

1. PURPOSE & SCOPE

- To establish control on procurement of products and services; and manage the contracted activities including equipment hiring to ensure conformity to SW HSEMS, as appropriate.
- To communicate and address the HSE requirements of the workplace arising out of both organizational and contractor activities.
- To mitigate the HSE risks arising out of organizational and contractor activities that may impact the interested parties.

2. APPLICABILITY

This procedure applies to Sterling & Wilson Projects and Operation & Maintenance

3. RESPONSIBILITIES

SCM, PM, HSE

4. DESCRIPTION OF PROCEDURE

This procedure addresses the HSE requirements of material procurement, equipment hire, and assessing contractors' engagement and execution capabilities.

The following sections address the HSE requirements:

- Material procurement and vendor assessment
- Equipment hiring
- Contractor controls

SW's business model does not fully or partially outsource any execution processes with significant HSE impacts.

4.1. MATERIAL PROCUREMENT AND VENDOR ASSESSMENT

A standard set of questionnaires (Form no. SW/HSE/F453) will be circulated to the prospective vendors during the vendor registration process to assess their HSE commitments. The re-assessment will be carried out every two years for an existing vendor. During material supply, the vendor is required to follow the below guidelines on, packaging, transportation, unloading & handling, waste disposal and emergency requirements.

- All equipment is required to be marked with proper safety signages and instructions e.g. hot surface, cold surface, pinch point, electric shock hazard, voltage grade, safe distance and other signage requirements as per relevant codes & practices.
- Maximum use of pictorial signage to be used for easy understanding. Instruction in local languages is preferred where possible.

- Appropriate marking /diagram for slinging of equipment to be provided for safe unloading. Load chart, load calculation and suggested equipment for unloading with tonnage should be provided for an odd/heavy load at least fifteen days in advance. Adequate hooking arrangements need to be provided for hazard-free unloading.
- Avoid loading the vehicle more than the permitted capacity and beyond the allowed profile.
- Equipment and materials shall always be packed in a foil (Polyethylene or aluminium) for extra (double) protection against rainfall. Those foils are to be applied in such a way that they are self-draining.
- All equipment and materials which may be damaged by moisture shall be packed in airtight bags in which sufficient desiccant materials (e.g. silica gel).
- Uses of foaming material to be limited for packaging.
- All openings on the equipment must be closed with wooden or plastic covers to prevent damage to the openings and interiors.
- Spare parts shall be packed separately, they may however be enclosed in main cases as a separate package.
- Steel & other materials can be wrapped in sacks if supplied from local resources
- If Waterproofed packing is required, cases including the cover shall be internally lined with a strong type of waterproof paper or plastic foil. The bottom must be executed watertight.
- To prevent dust accumulation over the equipment it should be covered properly. Sand and other construction materials which may fly in the atmosphere during transportation shall be covered with a protective sheet to prevent the propagation of dust.
- Additional packaging requirements in the material specification should be followed.
- All equipment and materials shall be properly fixed by bolts, clamps, supporting beams, etc. in such a way that internal movements and/or working loose will be impossible. Under the top cover (roof) depending on the case and crate length, a. enough strong beams shall be placed and properly fixed to allow stacking of the cases while avoiding any compression.
- Equipment parts and materials which may be subject to damage by vibration and/or shock, must be protected using shock-absorbing material.
- Ensure to comply with Local laws applicable during transportation and ensure necessary permits/forms are obtained from authorities. Vehicles used for material transportation must be checked for any visible signs of oil leaks and all necessary vehicle fitness requirements.
- Only authorized medically fit drivers with adequate experience should be engaged.
- Under-age workers less than 18 years are strictly prohibited.
- Ensure prevention of indiscrimination, sexual harassment and forced labour.
- Maintain the local customs, do not damage any artefacts, and respect the indigenous people.
- Follow Road signs and speed limits, while transporting and shall ensure relevant statutory compliance related to transportation of goods.
- Logistics company must undertake a route survey and discuss the issues related to transit risks prior hand with SW and organize the necessary approvals to prevent any untoward incident while transporting the materials to the interior country sides or transporting through semi-developed/under-developed urban/village roads.
- Hazardous materials if transported to display the mandatory communication signages including HAZCHEM signages and should follow the regulations as applicable.

