and Suppliers a) The main supplier has to demonstrate to Eskom the process and selection criteria applied when appointing subcontractors and suppliers. b) The main supplier has to provide notification to Eskom, prior to the appointment of subcontractors and suppliers for the commencement of work. c) The main supplier has to ensure that subcontractors and suppliers possess adequate resources and competencies. d) The main supplier is accountable for the management of its subcontractors and suppliers in order to ensure that the applicable legal and Eskom requirements (that are applicable to the main supplier during contract execution) are adhere to by the subcontractors and the suppliers. e) The main supplier shall monitor subcontractors and suppliers through audits and assessments with regard to SHE compliance during the execution of work. f) The grounds for the termination of work done by subcontractors and suppliers shall be provided by the main supplier. g) All non-conformances/non-compliance by the subcontractors/suppliers (all tiers) to the main supplier shall be dealt with directly with the main supplier in terms of performance and penalty processes.

Note: any other applicable Divisional and/or BU-specific requirements should be referenced here.

I, the undersigned, hereby acknowledge that I have obtained copies of the above documents and confirm that I fully understand them and the consequences of non-compliance.

Signed at on this day of 20.....

Signature of Contractor Manager

Signature of Contractor Supervisor

Name of Contractor

Date

Witness 1

Witness 2

1.2 Items that the Tenderer has to address and respond to when submitting the Tender (Note: these are the minimum requirements that the tenderer has to address in the tender returnable. Any additional requirements must be referenced under the relevant sections outlined below):

1.2.1 The signed copy of the ACKNOWLEDGEMENT FORM FOR ESKOM RULES AND REQUIREMENTS.

1.2.2 Detailed costing for SHE (not the consolidated amount) – this is based on the overall scope of work/service to be performed. The generic scope of work/service risk assessment may serve as a guideline.

1.2.3 SHE Management System:

1.2.3.1 Does the supplier have a documented SHE management system? Provide proof.

1.2.3.2 Copy of the Company's SHE/Q Policy.

1.2.3.3 Proposed organogram illustrating the structure of the legal appointments (this has to be converted from generic to scope-of-work-specific on contract award).

1.2.3.4 Incident management process: details of the notifications of occurrence within 24 hrs; investigation within seven (7) days and close-out of preventive action (30 days) – taking into account Eskom's time-frame requirements (refer to Eskom Incident Management Procedure 32-95).

1.2.3.5 How is corrective and preventive action management addressed, from incidents and lessons learnt?

1.2.4 SHE communication and interface

1.2.4.1 How will the Company communicate with and interface between the client, subcontractors and all responsible stakeholders during the execution of the contract?

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

1.2.5 The applicable contract/scope-of-work-specific SHE requirements that will be implemented and managed by the Tenderer

1.2.5.1 A list of all the activities that will be undertaken in relation to the scope of work to be performed.

1.2.5.2 **Eskom SHE functionary has to identify and list all the applicable SHE requirements in relation to the scope of work here.**

**** NOTE: ensure that each requirement listed here is transferred to Annexure C (which will then be used for the tender evaluation and assessment).*

1.2.6 Occupational Health and Wellness

1.2.6.1 Valid Letter of Good Standing –registration with the Compensation Commissioner (COID) or a licensed mutual company or an equivalent thereof (for international bidders)

1.2.6.2 Process for the completion of the man-job specifications (risk-based) for each employee (including temporary / casual and labour broker persons) that is specific to the: individuals, positions that they occupy, work environment and tasks that they perform. (This has to be converted from generic to scope-of-work-specific on contract award.)

1.2.6.3 Pre-medical, periodic medical and exit medical examinations (medical surveillance) conducted in relation to the individual's man-job specifications and the health risk assessment for each employee (including temporary / casual and labour broker persons).

1.2.6.4 Is there a process for ensuring that health risk assessments are performed?

1.2.6.5 Certificates of medical fitness for each employee (including temporary / casual and labour broker persons).

1.2.6.6 Certificates of psychological fitness for each employee (including temporary / casual and labour broker persons) performing work-at-height activities.

1.2.7 Appointments and competencies

1.2.7.1 Applicable legal letters of appointment

1.2.7.2 The number of supervisors and their current level of SHE competence (training, knowledge and experience), in relation to the work to be performed.

1.2.7.3 The number of SHE functionaries, their current level of SHE competence (training, knowledge and experience) and registration with a professional body.

