



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

**REQUEST FOR QUOTATION ("RFQ")**

**RFQ NUMBER :CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS**

**ISSUE DATE : 15 FEBRUARY 2012**  
**INFORMATION SESSION : 17 FEBRUARY 2012**  
**TIME : 14H30**  
**CLOSING DATE : 24 FEBRUARY 2012**  
**CLOSING TIME : 10H00 A.M**  
**OPTION DATE : 24 APRIL 2012**

**FOR DIRECTION & INFORMATION SESSION: CONTACT MBONGENI MAQASHELANA (083 2934929)**

**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



**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS**

**SCHEDULE OF DOCUMENTS**

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



**SECTION 1**

**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS**

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

On or after Wednesday, **15 February 2012** the RFQ documents may be inspected at, and are obtainable from the office of TRANSNET Freight Rail Tender Advice Centre, Inyanda House 1, Ground Floor, 21 Wellington Road, Parktown, Johannesburg.

**This document if available free of charge**

**A COMPULSORY INFORMATION MEETING WILL BE HELD AT THE FOLLOWING VENUE:**

**VENUE : INYANDA HOUSE 2, GROUND FLOOR, UMJANTSHI BOARD ROOM,  
No 15 GIRTON ROAD  
PARK TOWN**

**Time : 14:30**

**Date : 17 FEBRUARY 2012**

The site meeting is compulsory and companies not attending **will be overlooked** during the tender awarding process.

**NAME : Buyisiwe Hlatshwayo  
Tel (011) 584-0665  
Email buyisiwe.hlatshwayo@transnet.net**

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

<b>Tender No : CRAC/HGR/7530</b>
<b>Description : <u>RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS</u></b>
<b>Closing date and time : 24 FEBRUARY 2012 AT 10H00</b>
<b>Closing address (refer options below)</b>



## 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 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, 24 February 2012 at 10h00.
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 Programmed 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><b>Turnover:</b> Indicate your company's most recent annual turnover:</p> <p style="text-align: center;">R.....</p>
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- 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 BBBEE 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 BBBEE 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' BBBEE credentials.

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

<p><b>DTI BBBEE UNIQUE PROFILE NUMBER:</b></p> <p style="text-align: center;">.....</p>
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Failure to submit your BBBEE information in terms of the above-mentioned clauses will result in a score of zero being allocated for BBBEE 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 authorized by the Respondent to do so (Refer Section 4). A list of those person(s) authorized 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:	_____
	Cell phone:	_____
	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**

**REQUEST FOR QUOTATION (“RFQ”)**

**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS**

**REQUISITION FOR QUOTATION**

SUPPLY CHAIN SERVICES

MESSRS: .....

.....

.....

.....

Londiwe Shabalala  
Tel: (011) 584-0600/

Tel (011)  
Fax (011)

ISSUE DATE 15/02/2012

CLOSING DATE 24/02/2012

<b>Prices in South African currency, including all costs.</b>			
<b>Direct to consignees</b>			
ITEM NO:	DESCRIPTION		Price
1	<b><u>RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS</u></b>		
<b>Total price for the project</b>			
<b>2.Prices must be V.A.T. exclusive</b>			
3. Direct delivered to:	Transnet Freight Rail		
4.Contact person:	Mbongeni Maqhashelana (083 2934929		

**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

## 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](mailto: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.Total Price for the service

7.1.2. References / previous performance record

### 7.2."Technical"

7.2.1.Compliance to specification

7.2.2. Technical capacity

7.2.3. Risk and Safety Plan

7.2.4. Delivery Schedule

7.2.5. Provide Letter of Good Standing

### 7.3."BBBEE"

7.3.1.Provide BBBEE level Certification



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**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

Preview Copy Only



## SECTION 3

RFQ NUMBER CRAC/HGR/7530

# SPECIFICATION

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## RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY: ONE TO TWO MONTHS

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### TENDER ENQUIRY / REQUEST FOR PROPOSALS

Quantitative Risk Assessment for the rail transportation of freight (with specific focus on Rock Phosphate & Magnetite) from Phalaborwa through Swaziland to Richards bay and Witbank via Nelspruit to Komatipoort.

