



CONTRACTOR COMPLIANCE FILE ASSESSMENT CHECKLIST

Date of inspection/ Evaluation:

Client	Transnet National Ports Authority (Port of Mossel Bay)
Employer (Principal contractor)	
Registered name of the enterprise	
Trade name of the Enterprise	
Company Registration No	
SARS registration No(PAYE)	
UIF registration No	
COIDA registration no	
Relevant SETA for EEA purpose	
Industry sector	
Bargaining Council	
Contact person & position	
Contact number	
Site Address	
Postal Address	
Chief Executive Officer	
Chief Executive officer's email and contact number	
Construction Manager	
Health and Safety Representative	
Activities/ Service rendered	
Commencement date	
Completion date	
Site Phone	
Total number of employees on site:	
Female	
Male	
People with disabilities	



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



<ul style="list-style-type: none"> CR 10. (1)(a) – Fall Prevention Planner (<i>if applicable</i>) CR 10.(2)(b) (fall risk) Physical & Psychological fitness 			
<ul style="list-style-type: none"> CR 23.(d)(k) – Vehicle operator and Inspector 			
<ul style="list-style-type: none"> GSR 3.4 – First aider 			
<ul style="list-style-type: none"> CR 29 (h) – Fire Fighter 			
<ul style="list-style-type: none"> Sec 24, GAR 9(2) – Incident Investigator 			
<ul style="list-style-type: none"> CR 13(1)(a) – Excavation Supervisor 			
<ul style="list-style-type: none"> CR 28(a) – Stacking and Storage Supervisor 			
<ul style="list-style-type: none"> CR 12(1) – Temporary works designer 			
<ul style="list-style-type: none"> CR 14(1) – Demolition work supervisor 			
<ul style="list-style-type: none"> CR 16(1) – Scaffolding work supervisor 			
<ul style="list-style-type: none"> CR 17 (1) – Suspended platform work supervisor 			
<ul style="list-style-type: none"> CR 18(1)(a) – Rope access supervisor 			
<ul style="list-style-type: none"> CR 19(8)(a) – Material host Inspector 			
<ul style="list-style-type: none"> CR 20(1) – Bulk mixing plant supervisor 			
<ul style="list-style-type: none"> CR 21(2) – Explosive actuated fastening devices inspector 			
<ul style="list-style-type: none"> Sec 17(1) – SHE Rep (more than 20 employees) 			
<ul style="list-style-type: none"> GSR 13(a) – Ladder Inspector <p>An abbreviated CV of the above appointed persons shall be attached to the appointment. Competency certificates will also be attached as required in specifications</p>			
16. Elevated work training (Rescue/ Safety harnesses) – accredited Training (<i>If applicable</i>)			
17. Fall Protection Plan by competent person / Rescue Plan (<i>If applicable</i>)			
18. Contract/Project Specific Risk Assessment indicating the full scope of work and risk profile – High risk task inventory registers to be attached.			
19. Risk Assessment (HIRA), Method Statement, Safe Work Procedure to be generated for each specific task to be performed on the contract/project i.e. Site establishment, confined spaces, working at heights, working near water, excavations etc. Note: before establishment they can supply what they will start with – site establishment, fencing, clear & grub...so only request what is relevant at the time.			
20. Risk Assessment accounts for all environmental impacts and aspects of activities stated in the scope of work.			
21. PPE Policy and most recent issue register.			
INDUCTION			
22. Induction application forms completed for every employee of the contractor performing work on site; The following shall be attached:			
<ul style="list-style-type: none"> Employee Dossier with applicable documentation; (to be completed on site) 			
<ul style="list-style-type: none"> Proof of site specific induction; (to be completed on site) 			
<ul style="list-style-type: none"> Copy of ID Document; 			
<ul style="list-style-type: none"> Legal Letter of Appointment; (to be completed on site) 			



<ul style="list-style-type: none"> • Proof of competence i.e.: Artisans, drivers, operators etc.; 			
<ul style="list-style-type: none"> • Valid medical certificate of fitness done by an Occupational Health Practitioner (i.e. Annexure 3 for construction work) 			
<ul style="list-style-type: none"> • List of employees appointed for responsible for environmental matters on site. 			
REGISTERS			
23. Copy of equipment registers to be used with copy of each item's inspection checklist. The registers are not limited to the following, depends on the scope of work:			
<ul style="list-style-type: none"> • Site visitors register 			
<ul style="list-style-type: none"> • Excavation Inspection Register 			
<ul style="list-style-type: none"> • Hand tools Inspection register 			
<ul style="list-style-type: none"> • Barricading Inspection Register 			
<ul style="list-style-type: none"> • Traffic Inspection Register 			
<ul style="list-style-type: none"> • Mobile Toilet Inspection Register 			
<ul style="list-style-type: none"> • Daily Risk Assessment and Toolbox Talk 			
<ul style="list-style-type: none"> • PPE Inspection Register 			
<ul style="list-style-type: none"> • First Aid kit Inspection Register 			
<ul style="list-style-type: none"> • Fire Fighting Equipment Register 			
<ul style="list-style-type: none"> • Portable electrical Equipment Register 			
<ul style="list-style-type: none"> • Pneumatic Tool Register 			
<ul style="list-style-type: none"> • Compressor Checklist 			
<ul style="list-style-type: none"> • Ladder Inspection Register 			
<ul style="list-style-type: none"> • Vehicle Inspection Register 			
<ul style="list-style-type: none"> • Working at Height Equipment Register 			
INCIDENT/ACCIDENT MANAGEMENT			
24. Incident /Accident Management Procedure including reporting, recording and investigation of incidents and accidents			
25. Incident Investigation Procedure for environmental incidents (i.e. incidents that may cause harm to the environment). Include NEMA Section 30 Incident Reporting from.			
26. Register of first aid injuries			
27. Register of reportable injuries to the Provincial Director			
OTHERS			
28. Section 37(2) mandatory agreement between client - contractor and contractor - sub contractor. As well as: (to be completed on site)			
<ul style="list-style-type: none"> • CR 5.1(k) Principal Contractor appointment (to be completed on site) 			
<ul style="list-style-type: none"> • CR 7(1)(c)(v) Sub Contractor appointment 			
29. Training Matrix (Management, Supervisors and Employees)			
30. Copy of the OHS act and its Regulations , COID Act Regulations			
31. Appointment Letter: COVID-19 Compliance officer			
32. Approved COVID 19 - Risk Assessment			
33. Approved COVID -19 Workplace Plan: Preventing and Managing COVID 19 infection in the Workplace			



34. Copy of OHS Directive: COVID-19 Occupational Health and Safety Measures in Workplaces.			
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CONTRACTOR'S COMPLIANCE FILE REVIEW			
Date	Print Full Name	Designation	Signature
Status			
Approved			
Not Approved			
Reasons for not approving			