1.2.7.4 Details (competence) of the person/s conducting the hazard identification and risk assessment.

1.2.7.5 Details of the SHE Training Matrix.

1.2.8 Environmental management

1.2.8.1 Does the Company address environmental management?

1.2.8.2 Does the Company have a dedicated/appointed environmental officer/practitioner (submit Organogram)?

1.2.8.3 Does the Company have documented proof that staff members have received environmental training?

1.2.8.4 Have roles and responsibilities been assigned to staff members in writing?

1.2.9 Management of subcontractor and supplier (all tiers);

- 1.2.9.1 The process followed and selection criteria applied when appointing subcontractors and suppliers.
- 1.2.9.2 The process for ensuring how subcontractors and suppliers will be provided with the applicable legal and Eskom requirements (this is applicable to the main supplier during contract execution) as well as ensuring that they possess adequate resources and competencies.
- 1.2.9.3 The process for ensuring how the main supplier shall monitor the SHE compliance of subcontractors and suppliers during the execution of work.
- 1.2.9.4 How will non-conformance by subcontractors and suppliers be managed?
- 1.2.9.5 What are the grounds for the termination of work done by subcontractors and suppliers regarding any SHE non-compliance identified by the main supplier and/or Eskom?

1.2.10 Company's SHE performance (for the past three (3) years)

1.2.10.1.1 *OHS performance records for the past three (3) years (fatalities and lost-time injuries)*

1.2.10.1.2 *Record of DOL/DMR reportable incidents*

1.2.10.1.3 *Environmental performance: contraventions of legislation*

1.2.10.1.4 *Any SHE achievements*

- 1.2.11 The time period required for the conversion of the generic documents to scope-of-work-specific documents in the event of a successful contract award** – indicate the time period required so as to convert the identified generic documentation to scope-of-work-specific documentation in relation to the contract for which you are tendering (in the event of a successful contract award). Bear in mind the time frames provided by Eskom for this process to be completed, as no work may commence without completing this exercise and obtaining a sign-off from the relevant Eskom SHE Department (the Eskom representative, as indicated in the contract, will provide the details of the contact persons from the Eskom SHE Department with whom you will be required to liaise).

- 1.2.12 Reference check: (previous work of a similar nature performed)** – provide copies of testimonials/references and the contact detail of clients (including Eskom) for whom the Company has done previous work of a similar nature – *Eskom reserves the right to verify this.*

ANNEXURE C: SHE TENDER EVALUATION AND SCORING CARD (TRACKING SUBMISSION AND THE QUALITY THEREOF)

Ref.	KPIs	Submitted (Y/N) or Not Applicable (N/A)	Comments on the Quality of submission or Reasons why item is not applicable	Rating scale	Identified items that are generic and require conversion to scope-of-work- specific after contract award
PART A					
1	Is the acknowledgement form for Eskom's rules and requirements (in Annexure A) signed and submitted by the tenderer?				
2	Costing for SHE Has the tenderer submitted detailed (not lump sum) costing for SHE, i.e. – - based on the overall scope of work/service to be performed; - the generic scope of work/service risk assessment – this may serve as a guideline.				
3	SHE Management System				
3.1	Did the tenderer provide proof of a documented SHE management system?				
3.2	Has the tenderer submitted a copy of the company's SHE Policy?				
3.3	Has the tenderer provided a copy of the management structure and legal appointments (company organogram)?				x

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

<u>Ref.</u>	<u>KPIs</u>	<u>Submitted (Y/N) or Not Applicable (N/A)</u>	<u>Comments on the Quality of submission or Reasons why item is not applicable</u>	<u>Rating scale</u>	<u>Identified items that are generic and require conversion to scope-of-work- specific after contract award</u>
3.4	Incident management process: details of the Notifications of occurrence within 24 hrs; investigation within 7 days and close-out of preventive action (30 days) – taking into account Eskom's time-frame requirements (refer to Eskom Incident Management Procedure 32-95).				X
3.5	How is corrective and preventive action management, from incidents, lessons learnt, etc., addressed?				X
4	SHE communication and interface				
4.1	How will the Company communicate with and interface between client, subcontractors and all responsible stakeholders during the execution of the contract?				X
5	Occupational Health and Wellness				
5.1	Valid Letter of Good Standing: Is the bidder registered with the Compensation Commissioner (COID) or a licensed mutual company or an equivalent thereof (for international bidders)?				X
5.2	Process for the completion of the man-job specifications (risk-based) for each employee (including temporary / casual and labour broker persons) that is specific to the individuals, the position that they fill, the work environment and tasks that they perform (link to the risk assessment process).				X
5.3	Pre-medical, periodic medical and exit medical examinations				