- No spare fuel for cooking or other purpose is to be kept in the vehicle.
- In case of long transits (more than 6 hours duration continuous journey) and night travels, lone driving is not allowed. Proper resting and driving schedule (30 minutes for every 2 hours) to be followed in normal transit conditions.
- Driver must be instructed not to consume alcohol and not under the influence of intoxicating substances while driving. While driving usage of mobile/cellular phones is strictly prohibited.
- GPS/IVMS/Fleet management tracking systems for vehicles are recommended.
- Fire extinguishers and other emergency equipment including tow chains, shovels, jacks, spare tyres, emergency lights (torches), mandatory toolbox, first-aid box, and emergency communication numbers must be kept in good condition in the vehicles to handle any emergency situation en route.
- The driver/ assistant must know how to operate a fire extinguisher.
- Material unpacking Instruction with packaging material disposal requirements as required to be provided.
- Material unloading, storing, handling and installation guideline is required to reach the the site fifteen days in advance.
- Low bed tailor, ageing of transport vehicle (as per local regulation) & type of container should be decided by SCM & PM before the supply of equipment at the site.
- SW will not be responsible for any transit incidents en-route. The transporter/logistics company is solely responsible for any HSE mishaps.
- Additional specific HSE instructions related to equipment, packaging & transportation which may arise during procurement negotiation shall be adhered to. In addition, the site HSE rules are to be followed strictly while at the SW workthe site.

4.2. EQUIPMENT HIRING

SW hires equipment and machinery for executing its activities at the the site. During the hiring of equipment, the vendor must follow the below general guidelines:

- All equipment and machinery must be in good condition free from any defects. The third-party test certificates, annual inspection/fitness certificates, Registration Certificates (RC), Insurance certificates Pollution Certificates, and others as per applicable local regulations.
- Old/damaged vehicles/equipment must not be allowed for use. All rotating parts of the machinery and power transmission drives must be guarded and fitted properly. Broken/damaged machinery guarding is not acceptable. Lifting slings, d-shackles, i-bolts, jacks and other lifting gears, chains, ropes, and other accessories & small tools must be in good condition, inspected and load tested as required. All limit switches and other electronic controls/devices must be functional as per their design intent.
- Only experienced and competent personnel are to be engaged as drivers, operators, supervisors, helpers, riggers, and other staff. Competency of the operators, drivers, and riggers is to be checked as per SW HSE Procedure prior to their engagement at the workthe site. SW reserves the right to reject any of them if found non-competent.

- All drivers, operators, supervisors, helpers, riggers, and other related personnel of the hiring agency are required to undergo screening formalities & medical fitness checkups as prescribed in local regulations.
- The site HSE rules including induction training and other training programs must be strictly adhered to.
- Hiring agency must arrange all the recommended PPEs for its employees. Failing to do so, will either result in a penalty or the ouster of the offender from the the site.
- Designated parking slots to be used strictly for any vehicle parking.
- Routine maintenance work is discouraged at the workthe site and it must be carried out at the Hiring agency's premises and records must be kept updated.
- In case of any breakdown/emergency, it must be reported to the Plant / HSE In-charge ensuring no environmental nuisance/ degradation at the workthe site due to spillages (oil/concrete wash), improper handling of waste, improper handling/storage of waste, spent oil by ensuring required control measures at designated maintenance areas only.
- The speed limits at the the site and on approach roads are to be strictly adhered to. No extra persons can travel in the equipment/vehicle other than permitted.
- No washing of concrete machines/cement trucks is allowed at the the site unless there is a special provision made.
- No construction waste is to be disposed of in other than specified areas to avoid mixing with natural streams. SW's Waste management plan and protocols are to be strictly followed during the transits.
- Mandatory safety signages to be displayed strictly.
- Various machinery attachments shall be secured properly and shall be stored at designated locations with proper barricades while on the workthe site.

4.2.1. EARTH MOVING EQUIPMENT

- Ensure that all statutory documents are available such as drivers/operators' medical examination, suitable & valid license, vehicle insurance, and pollution control certificate.
- The drivers/operators must be competent and fully conversant with safe parking, height instructions, danger signs, loading patterns, interference of persons/materials working in proximity and experienced to deal with risks associated with its operations.
- Contractor to ensure that the design and construction of the vehicles are suitable for the load(s) and vehicles are adequately secured so that there is no likelihood of them moving or falling off.
- Contractor to submit Third Party Inspection (TPI) Certificate by a Competent Person and other relevant documents as per local statutory requirements.

4.2.2. LIFTING MACHINERY / EQUIPMENT/ VEHICLES (TRUCK-MOUNTED HYDRAULIC MOBILE CRANE, (TRUCK-MOUNTED LOADER CRANE, TELEHANDLER, HYDRAULIC MOBILE CRANE (F-15), ETC.)

- Ensure that all statutory documents are available such as drivers/operators' medical examination, suitable & valid license, vehicle insurance, and pollution control certificate.
- The drivers/operators must be competent and fully conversant with the safe parking, height instructions, danger signs, loading patterns, interference of persons/materials working in proximity and experienced to deal with risks associated with its operations.