#### PROJECT SPECIFICATION

##### 1. Purpose of the Contract:

To arrange for the provision of the specialist service provider required to conduct a quantitative risk assessment/analysis for the 100 percent volume growth rate of rock phosphate and magnetite from Phalaborwa through Swaziland to Richards bay and Witbank via Nelspruit to Komatipoort

##### 2. BACKGROUND

Phalaborwa is one of the biggest yards on the Nelspruit area in the Eastern Region. TFR provide rail transportation services to two main private sidings in the Phalaborwa area:

- Phalaborwa Mining Company:
  - Sixty (60) CMR and/or 80 CR type wagons for magnetite, and
  - 40 type wagons (CSJ or CSR) for Vermiculite.
- Foskor
  - Eighty (80) CR's for Rock Phosphate and 60 CMR's for Magnetite.
- TCM Coal and Maputo from coal fields
  - 50 CFR wagons for coal

Trains are loaded at Foskor and PMC and depart from Phalarbowa yard after conducting the pre-departure inspection to Richards bay. The method of train control from Phalaborwa to Komartipoort is by means of CS90 controlled from Kaapmuden CTC. The line is both single and double line until Komartipoort. TFR main line linking the mines in the Phalaborwa area in Limpopo with the export harbour of Richards Bay in KwaZulu-Natal runs through Swaziland. This line is also the link between Swaziland and Port of Durban. The portion of this main line within Swaziland is owned and operated by Swaziland where it is supplemented by a network of branch lines. Between Komatipoort in the North and Golela in the South, TFR trains are manned by Swaziland Railways' train crews.



Within Swaziland, Swaziland Railway also operates its own trains consisting of Swaziland Railway wagons hauled by leased diesel locomotives from TFR.

The 1 km rail network between Golela and Swaziland border which is a single line, is owned and maintained by TFR. Swaziland Railway authorise train movements on this section of line by means of track warrant train control system from Mpaka in Swaziland. The line is not electrified and the traction is provided by TFR's diesel locomotives (39 and 43D class) manned by Swaziland Railway train crews.

The RSR has issued a safety permit to Swaziland railway as train operator for this section.

The train then enters Golela station (where the Swaziland Railway driver is subject to TFR rail directives) and is staged on an available line. Once the necessary train pre-departure inspection processes have been completed, then the TFR train crew take over the train to Richards Bay or Durban.

TCM and Maputo trains are loaded from different coal sidings around Witbank, Ermelo and Ogies. The coal is then transported to Maputo and TCM via Nelspruit and Komatipoort. The line is controlled by means of CS90 from Witbank and Kaapmuiden CTC's. The line is both single and double from Witbank through Nelspruit to Komatipoort.

The infrastructure condition is in a good condition in this Corridor except in the following areas where there are challenges with rail brake due to rail having reached its end of life span from Hoedspruit to Kaapmuiden. There are other challenges with broken sleepers from Goeguluk to Nelspruit. Swaziland through Golela to Richards bay is in reasonable condition.

### **3. SCOPE OF WORK**

The Eastern region is required to increase volumes by 100% in the North East Corridor (Phalaborwa – Golela via Swaziland to Richards Bay and Witbank via Nelspruit to Komatipoort). It is against this backdrop that the Regional Operating Executive of the Eastern Region requested a comprehensive risk assessment wherein both the qualitative and quantitative issues associated with the increase are identified and thoroughly analysed. This is done to inform a decision-making process whether the end-to-end process, current rolling stock (locomotives and wagons) and the existing railway infrastructure would be capable of the required stretch in the targeted volumes.

The scope of the risk assessment will cover the entire line from Phalaborwa –Komartipoort-Swaziland - Golela and Richards Bay and Witbank via Nelspruit to Komatipoort.

### **4. EXPECTED DELIVERABLES**

- Project Charter and Detailed Programme
- Quantitative Risk Assessment Report for Phalaborwa – Komartipoort – Swaziland – Golela and Richards Bay and Witbank via Nelspruit to Komatipoort
- To identify and assess the Residual Risk Exposures that could arise from the 100% volume growth rate;
- Clear recommendations on how to treat the identified risk exposures.

