



TRANSNET FREIGHT RAIL
a Division of
TRANSNET LIMITED
(Registration No. 1990/000900/06)

REQUEST FOR QUOTATION ("RFQ")

RFQ NO: HOAC-HOS-07048

ENVIRONMENTAL IMPACT ASSESSMENT FOR THE PROPOSED UPGRADE OF THE EXISTING SEWER EFFLUENT FACILITY AT LOOP 10 (HALFWAY), NORTHERN PROVINCE

| | | |
|--------------|---|------------------|
| ISSUE DATE | : | 18 JANUARY 2011 |
| CLOSING DATE | : | 01 FEBRUARY 2011 |
| OPTION DATE | : | 26 MAY 2011 |
| CLOSING TIME | : | 10H00 |

TENDER BOX ALLOCATED AT THE CHAIRPERSON TRANSNET FREIGHT RAIL
ACQUISITION COUNCIL, GROUND FLOOR, INYANDA HOUSE 1, 21
WELLINGTON ROAD, PARKTOWN, JOHANNESBURG.

Please note that late responses and those delivered or posted
to the wrong address will be disqualified.

Respondent's signature 1

Date and company stamp



SCHEDULE OF DOCUMENTS

1. Notice to Bidders
2. Requisition for quotation
3. Scope of Work and General specification
4. Returnable Schedules / Documents
5. Supplier Declaration Form
6. General Tender Conditions (CSS5 – Services)
7. Standard Terms and Conditions of Contract (US7 - Services)
8. Non-Disclosure Agreement
9. Suppliers Code of Conduct

“PREVIEW COPY ONLY”



SECTION 1

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

NOTICE TO BIDDERS

“PREVIEW COPY ONLY”



Quotations are requested from interested Respondents to supply the above-mentioned requirement to TRANSNET FREIGHT RAIL.

On or after 18/01/2010 the RFQ documents may be inspected at, and are obtainable from the office of TRANSNET Freight Rail Tender Advice Centre, Ground Floor, Inyanda House 1, 21 Wellington Road, Parktown.

A non-refundable tender fee of R100.00 (inclusive of Vat) is applicable per tender. Payment is to be made to Transnet Freight Rail, Standard Bank Account number 203158598, Branch code 004805. The deposit slip must reflect the tender number and the Company Name. Receipt/s to be presented prior to collection of the tender/s.

NOTE: This amount is not refundable.

For specific queries, please contact the TFR representative below..

NAME : Gladys Mtambo
E-MAIL : gladys.mtambo@transnet.net

Tenders in duplicate must reach the Chairperson, TRANSNET Freight Rail Acquisition Council, P.O.Box 4244, Johannesburg 2000 before the closing hour on the date shown below, and must be enclosed in a sealed envelope which must have inscribed on the outside:

Tender No : HOAC-HO-07048
Description : ENVIRONMENTAL IMPACT ASSESSMENT FOR THE PROPOSED UPGRADE OF THE EXISTING SEWER EFFLUENT FACILITY AT LOOP 10 (HALFWAY), NORTHERN PROVINCE
Closing date and time : 01 FEBRUARY 2011 10h00
Closing address (refer options below)

DELIVERY INSTRUCTIONS FOR THIS RFQ:

- 1** If posted, the envelope must be addressed to the Chairperson, TRANSNET Freight Rail Acquisition Council, P.O. Box 4244, Johannesburg 2000 and must be dispatched in time for sorting by the Post Office to reach the Chairperson before the closing time of the RFQ. In the event of the late receipt of a Proposal, the Respondent's franking machine impression will not be accepted as proof that the response was posted in time.
- 2** If delivered by hand, the envelope is to be deposited in the TRANSNET tender box which is located at the main entrance, Inyanda House, 21 Wellington road, Parktown, Johannesburg and should be addressed as follows:

**THE CHAIRPERSON
TRANSNET FREIGHT RAIL ACQUISITION COUNCIL
INYANDA HOUSE
21 WELLINGTON ROAD
PARKTOWN
JOHANNESBURG
2001**

The measurements of the "tender slot" are 500mm wide x 100mm high, and Respondents must please ensure that response documents or files are not larger than the above dimensions. Responses which are too bulky (i.e. more than 100mm thick) must be split into two or more files, and placed in separate envelopes.

It should also be noted that the above tender box is located at the main entrance and is accessible to the public 24 hours per day, 7 days a week.



- 3** If dispatched by courier, the envelope must be addressed as follows and delivered to the Office of The Chairperson, TRANSNET Freight Rail Acquisition Council and a signature obtained from that Office.

THE CHAIRPERSON
TRANSNET FREIGHT RAIL ACQUISITION COUNCIL
INYANDA HOUSE
21 WELLINGTON ROAD
PARKTOWN
JOHANNESBURG
2001

1. Please note that this RFQ closes punctually at 10:00 on Tuesday 01 February 2011
2. If responses are not posted or delivered as stipulated herein, such responses will not be considered and will be treated as "UNRESPONSIVE".
3. NO EMAIL OR FACSIMILE RESPONSES WILL BE CONSIDERED
4. The responses to this RFQ will be opened as soon as practicable after the expiry of the time advertised for receiving them.
5. TRANSNET shall not, at the opening of responses, disclose to any other company any confidential details pertaining to the Quotations received, i.e. pricing, delivery, etc. The names and location of the Respondents will, however, be divulged to other Respondents upon request.
6. Envelopes must not contain documents relating to any RFQ other than that shown on the envelope.
7. No slips are to be attached to the response documents. Any additional conditions must be embodied in an accompanying letter. Alterations, additions or deletions must not be made by the Respondent to the actual RFQ documents.