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

<u>Ref.</u>	<u>KPIs</u>	<u>Submitted (Y/N) or Not Applicable (N/A)</u>	<u>Comments on the Quality of submission or Reasons why item is not applicable</u>	<u>Rating scale</u>	<u>Identified items that are generic and require conversion to scope-of-work- specific after contract award</u>
	(medical surveillance) conducted in relation to the individual's man-job specifications and the health risk assessment for each employee (including temporary / casual and labour broker persons).				
5.4	Is there a process for ensuring that health risk assessments are performed?				X
5.5	Certificates of medical fitness for each employee (including temporary / casual and labour broker persons).				
5.6	Certificates of psychological fitness for each employee (including temporary / casual and labour broker persons) performing work-at-height activities.				
6	Appointments and competencies				
6.1	Applicable legal letters of appointment				X
6.2	The number of supervisors and their current level of SHE competence (training, knowledge and experience), in relation to the work to be performed.				X
6.3	The number of SHE functionaries and the current level of SHE competence (training, knowledge and experience) and registration with the professional body.				X
6.4	Details (competence) of the person/s conducting the hazard identification and risk assessment.				X
6.5	Details of the SHE Training Matrix				X
7	Environmental management				
7.1	Does the Company address environmental management?				X

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

<u>Ref.</u>	<u>KPIs</u>	<u>Submitted (Y/N) or Not Applicable (N/A)</u>	<u>Comments on the Quality of submission or Reasons why item is not applicable</u>	<u>Rating scale</u>	<u>Identified items that are generic and require conversion to scope-of-work- specific after contract award</u>
7.2	Does the Company have a dedicated/appointed environmental officer/practitioner (submit Organogram)?				X
7.3	Does the Company have documented proof that staff members have received environmental training?				X
7.4	Have roles and responsibilities been assigned to staff members in writing?				X
7.5	Does the Company provide a method statement or EMP for scope of work?				
7.6	Does the Company have copies of permits and licences (waste licences/PCO licence/ Burrow Pit licence for mining etc?)				
7.7	Does the Company have a waste plan, including a waste inventory?				
7.8	Does the Company have Material Safety Data Sheets for the chemicals and herbicides to be applied?				
7.9	Does the Company have a Herbicides/Pesticides/Solvents Register?				
8	Management of subcontractor and supplier (all tiers)				
8.1	The process and selection criteria applied when appointing subcontractors and suppliers.				X
8.2	The process for ensuring how subcontractors and suppliers will be provided with the applicable legal and Eskom requirements (applicable to the main supplier during contract execution) as well as ensuring that the subcontractors and				X

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

<u>Ref.</u>	<u>KPIs</u>	<u>Submitted (Y/N) or Not Applicable (N/A)</u>	<u>Comments on the Quality of submission or Reasons why item is not applicable</u>	<u>Rating scale</u>	<u>Identified items that are generic and require conversion to scope-of-work- specific after contract award</u>
	suppliers possess adequate resources and competencies.				
8.3	The process for ensuring how the main supplier shall monitor the SHE compliance of subcontractors and suppliers during the contract execution.				X
8.4	How will the non-conformance of subcontractors and suppliers be managed?				X
8.5	What are the grounds for the termination of work done by subcontractors and suppliers regarding SHE non-compliance identified by the main supplier and/or Eskom?				X
9	Company SHE performance (for the past 3 years)				
9.1	Occupational Health and Safety performance records for the past 3 years (fatalities and lost-time injuries)				
9.2	Record of DOL/DMR reportable incidents				
9.3	Environmental Performance: contraventions of legislation				
9.4	Any SHE achievements				
10	The time period required for the conversion of the generic documents to scope-of-work-specific documents in the event of a successful contract award				
10.1	Has the tenderer provided a suitable time-frame within the proposed period required by Eskom?				
11	Reference check (previous work of a similar nature performed)				

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

<u>Ref.</u>	<u>KPIs</u>	<u>Submitted (Y/N) or Not Applicable (N/A)</u>	<u>Comments on the Quality of submission or Reasons why item is not applicable</u>	<u>Rating scale</u>	<u>Identified items that are generic and require conversion to scope-of-work- specific after contract award</u>
11.1	Are testimonials/references and contact details provided for previous work of a similar nature?				
11.2	Is verification required?				
PART B					
1.	The applicable contract-specific/scope-of-work-specific SHE requirements that will be complied with and managed by the <u>Tenderer</u>				
1.1	Has the tenderer provided a list of all activities that will be undertaken in relation to the contract/scope of work to be performed? (Use this information to assess the questions below.)				
2	Has the tenderer addressed the identified applicable SHE requirements specific to the contract/scope of work? *** Note to Eskom SHE functionary performing the SHE tender evaluation –ensure that the SHE requirements are scope-of-work-specific and not a generic listing.				

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

Summarised score sheet**PART A:**

Ref.	Actual score obtained	Total		Ref.	Actual score obtained	Total
1				7.1		
2				7.2		
3.1				7.3		
3.2				7.4		
3.3				8.1		
3.4				8.2		
3.5				8.3		
4.1				8.4		
5.1				8.5		
5.2				9.1		
5.3				9.2		
5.4				9.3		
5.5				9.4		
5.6				10.1		
6.1				11.1		
6.2				11.2		
6.3						
6.4						
6.5						

PART A: SUBSCORE = (Actual Score ÷ 70) x 100

= _____ %

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

One (1) point is allocated to each fulfilled requirement listed in Annexure C and then calculate the maximum subscore for PART B.