### **5. AVAILABLE INFORMATION**



The successful service provider / tenderer will be provided with the following data and/or information:

- Incidents Statistics
- Turn Around Time
- Monthly Tempos
- Budgeted Volumes
- Infrastructure Condition
- UMC Defects Reports
- Trolley Inspection Reports
- Track Master Inspection Reports

## **6. SUPPLIERS SHOULD MEET THE FOLLOWING REQUIREMENTS**

- Your company profile and the applicable legally/socially required status e.g. BBBEE/International/Local.
- Your experience in conducting Operational Qualitative and Quantitative Risk Assessment and reference from your clients on specific assignments completed.
- Describe the return on investment if your company is selected for this project.
- Provide details of your approach in terms of Methodology, Protocols, Techniques and Equipment to be deployed in this exercise and whether they are scientifically standardised and validated.
- Outline the roles and responsibilities of TFR and your company's resources including facilities required to carry out this exercise.
- Submit credentials of the project team members that will be allocated to this project (skills, qualifications and expertise)
- Submit a detailed report format and how long it will take to generate the report (system and paper based) that will be submitted to TFR.
- Skills transfer plan to TFR employees
- Detailed cost breakdown for this project

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**SECTION 4**

**REQUEST FOR QUOTATION (“RFQ”)**

**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY: ONE TO TWO MONTHS**

**Returnable documents**

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

	<b>Returnable Schedules / Documents</b>	<b>YES/NO/N/A</b>	
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	





**SECTION 5**

**REQUEST FOR QUOTATION (“RFQ”)**

**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY:ONE TO TWO MONTHS**

**8.1. ATTENDANCE CERTIFICATE**

This is to certify that.....

Representative/s of .....

Has/have today attended the Tender briefing in respect of the proposed:

.....

TRANSNET’S REPRESENTATIVE      TENDERER’S REPRESENTATIVE

DATE : .....

**VERY IMPORTANT**

ANY TENDERER NOT ATTENDING THE INFORMATION MEETING WILL AUTOMATICALLY BE EXCLUDED FROM THE BUSINESS AWARDING PROCESS

**SIGNATURE OF TENDERER:** \_\_\_\_\_

**Date:** \_\_\_\_\_



## SECTION 6

### REQUEST FOR QUOTATION ("RFQ")

#### RFQ NUMBER CRAC/HGR/7530

#### RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY: ONE TO TWO MONTHS

#### Supplier Declaration Form

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.**

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 Authorized To Sign For And On Behalf Of Firm / Organization			
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)**

<b>3.1</b>	<b>Did the firm previously operate under another name? *</b>		
YES	<input type="checkbox"/>	NO	<input type="checkbox"/>

<b>3.2</b>	<b>If Yes state its previous name:*</b>	
Registered Name	<input type="text"/>	
Trading Name	<input type="text"/>	

<b>3.3</b>	<b>Who were its previous owners / partners / directors?*</b>	
SURNAME & INITIALS		ID NUMBERS
<input type="text"/>		<input type="text"/>
<input type="text"/>		<input type="text"/>
<input type="text"/>		<input type="text"/>
<input type="text"/>		<input type="text"/>

<b>3.4</b>	<b>List Details of current partners, proprietors and shareholders by name, identity number, citizenship, status and ownership as relevant: *</b>							
SURNAME & INITIALS	IDENTITY NUMBER	CITIZENSHIP	HDI	DIS - ABLE D	GENDE R	DATE OF OWNERS HIP	% OWN ED	% VOTI NG
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

<b>3.5</b>	<b>List details of current directors, officers, chairman, secretary etc. of the firm: *</b>					
SURNAME & INITIALS	IDENTITY NUMBER	TITLE	DIS - ABLED	GENDER	% OF TIME DEVOTED TO THE FIRM	CONTACT NUMBER
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>