8. BROAD-BASED BLACK ECONOMIC EMPOWERMENT ("BBBEE")

TRANSNET fully endorses and supports the South African Government's Broad-Based Black Economic Empowerment Programme and it is strongly of the opinion that all business enterprises have an equal obligation to redress the imbalances of the past. TRANSNET would therefore prefer to do business with business enterprises who share these same values and who are prepared to contribute to meaningful BBBEE initiatives (including and not limited to enterprise development, subcontracting and Joint Ventures) as part of their tender response.

Transnet would accordingly allow a "preference" in accordance with the 10% preference system, as per the Preferential Procurement Policy Framework Act 5 of 2000 (as amended) to companies who provide a BBBEE accreditation Certificate. All procurement and disposal transactions in excess of R30000 will be evaluated accordingly. All transactions below R 30,000 will as far as possible be earmarked for EME's.

TRANSNET consequently urges Respondents (Large enterprises and QSE's – see below) to have themselves duly accredited by any one of the Accreditation Agencies approved by SANAS (South African National Accreditation System, under the auspices of the DTI).

In terms of Government Gazette No. 32467, Notice No. 810 dated 31 July 2009, as from 1 February 2010 only BBBEE certificates issued by Accredited Verification Agencies of Verification Agencies that are in possession of a valid pre-assessment letter from South African National Accreditation System will be valid.



However accreditation certificates issued by non-accredited verification agencies before 01 February 2010 and which are still within their one (1) year validity period will still be acceptable, until their expiry date provided that the accreditation was done in accordance with the latest codes (i.e. those promulgated on 9 February 2007).

BBBEE Accreditation Certificates issued after the published date i.e. 01 February 2010, by a Verification Agency not approved by SANAS, will NOT be acceptable as from 01 February 2010.

Enterprises will be rated by such Accreditation Agencies based on the following:

- (a) **Large Enterprises (i.e. annual turnover >R35 million):**
 - Rating level based on all 7 (seven) elements of the BBBEE scorecard
 - Enterprises to provide BBBEE certificate and detailed scorecard (to be renewed annually)
- (b) **Qualifying Small Enterprises – QSE (i.e. annual turnover >R5 million but <R35 million):**
 - Rating based on any 4 (four) of the elements of the BBBEE scorecard
 - Enterprises to provide BBBEE certificate and detailed scorecard (to be renewed annually)
- (c) **Exempted Micro Enterprises – EME (i.e. annual turnover <R5m are exempted from being rated or verified):**
 - Automatic BBBEE Level 4 rating, irrespective of race ownership, i.e. 100% BBBEE recognition
 - Black ownership >50% or Black Women ownership >30% automatically qualify as Level 3 BBBEE rating, i.e. 110% BBBEE recognition
 - EME’s should provide documentary proof of annual turnover (i.e. audited financials) plus proof of Black ownership if Black ownership >50% or Black Women ownership >30% (to be renewed annually) from their Auditors / Accounting Officers

In addition to the above, Respondents who wish to enter into a Joint Venture (JV) or subcontract portions of the contract to BBBEE companies must state in their Tenders / Proposals the percentage of the total contract value which would be allocated to such BBBEE companies, should they be successful in being awarded any business. A rating certificate in respect of such BBBEE JV-partners and/or sub-contractors, as well as a breakdown of the distribution of the aforementioned percentage allocation must also be furnished with the tender response to enable Transnet to evaluate / adjudicate on all tenders received on a fair basis.

Each Respondent is required to furnish proof of its BBBEE status (Certificate and Detailed Scorecard) and ensure that the documentation is valid at the date of Tender Submission as stipulated above to TRANSNET.

Failure to submit your BBBEE Certificate and Detailed Scorecard will result in a score of zero being allocated for BBBEE evaluation.

| |
|--|
| <p>Turnover: Indicate your company’s most recent annual turnover:</p> <p style="text-align: center;">R.....</p> |
|--|

- If annual turnover <R5m, please attach auditors / accounting officers letter confirming annual turnover and percentage black ownership as well as Black Women ownership



- If annual turnover >R5m please attach BBEE certificate and detailed scorecard from an accredited rating agency.

The DTI has created an online **B-BBEE Registry** (<http://www.dti.gov.za>) in order to provide a central and standardized source of the B-BBEE status of all entities, and to facilitate the flow of this information amongst entities by providing a Unique Profile Number (UPN) per each listing. Existing and prospective suppliers are therefore urged to list their B-BBEE status on the DTI Registry. Hence, entities verified by DTI, will receive the following benefits:

- Their BBEE status will be verified and confirmed by the DTI, before listing on the Registry
- Listing on the Registry will provide suppliers the option to market themselves on the DTI B-BBEE Opportunities Network. This is a search engine that is designed to help businesses find B-BBEE compliant entities who match specific requirements in terms of the nature of services/goods provided, region, B-BBEE status or other search criteria.

Transnet supports this DTI initiative and will use the DTI Registry to verify prospective and existing suppliers' BBEE credentials.

Kindly provide Transnet with your DTI B-BBEE UNIQUE PROFILE NUMBER with all tender submissions.

DTI BBEE UNIQUE PROFILE NUMBER:

.....

Failure to submit your BBEE information in terms of the above-mentioned clauses will result in a score of zero being allocated for BBEE evaluation.