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

= _____%

Proposed scoring and rating criteria

Scoring of tenders	
Score	Performance standard
2	Meets SHE expectations.
1	Meets some SHE expectations but the response raises some more serious reservations.
0	Completely fails to meet SHE expectations or does not address the requirements.

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

ANNEXURE D: SHE POST-CONTRACT REVIEWS

The objective of Eskom's post-contract review is to evaluate the performance of the supplier during the execution of the contract in relation to the requirements imposed on the supplier by Eskom as well as the requirements proposed and implemented by the suppliers themselves for the scope of work in question. The outcome of the post-contract review will determine whether the supplier performed satisfactorily and should remain on the Eskom supplier database or, if the supplier did not perform satisfactorily, that supplier should be disqualified from the Eskom supplier database.

The objectives and outcome of the SHE post-contract review shall be reflected in any future contractual relationship with the supplier so that the supplier is aware of this exercise.

An evaluation will be conducted and will be supported by the objective evidence documented during the term of the contract. The evaluation report must be filed in the contract documents.

The following criteria (but not limited to) shall be considered for the review

- Accident and injury data for the contract
- Non-conformances
- Duration and effectiveness in addressing and closing out SHE deficiencies/corrective actions
- Legal compliance with Health, Safety and Environmental requirements.
- Number behavioural safety observations conducted
- Close-out of Incident Investigations
- No. of staff members (incl. subcontractors and suppliers) who contravened the Eskom Cardinal Rules?
- Dept of Labour/Dept. of Mineral Resources notices, orders issued
- Recognition and rewards received
- Contributions and effort made to improve SHE performance
- Main Supplier/Supplier)Total number of incidents:
 - Fatalities,
 - Lost-time injuries,
 - reportable incidents (Department of Labour/Department of Mineral Resources)
- Subcontractor (all tiers) performance:
 - Fatalities
 - Lost-time injuries
- Supplier performance
 - Fatalities
 - Lost-time injuries

The following template shall be used to assess the performance against the identified criteria

EVALUATION CRITERIA	UNACCEPTABLE	SATISFACTORY	EXCEPTIONAL
Comments:			
<u>DECISION: WILL THIS SUPPLIER BE RECOMMENDED FOR FUTURE WORK WITHIN ESKOM? TICK APPLICABLE COLUMN</u>			
Yes, With Reservations	Yes	No	
Substantiate the reasons for reservation (if applicable):			
Names and designations and contact details of persons that conducted the post contract review:			
ADMINISTRATIVE: Performance record and evaluation data on this form have been completed by: Client representative: Name: _____ Title: _____ Signature: _____ Date: _____ Additional comments:			

ANNEXURE E – ENVIRONMENTAL STATUS RATING CERTIFICATE**Environmental Assessment – Supplier Capability Assessment and Listing**

The suppliers' Environmental Status Rating will be reviewed every three years or at the express request of the supplier or as and when required by Eskom. Once the supplier has satisfied the criteria set in Annexure A, it will be awarded the Environmental Status Certificate (Annexure F) which is valid for a period of three years. This will also ensure that suppliers will be evaluated and do not forward all documents for all tenders, thus reducing the amount of paper.

Name of the Organisation:	
Supplier Number:	
Detail/Scope of Service/Product:	

ENVIRONMENTAL MANAGEMENT SYSTEM REQUIREMENTS

Environmental Status Rating (cumulative)	Status of Implementation	Status	Comments
ESR-4	ISO 14001 Certification	Qualified	↑
ESR-3	Procedures/Work Instructions / EMS Manual		
ESR-2	Environmental Management Programme		
ESR-1	Environmental Policy		
ESR-0	None of the above is evident	Unqualified	
Supplier Final Rating:		Expiry date of Certificate:	
Eskom: Name	Signature:	Date:	
Supplier: Name	Signature:	Date:	

This certificate is only valid until the expiry date. Should anything change at the supplier that could affect its status with Eskom, this certificate becomes null and void. The Certificate may not be used for any marketing purposes or otherwise, except for submission to Eskom procurement during the tender stage. Eskom reserves the right to withdraw this certificate at any stage and at its sole discretion.

CONTROLLED DISCLOSURE

When downloaded from the EDS database, this document is uncontrolled and the responsibility rests with the user to ensure it is in line with the authorised version on the database.

Explanatory Notes and Rating System

Final Rating of a supplier in the Eskom supplier database will be influenced by other factors not noted on this sheet. These are typically, but not limited to, financial strength, facilities, capacity, experience in the market, etc.

A zero rating will automatically lead to an unqualified status.

It is the supplier's responsibility to contact Eskom for a re-evaluation should the status of its Environmental Management System change.