<b>3.6</b>	<b>List details of firms personnel who have an ownership interest in another firm: *</b>				
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	COLOUR ED	INDIAN	OTHER	TOTAL
Permanent						
Part Time						

**4.1.1 In terms of above kindly provide numbers on women and disabled personnel? \***

	BLACK	WHITE	COLOUR ED	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)?**

<b>YES</b>		<b>NO</b>	
------------	--	-----------	--





<b>4.2.2</b>	<b>Is your company a recipient of Enterprise Development Contributions?*</b>		
<b>YES</b>		<b>NO</b>	

<b>4.2.3</b>	<b>May the above mentioned information be shared and included in Transne Database for Future reference? *</b>		
<b>YES</b>		<b>NO</b>	

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

<b>4.2.5</b>	<b>If yes (above) kindly provide the following information:</b>		
--------------	---	--	--

	<b>BLACK</b>	<b>WHITE</b>	<b>COLOUR ED</b>	<b>INDIAN</b>	<b>OTHER</b>	<b>TOTAL</b>
<b>Permane</b>						
<b>Part Time</b>						

<b>4.2.6</b>	<b>In terms of above kindly provide numbers on woman and disabled perso</b>					
	<b>BLACK</b>	<b>WHITE</b>	<b>COLOURED</b>	<b>INDIAN</b>	<b>OTHER</b>	<b>TOTAL</b>
<b>Women</b>						
<b>Disabled</b>						

<b>4.2.7</b>	<b>Are any of your members/shareholders/directors ex employees of Transn</b>		
<b>YES</b>		<b>NO</b>	

<b>4.2.8</b>	<b>Are any of your family members employees of Transnet?</b>		
<b>YES</b>		<b>NO</b>	

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



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	
Creat		Amen		Block		Unblo		Once-Off / Emergency			
Exte		Delet		Undel							

Supplier's trading name											
Supplier's registered											

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	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

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

*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*

Name	Grade	Date								Signature
		Y	Y	Y	Y	M	M	D	D	

**CHANGES TO BE EFFECTED ON THE VENDOR MASTER**

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

**Section 2: To be completed by the BEE Department (this section is for**

NARROW BASED (NB)				BROADBASED (BBBEE)				
BEE O	BWBE	DPBI	MR	CONTB. 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 7**

**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-  
KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY: ONE TO TWO  
MONTHS**

:

**GENERAL TENDER CONDITIONS OF CONTRACT (CSS5 – SERVICES)**

Refer Document attached hereto

Preview Copy Only



**SECTION 8**

**RFQ NUMBER CRAC/HGR/7530**

**RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY: ONE TO TWO MONTHS**

:

**STANDARD TERMS AND CONDITIONS OF CONTRACT (US7 – SERVICES)**

Refer Document attached hereto

Preview Copy Only



## SECTION 9

### RFQ NUMBER CRAC/HGR/7530

#### RISK ASSESSMENT FOR 100% VOLUME GROWTH RATE FROM PHALABORWA-KOMARTIPOORT-SWAZILAND-GOLELA AND RICHARDS BAY: ONE TO TWO MONTHS

##### NON-DISCLOSURE AGREEMENT

THIS AGREEMENT is made the ..... day of ..... 2010

BETWEEN:

- (1) Transnet Limited ("Transnet") (Registration Number 1990/000900/06) whose registered office is at 49<sup>th</sup> Floor, Carlton Centre, 150 Commissioner Street, Johannesburg 2001, and
- (2) [.....] ("the Company") (Registration Number .....) whose registered office is at [.....]

WHEREAS

Transnet and the Company wish to exchange Information (as defined below) and it is envisaged that each party may from time to time receive Information relating to the other in respect thereof. In consideration of each party making available to the other such Information, the parties jointly agree that any dealings between them shall be subject to the terms and conditions of this Agreement which themselves will be subject to the parameters of the Proposal.