9. COMMUNICATION

Respondents are warned that a response will be liable to disqualification should any attempt be made by a Respondent either directly or indirectly to canvass any officer(s) or employee of TRANSNET in respect of an RFQ between the closing date and the date of the award of the business.

A respondent may, however, BEFORE THE CLOSING DATE AND TIME, direct any enquiries relating to the RFQ to the TRANSNET employee as indicated in (2) above.

10. RFQ SCHEDULE

Respondents will be contacted as soon as practicable with a status update. At this time short-listed Respondents may be asked to meet with TRANSNET representatives. Respondents are to provide a list of persons who are mandated to negotiate on behalf of their company, together with their contact details.

10.1 INSTRUCTIONS FOR COMPLETING THE RFQ

- (i) Sign one set of documents (sign and date the bottom of each page). This set will serve as the legal and binding copy. A duplicate set of documents is required. This second set can be a copy of the original signed Proposal.
- (ii) Both sets of documents to be submitted to the address specified above.
- (iii) The following returnable documents must accompany all Proposals:
 - the Respondent's latest audited financial statements;
 - the Respondent's valid Tax Clearance Certificate.
 - a CD copy where applicable



11. COMPLIANCE

The Respondent shall be in full and complete compliance with any and all applicable State and Local Laws and Regulations.

12. ADDITIONAL NOTES:

- All returnable documents as indicated in the Proposal Form (Section 3) must be returned with the response
- Changes by the Respondent to its submission will not be considered after the closing date
- The person or persons signing the Proposal must be legally authorised by the Respondent to do so (Refer Section 4). A list of those person(s) authorised to negotiate on your behalf must be submitted along with the Proposal
- All prices must be quoted in South African Rands
- TRANSNET reserves the right to undertake post-tender negotiations with the preferred Respondent or any number of short-listed Respondents

NB: Unless otherwise expressly stated, all Proposals furnished pursuant to this Request shall be deemed to be offers. Any exceptions to this statement must be clearly and specifically indicated. TRANSNET reserves the right to reject any or all offers.

**FAILURE TO OBSERVE ANY OF THE ABOVE-MENTIONED REQUIREMENTS
MAY RESULT IN THE PROPOSAL BEING REJECTED.**

13. DISCLAIMERS

Respondents are hereby advised that TRANSNET is not committed to any course of action as a result of its issuance of this RFQ and/or its receipt of a Proposal in response to it. In particular, please note that TRANSNET reserves the right to:

- modify the RFQ's Goods or Services and request Respondents to re-bid on any changes
- reject any Proposal which does not conform to instructions and specifications which are detailed herein
- disqualify Proposals submitted after the stated submission deadline
- not necessarily accept the lowest priced Proposal
- reject all Proposals, if it so decides
- award a contract in connection with this Proposal at any time after the RFQ's closing date
- award only a portion of the proposed Goods or Services which are reflected in the scope of this RFQ
- split the award of the contract between more than one Supplier
- make no award of a contract

Kindly note that TRANSNET will not reimburse any Respondent for any preparation costs or other work performed in connection with this Proposal, whether or not the Respondent is awarded a contract.

14. Any PROPOSAL submitted by a Respondent is subject to negotiation and review of the proposed contract by TRANSNET's Legal Counsel.



NAME OF RESPONDENT :

PHYSICAL ADDRESS:

Respondent's contact person:

Name: _____

Designation: _____

Telephone: _____

Cellphone: _____

Facsimile: _____

Email: _____

**TRANSNET urges its clients and suppliers to report
any fraud or corruption
on the part of TRANSNET's employees to
TIP-OFFS ANONYMOUS : 0800 003 056**



SECTION 2

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

REQUISITION FOR QUOTATION

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REQUISITION FOR QUOTATION

| | |
|-----------------------|---------------|
| SUPPLY CHAIN SERVICES | |
| Contact: | Gladys Mtambo |
| Tel: | 011 584 0597 |

MESSRS:

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.....

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Tel (011)

Fax (011)

ISSUE DATE **18-01-2011**

CLOSING DATE **01-02-2011 (10h00)**

| | | | |
|---|---|--|--------------|
| Prices in South African currency, including all costs. | | | |
| Direct to consignees | | | |
| ITEM NO: | DESCRIPTION : ENVIRONMENTAL IMPACT ASSESSMENT FOR THE PROPOSED UPGRADE OF THE EXISTING SEWER EFFLUENT FACILITY AT LOOP 10 (HALFWAY), NORTHERN PROVINCE | | Price |
| 1. | | | |
| | | | |
| | | | |
| Total price for the project | | | |
| 2.Prices must be V.A.T. exclusive | | | |
| 3. Direct delivered to: | Transnet Freight Rail | | |
| 4.Contact person: | Ndivhuwo (011) 584-0528 | | |

5. COMPULSORY DOCUMENTS

NOTE:

5.1. Return of tender documents

The tender documents must be submitted on the closing date in **duplicate** and failure to do so will automatically disqualify your offer.

5.2. The following documents are compulsory, and they must be attached to the tender document if **Not** your tender will not be considered.

