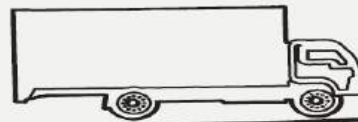




Logistic Contractor SHE Management Audit Report

RAISING THE WASTE GAME



Contractor SHEQ compliance Audit Criteria



BASIC DETAILS	
Date of Assessment:	29/09/2017
Organization Registered Name:	Infinite Fleet Transport
Delegated Representative:	Douw Steyn
Auditor:	Christiaan Du Plessis
Audit Report Reference Number:	CA-136

Contractor SHEQ compliance Audit Criteria

1. **Purpose of the Audit:** To determine whether or not the contractor conforms to planned contractual arrangements and specifications according to the Occupational Health and Safety Act.
2. **Audit Methodology:** The audit process will be structured and executed utilizing the following principals:
 - **Scoring System:** This is a performance outcome assessment, meaning that the subject matter under assessment will be benchmarked against a preferred compliance status. To achieve this all of the questions asked during the assessment will be quantified into a percentage value out of 100% by utilizing recognized statistical and mathematical techniques. The following status will be applied by the auditor to assess each section of criterion:

Status Level	Status Boundaries
Non-Compliance (N/C)	Not meeting a requirement of the procedure, standard or applicable legislation
Partial Compliance (P/C)	Partially not meeting a requirement of the procedure or standard with no immediate impact on the product or service including the environment and the health and safety of persons at work (including the surrounding community).
Compliance (C)	Complete fulfilment of a requirement

- **Preferred Compliance Status:** The final assessment score of the contractor under assessment will be managed in accordance to the following grading levels:

Grading Level	Status Boundaries
(80%) +	The contractor has achieved the preferred contractor status. An action plan with evidence of closure must be submitted within 30 working days. Next assessment will be in 12 months or otherwise determined by EnviroServ Waste Management.
(60% - 79%)	The contractor has achieved provisional status. An action plan must be submitted within 5 working days and evidence of closure within 30 days. Next assessment will be in 12 months or otherwise determined by EnviroServ Waste Management.
≤ (59%)	The contractor is below the minimum compliance requirements. All work on behalf of EnviroServ Waste Management must be stopped. An action plan must be submitted within 5 working days. The contractor may only commence work if a yellow status has been achieved.

- **Suitable Evidence:** The auditor must find and/or be provided with evidence to support the fact that the audit criteria had been adequately addressed. The auditor will follow several parts of the system that will include conducting interviews and the sampling of any document or article throughout the site to satisfy him or herself that the implementation of the criteria is effective.
- **Evidence Based Approach:** The audit is performed in a systematic sampling basis, therefore when non-conformities are not identified during the audit, it does not mean that they are completely non-existing.

Contractor SHEQ compliance Audit Criteria

Audit summary:

I would like to thank Infinite Group for the co-operation and courtesy extended to me throughout the duration of the contractor's audit.

Audit feedback:

Infinite Group received 1 minor non-conformance out of 48 questions asked which contributed to a grand total of **99%**.

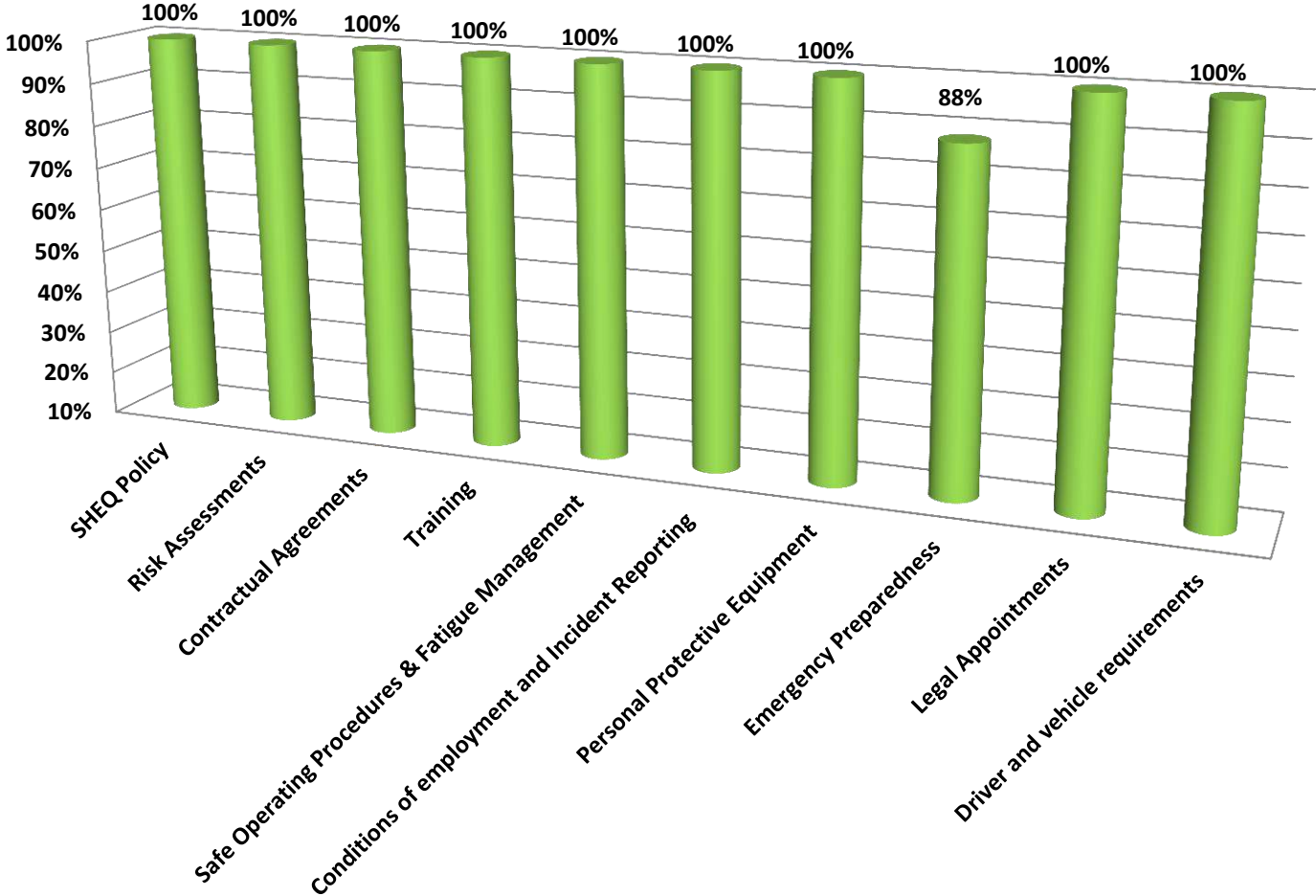
Detailed findings on each standard and actions required for continual improvement are outlined on the report below:

Contractor SHEQ compliance Audit Criteria

AUDIT CRITERIA		TOTAL	COMPLIANCE	PARTIAL COMPLIANCE	NON-COMPLIANCE	NOT APPLICABLE
1.	SHEQ POLICY /LEGAL AWARENESS	100%	6	0	0	0
2.	RISK ASSESSMENT	100%	4	0	0	0
3.	CONTRACTUAL AGREEMENT	100%	3	0	0	0
4.	TRAINING	100%	2	0	0	0
5.	SAFE OPERATING PROCEDURES	100%	3	0	0	0
6.	CONDITIONS OF EMPLOYMENT & INCIDENT REPORTING	100%	3	0	0	0
7.	PERSONAL PROTECTIVE EQUIPMENT	100%	2	0	0	0
8.	EMERGENCY PREPAREDNESS	88%	3	1	0	0
9.	LEGAL APPOINTMENTS	100%	3	0	0	0
10	DRIVER AND VEHICLE REQUIREMENTS	100%	18	0	0	0
TOTAL POINTS:		47.5/48	47	1	0	0
TOTAL SECTION PERCENTAGE:		99%				

Contractor SHEQ compliance Audit Criteria

Contractors Audit



Contractor SHEQ compliance Audit Criteria

Item	Audit Criteria	Status	Score	Finding
SHEQ POLICY /LEGAL AWARENESS				
1.1	Does the supplier/Contractor have a copy of the OHS Act?	C	1	
1.2	Are mandatory posters displayed on site (Basic conditions of employment); (Employment Equity act)	C	1	
1.3	Is there a company policy concerning drugs and alcohol?	C	1	
1.4	Does the supplier/contractor have a SHEQ Policy?	C	1	
1.5	Is the policy communicated to his staff members?	C	1	
1.6	Is the proof of registration in good standing with the Compensation Commissioner?	C	1	
RISK ASSESSMENT				
2.1	Has the contractor/supplier identified all risks associated with the activities performed at his site?	C	1	
2.2	Have all risks been rated?	C	1	
2.3	Have the contractor/supplier trained his/her employees on the risks assessed?	C	1	
2.4	Is the risk assessment conducted by a competent person?	C	1	
CONTRACTUAL AGREEMENT				
3.1	Does the contractor/supplier have a signed (by both parties) 37.2 agreement?	C	1	
3.2	Does the supplier/Contractor have a signed Service Level Agreement with Enviroserv?	C	1	
3.3	Does the supplier/Contractor have proof of adequate	C	1	Auditors Note:

Contractor SHEQ compliance Audit Criteria

	insurance?			Santam Policy Policy No: 53521143944 Pollution Cover: R10 000 000 Public Liability Cover: R10 000 000
TRAINING				
4.1	Did the supplier/contractor identify all the basic trainings required for carrying out activities on site?	C	1	
4.2	Have all mandatory trainings identified conducted by an accredited training provider?	C	1	
SAFE OPERATING PROCEDURES				
5.1	Did the supplier/contractor have written work instructions or safe operating procedures pertaining to the following activities?			
5.1.1	Verification of the presence of all the safety equipment (TREM Cards, PPE, Spill kits) as prescribed in the written instructions for the drivers?	C	1	
5.1.2	After loading, ensure inspection is done on loads to establish no obvious defects, leakages, cracks or missing equipment?	C	1	
5.1.3	Does the supplier/contractor monitor the driving hours of their fleets and do the drivers exceed the regulated driving hours?	C	1	Auditors Note: Fleet monitoring is through CarTrack and the vehicles are also equipped with driveCam. The contractor also discusses the driving hours with all the drivers.
CONDITIONS OF EMPLOYMENT & INCIDENT REPORTING				
6.1	Is there a documented system in place for recording and investigating non-conformances regarding: Accidents; incidents; unsafe conditions and near misses?	C	1	
6.2	Have there been any reportable cases and are there annexure 1 report forms available?	C	1	
6.3	Proof of incidents that are closed out and lessons	C	1	