IT IS HEREBY AGREED

1. Interpretation

1.1 In this Agreement:-

"Agents" means directors, officers, employees, agents, professional advisers, contractors or sub-contractors, or any Group member;

"Confidential Information" means Information relating to one party (the "Disclosing Party") and/or the business carried on or proposed or intended to be carried on by that party and which is made available for the purposes of the Proposal to the other party (the "Receiving Party") or its Agents by the Disclosing Party or its Agents or recorded in agreed minutes following oral disclosure and any other information otherwise made available by the Disclosing Party or its Agents to the Receiving Party or its Agents, whether before, on or after the date of this Agreement, and whether in writing or otherwise, including any information, analysis or specifications derived from, containing or reflecting such information but excluding information which:-

- (i) is publicly available at the time of its disclosure or becomes publicly available (other than as result of disclosure by the Receiving Party or any of its Agents contrary to the terms of this letter); or
- (ii) was lawfully in the possession of the Receiving Party or its Agents (as can be demonstrated by its written records or other reasonable evidence) free of any restriction as to its use or disclosure prior to its being so disclosed; or



- (iii) following such disclosure, becomes available to the Receiving Party or its Agents (as can be demonstrated by its written records or other reasonable evidence) from a source other than the Disclosing Party or its Agents, which source is not bound by any duty of confidentiality owed, directly or indirectly, to the Disclosing Party in relation to such information;

“Group” means any subsidiary, any holding company and any subsidiary of any holding company of either party;

“Information” means all information in whatever form including, without limitation, any information relating to systems, operations, plans, intentions, market opportunities, know-how, trade secrets and business affairs whether in writing, conveyed orally or by machine-readable medium;

“Proposal” means the aggregation of Transnet’s Request for Information (RFI) and Request for Proposal (RFP).

## 2. Confidential Information

2.1 The Receiving Party will treat and keep all Confidential Information as secret and confidential and will not, without the Disclosing Party’s written consent, directly or indirectly communicate or disclose (whether in writing or orally or in any other manner) Confidential Information to any other person other than in accordance with the terms of this Agreement.

2.2 The Receiving Party will only use the Confidential Information for the sole purpose of technical and commercial discussions between the parties in relation to the Proposal or for the subsequent performance of any contract between the parties in relation to the Proposal.

2.3 Notwithstanding clause 2.1, the Receiving Party may disclose Confidential Information:

- (i) To those of its Agents who strictly need to know the Confidential Information for the sole purpose set out in clause 2.2 provided that the Receiving Party shall ensure that such Agents are made aware prior to the disclosure of any part of the Confidential Information that the same is confidential and that they owe a duty of confidence to the Disclosing Party. The Receiving Party shall at all times remain liable for any actions of such Agents that would constitute a breach of this Agreement; or

- (ii) to the extent required by law or the rules of any applicable regulatory authority, subject to clause 2.4 below.

2.4 In the event that the Receiving Party is required to disclose any Confidential Information in accordance with clause 2.3 (ii) above, it shall promptly notify the Disclosing Party and cooperate with the Disclosing Party regarding the form, nature, content and purpose of such disclosure or any action which the Disclosing Party may reasonably take to challenge the validity of such requirement.

2.5 In the event that any Confidential Information shall be copied, disclosed or used otherwise than as permitted under this Agreement then, upon becoming aware of the same, without prejudice to any rights or remedies of the Disclosing Party, the Receiving Party shall as soon as practicable notify the Disclosing Party of such event and if requested take such steps (including the institution of legal proceedings) as shall be necessary to remedy (if capable of remedy) the default and/or to prevent further unauthorised copying, disclosure or use.



2.6 All Confidential Information shall remain the property of the Disclosing Party and its disclosure shall not confer on the Receiving Party any rights, including intellectual property rights, over the Confidential Information whatsoever beyond those contained in this Agreement

### 3. Records and return of Information

3.1 The Receiving Party agrees to ensure proper and secure storage of all Information and any copies thereof to at least the same standard as the Receiving Party keeps its own Confidential Information. The Receiving Party shall not make any copies or reproduce in any form any Confidential Information except for the purpose of disclosure as permitted in accordance with this Agreement.

3.2 The Receiving Party shall keep a written record, to be supplied to the Disclosing Party upon request, of the Confidential Information provided and any copies made thereof and, so far as is reasonably practicable, of the location of such Confidential Information and any copies thereof.