- a) Tax Clearance Certificate
- b) Supplier Declaration Form
- c) Current Vat Registration No.
- d) BBBEE level certification and Score Card

SIGNATURE OF TENDERER: _____ **Date:** _____



6. FRAUD HOTLINE

Transnet strives to be fair, equitable and just in all its dealings with tenderers. As such we encourage all tenderers to report any practice, activity or information that they are aware of or become aware of which may result in any perception of or actual fraud being committed against or in the name of Transnet. The hotline details are:-

Hotline telephone: 0800 003 056

Email: transnet@tip-offs.com

Fax: 0800 007 788

All information received will be treated with the utmost confidentiality

7. BUSINESS ADJUDICATION CRITERIA :

7.1."Order winning criteria"

7.1.1.Competitive Pricing

7.2."Technical"

7.2.1. Ability to conduct audit

7.3."BBBEE"

7.3.1.Provide BBBEE level Certification

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SIGNATURE OF TENDERER: _____

Date: _____



REFERENCES

COMPANY INFORMATION

9. STATEMENT OF WORK (S) SUCCESSFULLY CARRIED OUT BY THE TENDERER:

Tenderers are to advise which other companies have they successfully provided or are currently providing similar services.

| Service Description | For whom done | Period | Contact person and Telephone or Cell number |
|----------------------------|----------------------|---------------|--|
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SIGNATURE OF TENDERER:

Date: _____



SECTION 3

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

SCOPE OF WORK

REFER TO DOCUMENT ATTACHED

“PREVIEW COPY ONLY”



GENERAL SPECIFICATION :

REQUEST FOR THE APPOINTMENT OF THE ENVIRONMENTAL ASSESSMENT PRACTITIONER/S TO CONDUCT A BASIC ASSESSMENT PROCESS FOR THE PROPOSED UPGRADE OF THE EXISTING SEWER EFFLUENT FACILITY AT LOOP 10 (HALFWAY) IN THE NORTHERN CAPE

Transnet Freight Rail invites tenders from qualified Environmental Assessment Practitioner to commission an EIA process as laid down in the EIA Regulations (GN R.543 and GN R. 544), promulgated in terms Sections 24 and 44 of the National Environmental Management Act, 1998 (Act No. 107 of 1998), as amended.

1. PURPOSE OF THE CONTRACT

- 1.1 The purpose of the contract is to provide for commissioning of a process required for the proposed upgrade of the Halfway Sewer Facility and associated infrastructure.
- 1.2 The incumbent Environmental Assessment Practitioner will be required to comply with the specific requirements of the above-mentioned Act on behalf of Transnet Freight Rail by compiling and submitting to the competent authority, Basic Assessment Report and associated Environmental Management Plan (EMP) to address environmental impacts of the proposal.

2. BACKGROUND TO THE PROJECT

- 2.1 The Iron ore line is operated over a distance of 861 km starting at Sishen and end at Saldanha. Trains transport Iron Ore running in both directions as empty from Saldanha and loaded from Sishen. Train personnel working on these trains have to book off at arrival at Halfway after a shift of 12 hours. Halfway (also known as Loop 10) is situated 441 km from Saldanha and 420 km from Sishen. The nearest town is Brandvlei in the Northern Cape and is approximately 40 km away from Halfway.
- 2.2 The Ore line is in a phase of ramp up from a current 32m tonnes to 96m tonnes by 2015. The current volume require 31 loaded Ore trains per week at a yearly throughput tempo of 38m tonnes and 31 empty trains per week. GFB require 12 trains in both directions per week. Due to the ramp up strategy the trains running per week will drastically increase the need for accommodation, hence putting more pressure on the existing sewerage facility. In order to accommodate current operations and future expansion of the Iron Ore line and the Halfway overnight facility, the existing sewerage infrastructure must be upgraded, to handle the increased volumes of effluent from the overnight facility.

3. SCOPE OF WORK

- 3.1 *This contract covers the responsibilities and services rendered by the consultant in undertaking the requisite degree of study to assess the environmental impacts associated with the proposed upgrade of the Halfway Sewer Facility and associated infrastructure.*



3.2 *The assessment will be aimed at gathering all issues relating to the proposal and in detail addressing them in the Basic Assessment Report.*

3.3 *Commission public participation process, compile and submit Basic Assessment Report and EMP to the competent authorities as outlined in the Government Notice No.R.543. Liaise with stakeholders, various levels of government and individuals who have vested interest in the project.*

4. DELIVERABLES

The successful Environmental Assessment Practitioner shall:-

4.1 Initiate an EIA process and produce Basic Assessment Report and EMP with sufficient details contained therein, so as to meet the requirements of the regulatory authorities within a period of six (6) months effective from date of appointment.

4.2 Inform Interested and Affected Parties of the availability of the Environmental Authorization once that has been issued.

4.3 Respond to grounds of appeal in the event that appeal (s) is lodged with either the Minister or the MEC in terms of Chapter 7 of Government Notice No.R.543.

4.5 Prices shall take into account the attainment of such Environmental Authorization at no additional cost to Transnet Freight Rail.

5. QUALIFICATIONS AND EXPERIENCE OF THE ENVIRONMENTAL ASSESSMENT PRACTITIONER/S

5.1 The contract envisaged under this tender will be awarded to an Environmental Assessment Practitioner/s who has proven experience in the field of Environmental Impact Assessment with special emphasis to industrial infrastructure development.

5.2 Incumbent service provider/s shall attach full particulars of their experience, quoting specific references and contact numbers. Transnet shall have the right to make contact with referenced clients to verify the nature of the services provided.

5.3 Given the responsible nature of the work envisaged under this contract, Transnet reserves the right to award the tender to Environmental Assessment Practitioner/s of choice, with due regard for a favourable balance between the cost of services, resources available and experience in the Environmental Impact Assessment field.