Contractor SHEQ compliance Audit Criteria

	communicated to employees?			
PERSONAL PROTECTIVE EQUIPMENT				
7.1	Are employees wearing the correct PPE in the designated areas?	C	1	
7.2	Have all employees received training on the correct use of PPE?	C	1	
EMERGENCY PREPAREDNESS				
8.1	Does the supplier/contractor have emergency plan in accordance to all activities?	C	1	
8.2	Are employees aware of the emergency plan and the precautions to be taken during emergency?	C	1	
8.3	A list of the different parties to be informed with their contact details (customers, authorities,)?	C	1	
8.4	Is there proof of informing emergency response centres about the routes that are used?	P/C	0.5	The auditor asked for the route from Sasolburg to Holfontein, however only a notification was done for the city of Johannesburg. The rest of the route local emergency services also need to be informed.
LEGAL APPOINTMENTS				
9.1	Did the supplier/contractor identify all mandatory appointments required by the Acts? (Organogram)	C	1	
9.2	Have the letters of appointments been signed?	C	1	
9.3	Are the letters of appointment still valid?	C	1	
DRIVER AND VEHICLE REQUIREMENTS				
10.1	Does the driver have a valid driver licence and DGP?	C	1	
10.2	Pre-employment medical examinations?	C	1	
10.3	Does the company establish route criteria for its drivers?	C	1	

Contractor SHEQ compliance Audit Criteria

10.4	Is daily vehicle inspections done to ensure roadworthiness?	C	1	
10.5	Are vehicle defects reported and followed up?	C	1	
10.6	Is service and maintenance plan available for all vehicles used on site?	C	1	
10.7	Are the following items on the vehicles of an acceptable standard :			
10.7.1	Condition of tyres?	C	1	
10.7.2	Pressure test/leak test certificates available (applicable to tankers only)?	C	1	
10.7.3	Condition of lights (complete, unbroken)?	C	1	
10.7.4	Condition of cab?	C	1	
10.7.5	Documentation in cab?	C	1	
10.7.6	Labelling, placarding of the vehicle?	C	1	
10.8	For vehicles carrying dangerous goods, are the following items present and operational on the vehicle:			
10.8.1	Two fire extinguishers?	C	1	
10.8.2	Wheel chocks?	C	1	
10.8.3	Two self-standing warning signs (warning triangle)?	C	1	
10.8.4	Is the vehicle equipped with a valid license disc?	C	1	
10.8.5	Battery-isolation switches in place for all vehicles transporting dangerous goods?	C	1	
10.8.6	Is the vehicle and trailers equipped with the required Dangerous goods transportation permit/Fire permits?	C	1	

Contractor SHEQ compliance Audit Criteria

Observation:	Photo 1
<p>The vehicle Infinite made available during the audit for inspection complied with all the requirements defined under the transportation of dangerous goods.</p>	

Contractor SHEQ compliance Audit Criteria

Observation:	Photo 2															
<p>The contractor made the service level agreement available to the auditor. The auditor noticed that there are no requirements or agreement stipulated between EnviroServ and Infinite.</p>	<p>Attention:</p> <p>Service Level Agreement</p> <table border="1"> <thead> <tr> <th>Criteria</th> <th>Requirement</th> <th>Measurement</th> </tr> </thead> <tbody> <tr> <td>1)</td> <td></td> <td></td> </tr> <tr> <td>2) Equipment</td> <td></td> <td></td> </tr> <tr> <td>3) Health Risks and Environmental requirements</td> <td></td> <td></td> </tr> <tr> <td>4) Terms and Conditions</td> <td></td> <td></td> </tr> </tbody> </table> <ul style="list-style-type: none"> • Regular meetings to be held monthly with and EnviroServ Waste Management Ltd. • Measurements of performance to be set by and EnviroServ Waste Management Ltd and agreed upon. <p>Contacts at EnviroServ Waste Management Ltd.</p> <p>Signed at <u>Sara L. Berg</u> on the <u>20th February</u> 2015 By <u>Wesley du Toit</u> (Position) <u>General Manager</u></p> <p>Signed at <u>Steven Muller</u> on the <u>30th February</u> 2015 By <u>Steven Muller</u> (Position) <u>Regional O&S Manager</u> EnviroServ Waste Management Ltd</p> <p>2 of 4</p>	Criteria	Requirement	Measurement	1)			2) Equipment			3) Health Risks and Environmental requirements			4) Terms and Conditions		
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