3.3 The Receiving Party shall, within seven days of receipt of a written demand from the Disclosing Party or of its ceasing to be interested in the Proposal:

- (i) Return all written Confidential Information (including all copies); and
- (ii) expunge or destroy any Confidential Information from any computer, word processor or other device whatsoever into which it was copied, read or programmed by the Receiving Party or on its behalf (including by any person to whom disclosure has been made as permitted under clause 2.3(i) above.

The obligations in this clause 3.3 shall not apply to the extent that (but only for so long as) it is necessary to retain copies for the purpose of providing information to any regulatory authority in accordance with clause 2.3 (ii) above.

3.4 The Receiving Party shall on request supply a certificate signed by a director as to its full compliance with the requirements of clause 3.3 (ii) above.

### 4. Announcements

4.1 Neither party will make or permit to be made any announcement or disclosure of its prospective interest in the Proposal without the prior written consent of the other party.

4.2 Neither party shall make use of the other party's name or any information acquired through its dealings with the other party for publicity or marketing purposes without the prior written consent of the other party.

### 5. Duration

The obligations of each party and its Agents under this Agreement shall [be continuing and shall survive the termination of any discussions or negotiations between the parties regarding the Proposal continue for a period of 3 (three) years.





6. Principal

Each party confirms that it is acting as principal and not as nominee, agent or broker for any other person and that it will be responsible for any costs incurred by it or its advisers in considering or pursuing the Proposal and in complying with the terms of this Agreement.

7. Representations

7.1 Each party agrees that any Information made available to the Receiving Party or its Agents for the purpose of negotiations or discussions in relation to the Proposal will not form the basis of, or any representation in relation to, any contract, nor constitute an offer or invitation by the Disclosing Party.

7.2 Except in the case of fraudulent misrepresentation, the Disclosing Party accepts no responsibility for nor makes any representation or warranty, express or implied, with respect to the accuracy, reliability or completeness of any Information made available to the Receiving Party or its Agents.

8. Adequacy of damages

8.1 Without prejudice to any other rights or remedies of the Disclosing Party, the Receiving Party acknowledges and agrees that damages would not be an adequate remedy for any breach by it of the provisions of this Agreement and that the Disclosing Party shall be entitled to seek the remedies of injunction, specific performance and other equitable relief for any threatened or actual breach of any such provision by the Receiving Party or its Agents, and no proof of special damages shall be necessary for the enforcement of the rights under this Agreement.

8.2 Nothing contained in this Agreement shall be construed as prohibiting the Disclosing Party from pursuing any other remedies available by it, either at law or in equity, for any such threatened or actual breach of this Agreement including specific performance, recovery of damages or otherwise.

9. Data Protection

The Receiving Party warrants that it and its Agents have the appropriate technical and organizational measures in place against unauthorized or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data held or processed by them.

10. General

10.1 Neither party may assign the benefit of this Agreement or any interest hereunder except with the prior written consent of the other, save that Transnet may assign this Agreement at any time to any member of the Transnet Group.

10.2 No failure or delay in exercising any right, power or privilege under this Agreement will operate as a waiver of it, nor will any single or partial exercise of it preclude any further exercise or the exercise of any right, power or privilege under this Agreement or otherwise.



- 10.3 The provisions of this Agreement shall be severable in the event that any of its provisions are held by a court of competent jurisdiction or other applicable authority to be invalid, void or otherwise unenforceable, and the remaining provisions shall remain enforceable to the fullest extent permitted by law.
- 10.4 This Agreement may only be modified by a written agreement duly signed by persons authorized on behalf of each party.
- 10.5 Nothing in this Agreement shall constitute the creation of a partnership, joint venture or agency between the parties.
- 10.6 This Agreement will be governed by, and construed in accordance with South African law and the parties irrevocably submit to the exclusive jurisdiction of the South African courts.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their respective duly authorized representatives.