- Contractor to ensure that design and construction of the vehicle are suitable for the load(s) and vehicles are adequately secured so that there is no likelihood of them moving or falling off
- Contractor to submit Third Party Inspection (TPI) Certificates by a Competent Person and other relevant documents as per local statutory requirements of lifting tools & tackles and lifting Gears shall be obtained & displayed on the construction machinery/equipment/vehicles
- Lifting plan to be made considering the actual load vs designed load, counterweight, limits of maximum load to prevent tipping, overturning, failure of loading, banksmen, lifting radius and functioning of limit switches to be ensured.
- Following the relevant SOP while using machinery/equipment/Vehicles is mandatory.

4.2.3. MEWP

- Ensure that all statutory documents are available such as operators' medical examination, suitable & valid license, vehicle insurance, and pollution control certificate.
- The operators must be competent and fully conversant with safe parking, height instructions, danger signs, loading patterns, interference of persons/materials working in proximity and experienced to deal with risks associated with its operations.
- Contractor to submit Third Party Inspection (TPI) Certificates by a Competent Person and other relevant documents as per local statutory requirements of MEWP.
- Load chart shall be available and displayed on the vehicle.
- All limiting switches & emergency switches to be functional.
- Following the relevant SOP while using MEWP is mandatory.

4.2.4. Power tools

- All hand and power tools and similar equipment are to be maintained in a safe condition and all power tools must be inspected & tagged before use at the the site.
- Contractor must maintain all its tools in good condition and if any are found defective during the inspection will be repaired to the satisfaction of the SW or discarded them.
- Any belts, gears, shafts, pulleys, sprockets, spindles, drums, fly wheels, chains, or other reciprocating, rotating, or moving parts and pinch points of equipment are to be guarded.
- Employees must wear suitable PPEs confirming relevant National / International Standards to prevent injury from falling, flying objects, abrasives, and splashing objects, or exposure to harmful dust, fumes, mists, vapours, or gases.
- All other hand-held powered tools, such as circular saws, chain saws, and percussion tools without positive accessory holding means, are to be equipped with a constant pressure switch that will shut off the power when the pressure is released.
- All electrical power-operated tools are to be double insulated or grounded.
- The connecting hoses for hydraulic and pneumatic tools are to be secured from snapping with a positive pressure lock wherever possible.
- Following the relevant SOP while using power tools is mandatory.

4.2.5. Bus /cars

- Ensure that all statutory documents are available such as driver’s medical examination, suitable & valid license, vehicle insurance, and pollution control certificate.
- The drivers must be competent and fully conversant with safe parking, height restrictions, road signs, speed limit, road conditions, and interference of persons/materials working in proximity.
- Seat belts, airbags and other mandatory safety accessories (First aid kit, fire extinguishers) must be available & in good condition.
- Spare tyres, jack, and tow chains should be available in the vehicle.
- If the vehicle needs to travel in sandy/dusty road conditions four-wheel drive (4WD) vehicle to be used, which should be equipped with a shovel & other equipment necessary equipment.
- Driver must be conversant with mandatory road safety rules and follow the same strictly.
- Bus/car should carry the passengers as per vehicle capacity, no overloading is allowed.
- Pandemic guidelines for restriction of passengers & sanitization should be followed.
- Contractor must maintain its vehicle in good condition through daily inspection
- SW reserves the right to reject the vehicle found not fit at any time and the contractor to replace it with another vehicle.

4.2.6. Dumper/ Tipper truck

- Ensure that all statutory documents are available such as driver’s medical examination, suitable & valid license, vehicle insurance, and pollution control certificate.
- The drivers must be competent and fully conversant with safe parking, height restrictions, road signs, speed limit, road conditions, and interference of persons/materials working in proximity.
- Seat belts, airbags, and other mandatory safety accessories (First aid kit, fire extinguishers) must be available & in good condition.
- No overloading and over-profiling of Dumper / Tipper truck is allowed.
- Spare tyres, jack, and tow chains should be available in the vehicle.
- Driver must be conversant with mandatory road safety rules and follow the same strictly.
- Contractor must maintain its vehicle in good condition through daily inspection.
- SW reserves the right to reject the vehicle found not fit at any time and the contractor to replace it with another vehicle.

4.2.7. Scaffolding

- All scaffolding material supplied must be of sound materials in good condition without any damages free from patent defects and corrosion free.
- The scaffolding material must confirm to BS:1139 /IS:3696 /OSHA1926.451/ BSEN:12811.
- The material must be of steel or aluminum and nonmetallic scaffolds are not permitted.
- Adequate good quality defect-free accessories to be provided.

4.2.8. DG Hiring

- All DGs must have acoustic enclosures which will meet the requirements of local statutory requirements

- Test certificate for Noise & air emissions to be provided while hiring.
- Body earthing & neutral earthing provision to be provided.
- Vendor must ensure that the truck-mounted DG is free from any oil spills and placed on firm ground. Dip trays to be provided for ground-mounted DGs to avoid pollution from oil spills.
- Another requirement like an electrical license to be ensured if applicable.