5.4 The lowest bid may therefore not necessarily be accepted and no reasons for acceptance or non-acceptance of any quotation will be given.

6. CONFIDENTIALITY

The matter is regarded as strictly confidential between Transnet Freight Rail and the prospective service provider/s and must be treated as such.



7. PRICING

The quote for the assessment should be priced on an activity basis. Activities and costing thereof must be specified and would typically include:

Professional time (specified);

Public Participation Process

Desk top studies;

Two to three day site visits;

Reporting; and

Disbursements;

Estimated travel costs;

Printing; and

Any external specialist studies deemed necessary for regulatory approval for this level of study.

8. GENERAL

Prices shall be deemed inclusive of all costs required to produce the deliverables specified, whether specifically itemized and priced or not.

Disbursements and fees will be payable on an actual basis per activity, subject to the maximum tendered. The estimated quantity tendered (e.g. number of hours or kilometers) may only be exceeded with prior approval by Transnet Freight Rail.

Rates and quantities quoted shall be deemed the maximum payable to the consultant for providing the deliverables specified.

Prices quoted shall be fixed for at least 60 days and no escalation shall be payable afterwards.

Prices quoted shall be specified as inclusive or exclusive of VAT.

9. TERMINATION OF CONTRACT

Transnet shall have the right to terminate the above contract on grounds of non-performance, or unsatisfactory performance on the part of the consultant in the execution of this project.

Termination shall take place only after thorough consideration and due notification of grounds being provided by the Environmental Manager in writing, with a notice period of five (5) working days.

The successful Service Provider would be required to enter into a performance contract with Transnet Freight Rail.

10. GENERAL REQUIREMENTS

10.1. Curriculum vitae

Incumbent Environmental Assessment Practitioner/s shall supply a full curriculum vitae reflecting experience in this particular field of assessment.



10.2. Empowerment of Previously Disadvantaged Communities

Incumbent service provider/s proposals shall indicate their organizations' contribution to the above, the extent to which Black Economic Empowerment will be advanced within the context of this proposal and composition of the firm as per Transnet Freight Rail's Procurement Policy and Procedures.

10.3. Liaison with Regulatory Authorities

All liaisons with the regulatory authorities such as Department of Environmental Affairs (DEA) or other parties shall take place only with the direct knowledge and prior involvement of Transnet Freight Rail. The Environmental Assessment Practitioner/s shall at all times respect client privilege and confidentiality as vested in Transnet Freight Rail and shall neither by word nor action jeopardize Transnet Freight Rail's interests in the execution of the project. The above notwithstanding, Transnet Freight Rail will not in any way impinge upon nor constrain the professional independence of the appointed Environmental Practitioner.

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SECTION 4

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

RETURNABLE DOCUMENTS

“PREVIEW COPY ONLY”



C.1.Returnable Schedules / Documents required for tender evaluation purposes (By e.g.

| | Returnable Schedules / Documents | YES/NO/N/A | |
|----|--|-------------------|--|
| 1 | Certificate Of Authority For Joint Ventures (Where Applicable | X | |
| 2 | Schedule of the Tenderers Experience | X | |
| 3 | Certificate of Attendance at Clarification Meeting | X | |
| 4 | Labour Payment Schedule | X | |
| 5 | Supplier Declaration form (version2) | X | |
| 6 | Letter of Good Standing with the Compensation Commissioner | X | |
| 7 | Original / Certified BBBEE Rating Certificate With Detailed Scorecard | X | |
| 8 | Statement Of Compliance With Requirements Of The Scope Of Work | X | |
| 9 | Certified Copy of Financial Statements (for the past 3 years) including Balance sheets where BBBEE not provided. | X | |
| 10 | Certified Copy of Share Certificates CK1 & CK2 | X | |
| 11 | Certified Copy Of Certificate Of Incorporation and CM29 and CM9 | X | |
| 12 | Certified Copy of Identity Documents of Shareholders/Directors/Members (Where Applicable) | X | |
| 13 | Cancelled Cheque | X | |
| 14 | Original current Tax Clearance Certificate | X | |
| 15 | Original Vat Registration Certificate | X | |
| 16 | Copy of BEE Policy/BEE Plan/Employment Policy/Procurement Policy | X | |

SIGNATURE OF TENDERER:

Date: _____



SECTION 5

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

SUPPLIER DECLARATION FORM

Refer Document attached hereto

“PREVIEW COPY ONLY”



Transnet Supplier Declaration/Application

The Financial Director or Company Secretary

Transnet Vendor Management has received a request to load your company on to the Transnet vendor database. Please furnish us with the following to enable us to process this request:

1. Complete the "Supplier Declaration Form" (**SDF**) on page 2 of this letter
2. **Original** cancelled cheque **OR** letter from the bank verifying banking details (**with bank stamp**)
3. **Certified** copy of Identity document of Shareholders/Directors/Members (where applicable)
4. **Certified** copy of certificate of incorporation, CM29 / CM9 (name change)
5. **Certified** copy of share Certificates of Shareholders, CK1 / CK2 (if CC)
6. A letter with the company's letterhead confirming physical and postal addresses
7. **Original** or **certified** copy of SARS Tax Clearance certificate and Vat registration certificate
8. A signed letter from the Auditor / Accountant confirming most recent annual turnover and percentage black ownership in the company **AND/OR** BBBEE certificate and detailed scorecard from an accredited rating agency (SANAS member).