TRANSNET LIMITED:

By: .....  
(Signature)

Print name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

[Insert company name]:

By: .....  
(Signature)

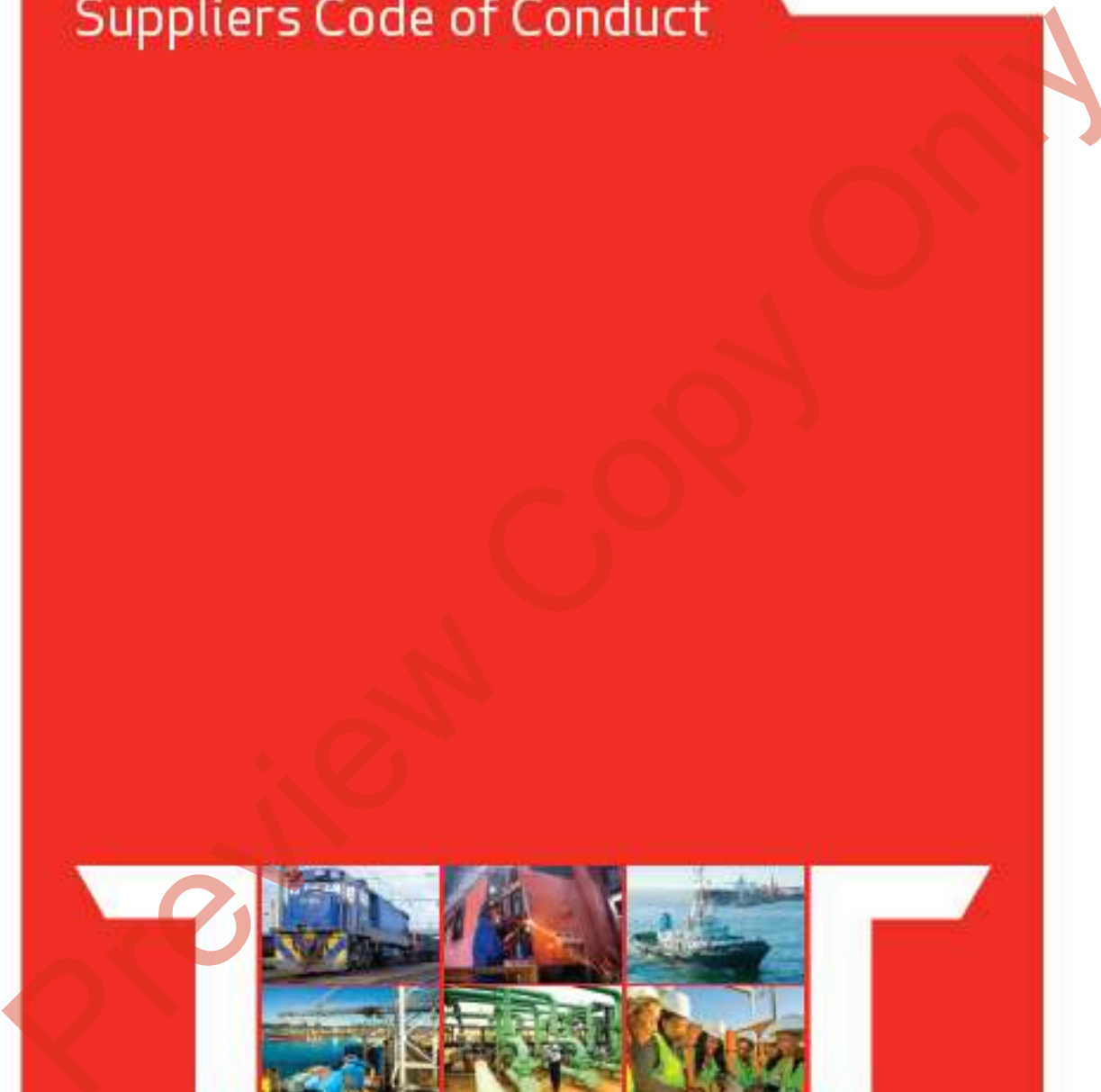
Print name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



# Suppliers Code of Conduct



## 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.



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](http://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**