CONTROL OF CONTRACTED ACTIVITIES

Introduction:

Controlling contractors in a project execution phase is one of the most important aspects to achieve its intended objectives of zero harm to humans and the environment of any project. This document addresses the HSE expectations of its contractors, Sterling and Wilson engage, for the safe execution of the project. The specific mechanism is intended to implement the HSE management system on projects and to ensure compliance with applicable statutory requirements and other standard HSE practices along with project-specific HSE plans developed based on ISO45001, ISO14001, lender's requirements and other requirements. Detail HSE requirements as per the site HSE plan will be shared with the contractor as a binding document prior to the execution of the project.

*Exclusions: The contractors and service providers engaged for activities primarily temporary in nature which are to be executed within 10 days or less, **and/or** which are engaging 10 or less manpower to execute the job, are exempted from this process subject to that the work executed is not under High-Risk category subjected to the approval of Head of Projects and Head- HSE.*

Terms & Definitions

Worker

- **Definition 1:** is the person performing work or work-related activities that are under the control of the organization. *(As per ISO45001)*
- **Definition 2:** includes all non-management workers, supervisors and managers employed directly by the company or indirectly through contractors or agents. *(As per IFC PS)*
- **Definition 3:** a person who is employed to do any skilled, semiskilled, or unskilled manual, supervisory, technical, or clerical work for hire or reward, whether the terms of employment be expressed or implied, in connection with any building or other construction work but does not include any such person-
 - who is employed mainly in a managerial or administrative capacity; or
 - who, being employed in a supervisory capacity, draws wages exceeding one thousand six hundred rupees per month or exercises, either by the nature of the duties attached

to the office or by reason of the powers vested in him, functions mainly of a managerial nature.

(as per BOCW Act)

Contractor

- **Definition 1:** external organization providing services to the organization in accordance with agreed specifications, terms, and conditions *(as per ISO45001)*
- **Definition 2:** Contractors are those organisations who are retained by or acting on behalf of the client(s), are under direct control of the client and not considered third parties. *(as per IFC PS)*
- **Definition 3:** person who undertakes to produce a given result for any establishment, other than a mere supply of goods or articles of manufacture, by the employment of building workers or who supplies building workers for any work of the establishment; and includes a sub-contractor. *(as per BOCW Act)*

General HSE Guidelines:

Contractors engaged to execute any job/task shall follow the guidelines below:

- **Project HSE Plan:**
Sterling and Wilson project specific HSE Plan (CHSEM Plan / OHSEM Plan as applicable) will be issued to the contractor during the contractor mobilization. The contractor must ensure to implement the requirements of HSE Plan in accordance with its scope of work either through develop its own HSE plan in line with the SW HSE Plan or by acknowledging the same. Any specific activity which might not have addressed in the initial document, contractor needs to discuss with Sterling and Wilson HSE team to adopt the safe execution practices and mutually agreed upon.
- **HSE Risk Assessment and Work method statement:**
All execution activities carried out at the site must have HSE risk assessment in the prescribed format or through online HSE portal and related work method statement / SOPs to be developed and mutually agreed between SW and its contractor during execution and operational activities.
- **Contractor's responsibility matrix:**
Contractor is one of the most important partners to make a project successful and Sterling and Wilson is a firm believer of it. Prior to project mobilization, jointly Sterling and Wilson and its contractors might agree upon a list of HSE deliverables by the contractors. The detailed HSE deliverables will be decided depending upon the execution requirements, as required.
- **Project execution and operations:**
The project execution and operation activity must be in strict adherence of mandatory the site HSE rules, standard operating procedures, best practices, relevant regulations, legal and other requirements including inherent and implied requirements in line with approved HSE plan.

To achieve desired results Sterling & Wilson has implemented Online HSE portal. Contractors need to fulfill following requirements to comply with HSE portal's requirements.