NB:

- **Failure to submit the above documentation will delay the vendor creation process.**
- *Where applicable, the respective Transnet business unit processing your application may request further information from you. E.g. proof of an existence of a Service/Business contract between your business and the respective Transnet business unit etc.*

IMPORTANT NOTES:

- a) **If your annual turnover is less than R5 million**, then in terms of the DTI codes, you are classified as an Exempted Micro Enterprise (EME). If your company is classified as an EME, please include in your submission, a signed letter from your Auditor / Accountant confirming your company's most recent annual turnover is less than R5 million and percentage of black ownership and black female ownership in the company **AND/OR** BBBEE certificate and detailed scorecard from an accredited rating agency (e.g. permanent SANAS Member), should you feel you will be able to attain a better BBBEE score.
- b) **If your annual turnover is between R5 million and R35million**, then in terms of the DTI codes, you are classified as a Qualifying Small Enterprise (QSE) and you claim a specific BBBEE level based on any 4 of the 7 elements of the BBBEE score-card, please include your BEE certificate in your submission as confirmation of your status.
NB: BBBEE certificate and detailed scorecard should be obtained from an accredited rating agency (e.g. permanent SANAS Member).
- c) **If your annual turnover is in excess of R35million**, then in terms of the DTI codes, you are classified as a Large Enterprise and you claim a specific BEE level based on all seven elements of the BBBEE generic score-card. Please include your BEE certificate in your submission as confirmation of your status.
NB: BBBEE certificate and detailed scorecard should be obtained from an accredited rating agency (permanent SANAS Member).
- d) **To avoid PAYE tax being automatically deducted from any invoices received from you**, you must also contact the Transnet person who lodged this request on your behalf, so as to be correctly classified in terms of Tax legislation.
- e) Unfortunately, **No payments can be made to a vendor** until the vendor has been registered, and no vendor can be registered until the vendor application form, together with its supporting documentation, has been received and processed.
- f) **Please return the completed Supplier Declaration Form (SDF) together with the required supporting documents mentioned above to the Transnet Official who is intending to procure your company's services/products in order that he/she should complete and Internal Transnet Departmental Questionnaire before referring the matter to the appropriate Transnet Vendor Master Office.**

Regards,

Transnet Vendor/Supplier Management *[please substitute this with your relevant Transnet department before sending this document out]*



Supplier Declaration Form

| | | | | | | | |
|---|----|-------------------------|---------|-------------------------------|---------------|-----------------|--|
| Company Trading Name | | | | | | | |
| Company Registered Name | | | | | | | |
| Company Registration Number Or ID Number If A Sole Proprietor | | | | | | | |
| Form of entity | CC | Trust | Pty Ltd | Limited | Partnership | Sole Proprietor | |
| VAT number (if registered) | | | | | | | |
| Company Telephone Number | | | | | | | |
| Company Fax Number | | | | | | | |
| Company E-Mail Address | | | | | | | |
| Company Website Address | | | | | | | |
| Bank Name | | | | Bank Account Number | | | |
| Postal Address | | | | | | Code | |
| Physical Address | | | | | | Code | |
| Contact Person | | | | | | | |
| Designation | | | | | | | |
| Telephone | | | | | | | |
| Email | | | | | | | |
| Annual Turnover Range (Last Financial Year) | | < R5 Million | | R5-35 million | | > R35 million | |
| Does Your Company Provide | | Products | | Services | | Both | |
| Area Of Delivery | | National | | Provincial | | Local | |
| Is Your Company A Public Or Private Entity | | | | Public | | Private | |
| Does Your Company Have A Tax Directive Or IRP30 Certificate | | | | Yes | | No | |
| Main Product Or Service Supplied (E.G.: Stationery/Consulting) | | | | | | | |
| BEE Ownership Details | | | | | | | |
| % Black Ownership | | % Black women ownership | | % Disabled person/s ownership | | | |
| Does your company have a BEE certificate | | | Yes | No | | | |
| What is your broad based BEE status (Level 1 to 9 / Unknown) | | | | | | | |
| How many personnel does the firm employ | | Permanent | | Part time | | | |
| Transnet Contact Person | | | | | | | |
| Contact number | | | | | | | |
| Transnet operating division | | | | | | | |
| Duly Authorised To Sign For And On Behalf Of Firm / Organisation | | | | | | | |
| Name | | | | | Designation | | |
| Signature | | | | | Date | | |
| Stamp And Signature Of Commissioner Of Oath | | | | | | | |
| Name | | | | | Date | | |
| Signature | | | | | Telephone No. | | |

NB: Please return the completed Supplier Declaration Form (SDF) together with the required supporting documents mentioned above to the Transnet Official who is intending to procure your company's services/products.



2. VENDOR TYPE OF BUSINESS

(Please tick as applicable)

(* - Minimum requirements)

2.1 Indicate the business sector in which your company is involved/operating:

| | | | |
|---|--|--|--|
| Agriculture | | Mining and Quarrying | |
| Manufacturing | | Construction | |
| Electricity, Gas and Water | | Finance and Business Services | |
| Retail, Motor Trade and Repair Services | | Wholesale Trade, Commercial Agents and Allied Services | |
| Catering, accommodation and Other Trade | | Transport, Storage and Communications | |
| Community, Social and Personal Services | | Other (Specify) | |
| Principal Business Activity * | | | |
| Types of Services Provided | | | |
| Since when has the firm been in business? | | | |

2.2 What is your company's annual turnover (excluding VAT)? *

| | | | | | | | | | |
|-------|-----------------|----------------|--------------|---------------|----------------|----------------|----------------|----------------|-------|
| <R20k | >R20k <R0.3m | >R0.3m <R1m | >R1m <R5m | >R6m <R10m | >R11m <R15m | >R16m <R25m | >R26m <R30m | >R31m <R34m | >R35m |
| | | | | | | | | | |

2.3 Where are your operating/distribution centres situated? *

| | |
|--|--|
| | |
| | |
| | |
| | |
| | |

3. VENDOR OWNERSHIP DETAIL

(Please tick as applicable)

(* - Minimum requirements)

3.1 Did the firm previously operate under another name? *

| | | | |
|-----|--|----|--|
| YES | | NO | |
|-----|--|----|--|

3.2 If Yes state its previous name:*

| | |
|-----------------|--|
| Registered Name | |
| Trading Name | |



| | | |
|--------------------|--|------------|
| 3.3 | Who were its previous owners / partners / directors?* | |
| SURNAME & INITIALS | | ID NUMBERS |
| | | |
| | | |
| | | |
| | | |

| | | | | | | | | |
|--------------------|--|--------------|-----|-------------|--------|-------------------|---------|----------|
| 3.4 | List Details of current partners, proprietors and shareholders by name, identity number, citizenship, status and ownership as relevant: * | | | | | | | |
| SURNAME & INITIALS | IDENTITY NUMBER | CITI-ZENSHIP | HDI | DIS - ABLED | GENDER | DATE OF OWNERSHIP | % OWNED | % VOTING |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

| | | | | | | | |
|--------------------|---|-------|-------------|--------|-------------------------------|----------------|--|
| 3.5 | List details of current directors, officers, chairman, secretary etc. of the firm: * | | | | | | |
| SURNAME & INITIALS | IDENTITY NUMBER | TITLE | DIS - ABLED | GENDER | % OF TIME DEVOTED TO THE FIRM | CONTACT NUMBER | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

| | | | | | |
|--------------------|--|------------------------------|---------------------|---------|--------------------------------|
| 3.6 | List details of firms personnel who have an ownership interest in another firm: * | | | | |
| SURNAME & INITIALS | IDENTITY NUMBER | NAME & ADDRESS OF OTHER FIRM | TITLE IN OTHER FIRM | % OWNED | TYPE OF BUSINESS OF OTHER FIRM |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

4. VENDOR DETAIL
 (Please tick as applicable) (* - Minimum requirements)

| | | | | | | |
|------------|---|-------|----------|--------|-------|-------|
| 4.1 | How many personnel does the firm employ? * | | | | | |
| | BLACK | WHITE | COLOURED | INDIAN | OTHER | TOTAL |
| Permanent | | | | | | |
| Part Time | | | | | | |



| | | | | | | |
|--------------|---|--------------|-----------------|---------------|--------------|--------------|
| 4.1.1 | In terms of above kindly provide numbers on women and disabled personnel? * | | | | | |
| | BLACK | WHITE | COLOURED | INDIAN | OTHER | TOTAL |
| Women | | | | | | |
| Disabled | | | | | | |

| | | | | |
|------------|---|-----------------|--------------------|----------------------|
| 4.2 | Provide Details of Contact Person/s Responsible for Broad Based Black Economic Empowerment (BBBEE) in the Company * | | | |
| | SURNAME | INITIALS | DESIGNATION | TELEPHONE NO. |
| | | | | |
| | | | | |

| | | | |
|--------------|---|----|--|
| 4.2.1 | Is your company a value adding supplier (i.e. registered as a vendor under the VAT Act of 1991, where NPAT + total labour cost > 25% of total revenue)? | | |
| YES | | NO | |

| | | | |
|--------------|---|----|--|
| 4.2.2 | Is your company a recipient of Enterprise Development Contributions?* | | |
| YES | | NO | |

| | | | |
|--------------|--|----|--|
| 4.2.3 | May the above mentioned information be shared and included in Transnet Supplier Database for future reference? * | | |
| YES | | NO | |

| | | | |
|--------------|--|----|--|
| 4.2.4 | If you are successful in the tender/contract (where applicable) and this is awarded to your company / organisation, will this have a positive impact on your employment plans? * | | |
| YES | | NO | |

| | | | | | | |
|--------------|--|--------------|-----------------|---------------|--------------|--------------|
| 4.2.5 | If yes (above) kindly provide the following information: | | | | | |
| | BLACK | WHITE | COLOURED | INDIAN | OTHER | TOTAL |
| Permanent | | | | | | |
| Part Time | | | | | | |

| | | | | | | |
|--------------|---|--------------|-----------------|---------------|--------------|--------------|
| 4.2.6 | In terms of above kindly provide numbers on woman and disabled personnel: | | | | | |
| | BLACK | WHITE | COLOURED | INDIAN | OTHER | TOTAL |
| Women | | | | | | |
| Disabled | | | | | | |

| | | | |
|--------------|--|----|--|
| 4.2.7 | Are any of your members/shareholders/directors ex employees of Transnet? | | |
| YES | | NO | |

| | | | |
|--------------|---|----|--|
| 4.2.8 | Are any of your family members employees of Transnet? | | |
| YES | | NO | |

| | | | | | |
|-------------------------------|--|---|----------------------------|----------------|---------------------------------------|
| 4.2.9 | If Yes to points 4.2.7 & 4.2.8, list details of employees/ex-employees | | | | |
| SURNAME & INITIALS | IDENTITY NUMBER | NAME & ADDRESS OF OTHER FIRM | TITLE IN OTHER FIRM | % OWNED | TYPE OF BUSINESS OF OTHER FIRM |
| | | | | | |
| | | | | | |
| | | | | | |