- Employee feed data sheet for contractors' employees to be filled during onboarding and needs to be updated for any change in employment.
 - Mandatory health check-up for all employees during onboarding under its control. Security clearance for all employees also needs to be look in to if advised so.
 - Contractor to ensure all its employees to undergo Sterling & Wilson the site induction program as per the the site HSE process. Contractor gate entry process requires Badges/ ID card / HSE Passport for restricting unauthorised entry to the work premises. The same will be provided after successful completion of induction program. Any one is not found efficacious will not be permitted to enter the premises and in that case no Badges/ ID card / HSE Passport will be issued.
 - In addition, to build worker's competency, all other schedule training program & toolbox talk must be attended as per approved training plan. All records to be provided to Sterling & Wilson HSE for updating in online HSE portal.
 - Use of approved PPEs must be ensured. Adhere PPE matrix for this purpose.
 - Other administrative requirements if specifically discussed during on boarding also need to be adhered to.
- **Safety observation / Suggestion**
Any hazard / noncompliance's on HSE rules, if observed by a contractor or its employee, must be reported to Sterling & Wilson HSE. Further, the corrective action suggested by Sterling & Wilson representative to close any non-compliance needs to be adhered to and on time completion must be ensured.
Additionally, contractor employees are encouraged to provide suggestions related to HSE in their respective work area to improve the workplace HSE.
- **Incident Reporting & Investigation**
All incidents including near miss, vehicle incident, environmental incident, and fire & property damage cases, must be reported to S & W at once. Simultaneously contractor to arrange immediate first aid and medical attention as required.
Contractor's representation is a must for witness interview and during investigation. Tracking the health of the injured person and report it to S & W is contractor's responsibility. Contractor must ensure to follow the regulatory reporting and coordination requirements as per their contract.
- **Work Permit**
Contractor shall strictly adhere to the work permit procedures. All activities at the site under the contractor will come within the ambit of work permit system prevalent for the site. Any violation of the work permit requirements shall fetch stoppage of his activities till rectification or even cancellation of work permit. This is solely under the discretion of S & W. All work permit must be returned to the issuer to close it in to the system otherwise it will be considered as violation which will reflect on contractor's monthly performance. Specific night work permit to be obtained for any activities to be carried out

beyond day light. Work permit won't be issued for an activity even if one of the employees of the team is found untrained. S & W reserves the right to reject work permit to work without assigning any reasons

- **HSE training, meeting & Communication**

Contractor to ensure full participation of its employees in all scheduled HSE training and toolbox talk. Failing which call for a poor contractor performance including penal action. All trainings records and relevant documents arrange by contractor to be provided to SW on weekly basis.

Contractor must have right representation required at the site by SW for HSE reviews and meetings without fail. All decisions envisioned in the meeting must be stickily adhered to failing which appropriate penal action may be considered.

All contractor employees should be allowed to communicate their HSE concern to SW and SW can also communicate any work stoppage and emergency communication directly to the contractor employees.

- **Inspection & Audit**

All tools, equipment's and brought into the sites and temporary work arrangement assembled at the site, by the contractors are subjected to inspection by SW. If found suitable same can be used at the site after necessary tagging. Otherwise, it will be tagged red and cannot be used for any activity till rectification and further inspection.

- **Infrastructure, visual management, and Resources**

The required site infrastructure (contractor the site office, material storage, vehicle parking facilities, waste handling arrangements etc.); signages and visual management display (PPEs, safety pictorials, warning signages etc.); employees health and welfare facilities (Dining facilities, rest room, toilet & washing facilities, prayer rooms etc.); are to be made available and maintained by contractor as per agreed DOR.

Required HSE resources and supervisory manpower must be deployed at all the time as per agreed DOR; failing which appropriate penal action may be considered.

- **Workers accommodation, transportation, and other facilities**

If contractor is providing temporary accommodation for its employees, it is recommended to locate it near the work site. No charges can be taken from worker for this purpose. Local regulatory requirements / IFC guidelines to be followed while constructing temporary accommodation. Adequate room space with storage & other amenities, proper ventilation and illumination, toilet & washing facilities, recreation facilities, separate cooking facilities and water supply must be ensured. The contractor to maintain the facility spick and span at all the times throughout the lifecycle of project and operation.

Transportation facilities if provided to its employees must be follow the laid down guidelines of SW and ensure that they are not traveling through non passenger vehicles. Seat belt, air bags and other mandatory safety accessories (First aid kit, fire extinguishers) must be available & in good condition. Spare tyre, jack, tow chain should be available in vehicle. Pandemic guidelines of restriction of passenger & sanitization should be followed.

SW will inspect the above facilities and either approve them or call for further improvement.

- **Housekeeping and Waste management**

Good housekeeping is an important element of accident prevention. It should be planned at the beginning of the job and carefully supervised until the job is finished. Contractor must ensure to maintain good housekeeping practices in all their work areas. In any case, housekeeping should be a part of daily routine and waste should be collected, segregated, and disposed of at designated areas.

Proper wastewater and solid waste management procedure must be followed at the site to meet the SW guidelines and should be adequately designed to prevent contamination of land, water body. Untreated wastewater must not be discharged even outside the project boundary to ensure worker's hygiene and to meet the environmental norms. By no means burning of solid waste or littering of solid waste in adjacent land / roadside is allowed. Penal action shall be imposed if found violating. Waste disposal practices must follow local regulatory norms.

Hazardous waste should be treated & dispose of as per the local regulatory norms. Relevant MSDS should be displayed.

- **Measure during extreme weather condition**

Contractor to ensure that the safe working procedure during extreme /adverse weather is implemented as required by the local regulatory norms. Continuous monitoring and necessary welfare arrangements to be made available. SW decision must be followed during extreme /adverse weather condition and no deviation will be accepted.

- **Interference management**

Contractors must ensure the safe working environment for smooth functioning of the project activities. In any conflicting situation among contractor SW reserves the right to interfere to resolve it. Decision on suspension and (or) termination of any contractor employee is reserved solely with SW.

- **Disciplinary action**

If a Contractor or their employee(s) are found violating HSE requirements in their execution methodology the contractor & /or its employee(s) will be restricted from the site entry. If repetitive violations are observed during work at the site penalty will be imposed as agreed.

- **Performance evaluation:**

Contractor HSE performance will be evaluated monthly based on the following criterion, through online

HSE portal:

- HSE incidents
- Reporting and on-time compliance
- Resources and people's capability

- Equipment and infrastructure set-up
- Emergency management
- Environment management
- Welfare facilities
- HSE violations

Contractors associated with the project and operations will be evaluated and classified into green, yellow and red categories based on its achieved score, as detailed below.

Good score /Appreciation	Above 80%
Behind target, action plan needs to be implemented / submitted	Between 60% to 80%
Score below expectations to be immediately corrected by project HSE management / action over contractor project team or stop work or replacement	Below 60%

Contractors who fall in yellow category five times or in red category three times may be considered for contract termination.

Contractor’s monthly HSE performance rating will be taken into consideration while doing the overall evaluation of the contractor and it will be communicated to contractors through Sterling & Wilson’s SUBCO Portal.

5. Document & Formats applicable:

Sr. No.	Document No.	Title
1	SW/HSE/F453	Vendor HSE self- assessment
2	SW/HSE/F454	Contractor assessment

Annexures

Annexure -1 - Vendor HSE self- assessment



Annexure -2 Contractor Assessment

<u>Contractor Assessment</u>		
SN	Description	Response
1	Does the contractor have its HSE Plans and procedures in place? Is it covering all the activities for the scope of work?	
2	Is the contractor ensuring applicable statutory compliances? Like social security, ESI-PF, Contractor registration, Electrical authorization, labor license, workmen compensation, other relevant.	
3	How many numbers of dedicated HSE resources are in your organization? Provide worker to work supervisor ration.	
4	Who is the most senior person responsible for HSE implementation in your organization? Provide the company organogram showing the reporting structure.	
5	Please provide details on experience of similar scope of work conducted earlier and any rewards, recognition received for similar project activity.	
6	Number of fines/ notices received on HSE violations from statutory authorities during last 3 years?	
7	Were there any Fatal case(s) occurred during last 3 years in the organization?	
8	Were there any major incidents / LTI resulting in last 3 years?	
9	Were there any road transit incidents in last 3 years?	
10	Whether welfare facilities at the site are provided for workers? If yes, please provide details on worker to facility ratio like toilets, washing area, drinking water, rest shed.	
11	How are the requirements of temporary the site facilities are addressed like providing prayer rooms, dining areas, resting	

SW/HSE/F454



	areas etc. (Please Provide the standard drawing with the details for per person area.)	
12	How are the facilities of temporary the site office and laydown area are addressed?	
13	What are the means and management of worker transportation?	
14	What type of worker accommodation facility are provided? Do they follow the applicable local standards and IFC requirements?	
15	What are the measures being adopted for mitigating any the site emergency including medical emergencies?	
16	Do you provide stand-by emergency vehicle/ ambulance?	
17	What are the arrangements for managing first aid requirements at the site?	
18	Do you provide food for workers free of cost during work hours?	
19	How is it ensured that the right and good condition tools and equipment are deployed at the site?	
20	Are all statutory inspections being carried out periodically for those tools and equipment? If yes, please provide evidence.	
21	What is the average age of tools and tackles being used at project work site?	
22	Does the organization have the waste management (including hazardous) and disposal procedures for work site? If yes, please provide details.	
23	How are the housekeeping requirements at work site going to be addressed?	
24	Were there any environmental issues like oil dips/spillages at any of the other work sites? If so, how were they addressed, provide details.	
25	How many HSE signages /posters/warning tickers are considered at the work site? Provide details?	
26	How is it ensured the effective implementation and adequacy of PPEs at work site?	
27	Is there a COVID-19 / pandemic management plan? How do you manage the isolation and contact tracing in case of any infected person?	