Internal Transnet Departmental Questionnaire (for office use only)

| Section 1: To be completed by the Transnet Requesting / Sourcing Department | | | | | | | | | | | |
|---|--|--------|--|--------|--|---------|--|----------------------|--|-----|--|
| TFR | | TRE | | TPT | | TPL | | TNPA | | TRN | |
| Create | | Amend | | Block | | Unblock | | Once-Off / Emergency | | | |
| Extend | | Delete | | Undele | | | | | | | |

| | | | | | | | | | | | |
|--|-----|--|----|--|--|--|--|--|--|--|--|
| Supplier's trading name | | | | | | | | | | | |
| Supplier's registered name | | | | | | | | | | | |
| Please indicate if the Supplier has a contract with sourcing Transnet OD | Yes | | No | | | | | | | | |
| If yes please submit a copy of the letter of award | | | | | | | | | | | |

| a) What is being procured from the supplier? | | | | |
|--|-----|--|----|--|
| i. Products only | Yes | | No | |
| ii. Services only | Yes | | No | |
| iii. Labour only | Yes | | No | |
| iv. Mix of services and products | Yes | | No | |
| v. Mix of services and labour | Yes | | No | |

b) If your answer is **YES** to questions II, III, IV or V in paragraph a) above, please indicate whether the relevant **PAYE questionnaires** have been forwarded to the appropriate **Transnet Operational Divisions'** decision making bodies / **Strategic Supply Management** team for a directive /decision on tax withholding from payments to this supplier.

| | | | |
|-----|--|----|--|
| Yes | | No | |
|-----|--|----|--|

c) If your reply to (b) is **"NO"**, please furnish reasons :

d) Certification and Approval of proposed Vendor Creation/Unblocking/Other Changes by Transnet Official with Appropriate Delegated Authority :

I HEREBY CERTIFY THAT THE TRANSNET DETAILED PROCUREMENT PROCESS (DPP) / PROCUREMENT MECHANISM HAS IN ALL RESPECTS BEEN ADHERED TO AND I THEREFORE APPROVE THE PROPOSED VENDOR CREATION/APPROVAL/OTHER CHANGES TO BE EFFECTED ON THE VENDOR MASTER

| Name | Grade | Date | | | | | | | | Signature |
|------|-------|------|---|---|---|---|---|---|---|-----------|
| | | Y | Y | Y | Y | M | M | D | D | |

| | | | |
|---------|--|-----|--|
| Tel No: | | Fax | |
|---------|--|-----|--|

| Section 2: To be completed by the BEE Department (this section is for Confirmation/Determining of BEE Status) | | | | | | | | | | | | | | |
|---|------|------|----|--------------------|-----------|-----------------|--------------|---------------|---|-----------|---|---|---|--|
| NARROW BASED (NB) | | | | BROADBASED (BBBEE) | | | | | | | | | | |
| BEE O/S | BWBE | DPBE | MR | CONTR. LEVEL | EME: <R5m | QSE: >R5m <R35m | LARGE: >R35m | VALIDITY DATE | | | | | | |
| | | | | | | | | | | | | | | |
| Name | | | | Grade | | Date | | | | Signature | | | | |
| | | | | | | Y | Y | Y | Y | M | M | D | D | |
| | | | | | | Y | Y | Y | Y | M | M | D | D | |



SECTION 6

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

GENERAL TENDER CONDITIONS OF CONTRACT (CSS5 – SERVICES)

Refer Document attached hereto

“PREVIEW COPY ONLY”



SECTION 7

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

STANDARD TERMS AND CONDITIONS OF CONTRACT (US7 – SERVICES)

Refer Document attached hereto

“PREVIEW COPY ONLY”



SECTION 8

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

NON DISCLOSURE AGREEMENT

Refer Document attached hereto

“PREVIEW COPY ONLY”



SECTION 9

RFQ NO: HOAC-HO-07048

**ENVIRONMENTAL IMPACT ASSESSMENT FOR THE
PROPOSED UPGRADE OF THE EXISTING SEWER
EFFLUENT FACILITY AT LOOP 10 (HALFWAY),
NORTHERN PROVINCE**

SUPPLIER CODE OF CONDUCT

Refer Document attached hereto

“PREVIEW COPY ONLY”

TRANSNET



delivering on our commitment to you

Suppliers Code of Conduct

“PREVIEW COPY ONLY”



Suppliers Code of Conduct

Transnet 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:

- » 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); and
- » The Anti-Corruption Act.

This code of conduct has been compiled to formally apprise 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.

Transnet 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 influence the outcome of a sourcing activity;
- Win or retain business or to influence any act or decision of any person involved in sourcing decisions; 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" Hotline to report these acts - 0800 003 056.

Transnet is firmly committed to 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 non-value adding agents or representatives solely for the purpose of increasing BBBEE spend (fronting).

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.



"PREVIEW COPY ONLY"

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 must be 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.

Conflict 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. Examples are:

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



Show that you support good business practice by logging onto www.transnet-suppliers.net and completing the form.

This will allow us to confirm that you have received, and agree to, the terms and conditions set out in our Suppliers Code of Conduct.

TIP-OFFS ANONYMOUS HOTLINE
0800 003 056