Annexure - 3. Division of Responsibility

Sr No	Description	Reference Document	Responsibility		Originator		Validation Process			Comments
			SW	Contractor	SW	Contractor	SW Inspection	SW Review	SW Approval	
HSE Documentation										
1	Construction Health Safety Environment Management Plan	SW/Client HSE plan						Yes	Yes	
2	Emergency Preparedness and Response Plan	SW/Client HSE plan						Yes	Yes	
3	Route Survey and Traffic management	SW/Client HSE plan						Yes	Yes	
4	Pandemic Management	SW/Client HSE plan						Yes	Yes	
5	Worker's Accommodation and Transportation	SW/Client HSE plan						Yes	Yes	
6	Worker grievance management	SW/Client HSE plan						Yes	Yes	
The site Infrastructure										

1	Workers Rest Area					Yes	Yes	Seating bench, fire extinguisher, dustbin, and potable cool drinking water facility. Minimum 1 in each block...20 persons can be accommodated at any point of time. If required according to manpower, no. of rest sheds to be increased
2	Dining Area					Yes	Yes	Enough space for eating in hygienic conditions. Only disposable/one-use items are allowed for eating and drinking
3	Urinal /Toilet					Yes	Yes	Chemical toilet (Portable), with a maintenance contract. All portable units must be allocated according to the manpower distribution and intensity of work. Proper cleaning and housekeeping must be maintained daily. 1:15 ratio to be adhered to
4	Bathing Facility							
5	Drinking water facility							Water with Covered Bottle/Packaged Drinking Water/Chilled water Storage with a minimum of 6 liter's/person/day
6	Hand Washing facility							

**PROCUREMENT AND CONTRACTING
REQUIREMENTS**

7	Dedicated Waste Storage area								
8	Waste Management and Disposal					Yes		Yes	Authorized waste vendor ties up for disposal of waste
9	Concrete Waste Spillage					Yes		Yes	No concrete waste at the site, removal of waste to waste storage facility and disposal through an authorized vendor
10	Secondary containment for DG Set and other Oil storage area					Yes		Yes	Spill Kit, Enough fire Extinguishers, Shade arrangement for DG with fencing and danger/NO smoking signage
11	Prayer Room								
12	PPE					Yes		Yes	Compliance with Safety Shoes, helmets, dark and clear goggles, reflective vest, and a dust mask as a minimum. Additional Job specific PPEs to be provided as per SW requirements periodically. All COVID-19 related PPEs must be worn during the epidemic period.
13	The site Safety Officer							yes	Minimum 1 - Until workforce reaches 40, Later additional 1 for additional 50, however, all the site job activities must be supervised by the HSE team all the time, even when fewer labors are assigned to one task.

14	HSE Signages							yes	Work Related signages display at workthe site as per SW The site HSE guidelines
15	Fire Extinguishers						Yes	Yes	Fire extinguishers for all vehicles /equipment's/ the site offices and work locations as per SW The site HSE guidelines
16	Hard barricading for deep excavation								Hard Barricading (using MS Pipe 40 NB) for more than 1.2meters depth excavation
17	Rebar Protection								Mushroom cap provision on rebar caps
18	Construction Power and distribution					Yes		Yes	Industrial Standard Distribution Board with Industrial Plug Socket, Male Female connector, 30 mA RCCB/ELCB/RCBO
Tools and Equipment's									
1	Hand tools					Yes			Third Party/ Competent person approved. All related documents in place
2	Portable electrical tools					Yes			Third Party/ Competent person approved. All related documents in place
3	Earth moving machinery					Yes			Third Party/ Competent person approved. All related documents in place
4	drilling rigs					Yes			Third Party/ Competent person approved. All related

										documents in place
5	Cranes/lifting equipment's					Yes				Third Party/ Competent person approved. All related documents in place
Occupational Health Management										
1	Pre employment medical checkup and Fit for work						Yes			
2	Provision of Ambulance / Emergency vehicle					Yes				
Traffic Safety management										
1	Transportation of Staffs/Labor to the site and back to camp in Covered Vehicle with proper sitting arrangement					Yes		Yes		Vehicles are Fit for purpose and not older than 5 years with Seat belts, Fire extinguishers, First Aid Boxes, and disinfectant.
2	Defensive driving training for drivers (by govt approved agencies and /or as per country specific rules)							Yes		Authorized driver only to drive the vehicles. All drivers must undergo through approved agency defensive driving training.
3	No cell phone usage by drivers during any type of journey.					Yes				Mobile phones are banned during driving
4	IVMS /GPS fitted vehicle					Yes		Yes		Contractor must provide all his vehicle equipped with IVMS/GPS Screen or same
General										

1	Housekeeping of work area					Yes			Daily Basis at work area (Block wise), office area, storage area ...etc. To collect waste and deposit at central waste storage yard after segregation
2	Others (if required)								Maybe added as per the client and the site requirement.

Annexure – 4 Declaration

DECLARATION	
<p>This document is to be read in conjunction with the SW HSE policy and HSE guidelines of Contract Agreement.</p> <p>I, (name) _____, (designation) _____ The requirements communicated to me are clear and I agree to follow them.</p> <p>Vendor Code _____ Contract Company: _____</p> <p>Duration & scope of Work: _____ _____</p>	
Signed by:	Witnessed by:
Contractor Company Signature & Date with seal	SW Project Manager Signature & Date
SW /HSE/P08 Rev00	UNCONTROLLED WHEN COPIED
Issue Date: 01.08.2020	Page 20 of 23

Annexure – 5 Penalty

PENALTY

Following amount shall be deducted from the running bill of the contractor based on type of violation(s)

Sr.	Activity	1 st time Violation	Repeat Violation
5.1.0	Violations related to HSE Induction, Report & meeting		
5.1.1	Failure to attend general safety induction course conducted by the Sterling & Wilson	Verbal Warning will be issued if any of worker found without induction & within 2 working days, he must attend the same.	Rs.300 per single violation Compounded to a maximum of Rs. 3,000 at any single instance
5.1.2	Not attending Contractor Safety Meeting.	Verbal Warning will be issued & contractor the site in charge has to attend next meeting.	Rs.3000
5.1.3	Not meeting the audit score for consequently Audit. (Red Category- less than 60%)	Discussion with the contractor along with project manager for improvement action required.	Rs1,00,000 up to termination of contract.
5.2.0	Violations related to Mandatory PPE's (Helmet, Shoes & Reflective Jacket)		

5.2.1	Not having, not wearing (or) using and kept it elsewhere, using damaged one and Using for other operation (e.g. Using safety helmet for storing materials or carrying water from one place to other)	Verbal Waring for immediate rectification	Rs.300 per single violation Compounded to a maximum of Rs. 5,000 at any single instance
5.2.2	Working at height without safety harness between 2 to 3 meters	Verbal Waring for immediate rectification	Rs.300 per single violation Compounded to a maximum of Rs. 5,000 at any single instance
5.3.0	Violations related to Work at height		
5.3.1	Not using Safety Harness or Working without anchoring Safety Harness from 3 meter & above	Verbal Waring for immediate rectification	Rs.5000 per single violation Compounded to a maximum of Rs. 25,000 at any single instance
5.3.2	Not using fall arrestor for shaft work	Verbal Waring for immediate rectification	Rs.5000 per single violation Compounded to a maximum of Rs. 25,000 at any single instance
5.3.3	Using nonstandard scaffolding, Ladder, height access.	Verbal Waring for immediate rectification	Rs.5000 per single violation Compounded to a maximum of Rs. 25,000 at any single instance
5.4.0	Violations related to Lifting appliances and gear like Unauthorized entry of vehicle/ heavy equipment's without TPI, License, RC Book & Insurance etc.	Stop using the equipment till all necessary documents will be received.	Rs. 10,000 per single violation Compounded to a maximum of Rs. 50,000 at any single instance
5.5.0	Electrical Safety violation which has a potential of electric shock or electrocution.	Immediate rectification	Rs. 1,000 per single violation Compounded to a maximum of Rs. 5,000 at any single instance
5.6.0	Violation related Power tools use of Damaged tools (Use without plug top, joint in cable, without guard, damaged wheel etc.)	Immediate rectification	Rs. 1,000 per single violation Compounded to a maximum of Rs. 5,000 at any single instance
5.7.0	Sleeping case inside the Construction area.	Not Applicable	Rs.5,000
5.8.0	In Case of Incident / Accident		
5.8.1	In case of non-reporting of Near Miss.	Verbal instruction for information	Rs.5,000

5.8.2	In case of Property Damage (Total cost of Property Damage + Penalty).	Damage cost + Rs.25,000	
5.8.3	Lost Time Accident	Rs.50,000+ all other expenses like medical, statutory fine etc.	Rs.50,000+ all other expenses like medical, fine and /or termination of contract
5.8.5	Fatal Accidents (This money will be given to family of victim apart from WCA policy & other compensation).	Rs.2,00,000 + all other expenses like medical & statutory fine and /or termination of contract	
5.9.0	Excavation 1. Failure to provide hard barricading for more than 1.8-meter depth, 2. Failure to provide proper access & 3. Improper storage of excavated soil heap at the edge of trench.	1. Rectification within 2 working days or as directed by safety incharge at the site 2. Immediate rectification 3. Rectification within 2 working days or as directed by safety incharge at the site	Rs. 5,000 per single violation Compounded to a maximum of Rs. 50,000 at any single instance
5.10.0	Housekeeping	Deputation of housekeeping gang within 3 days	S & W will engage housekeeping gang for the same & cost of manpower+20% extra of cost
5.11.0	Hygiene Issues like non provision / nonuse of urinal, toilet, consumption of food in work area	Proper arrangement of Urinal, toilet, drinking water & rest room within 7 working days	Rs. 20,000 per single violation Compounded to a maximum of Rs. 50,000 at any single instance If S & W Provide the same, it will be actual cost + 20%
5.12.0	Individual is failed to adhere to the safety professional instruction for safe working	Verbal Warning and /or suspension of individual for 2 hours.	Removal from the site
In addition, if any HSE penalty is received from client for an individual contractor's activities same will be deducted from contractor			