



APPENDIX 5

HSES-SP Management in Contracts. HSE Prequal Questionnaire for Bidders.**Read before to fill in:**

1. The purpose of this Questionnaire is to obtain information on how Health, Safety, Environment and Security (HSES) aspects are managed within your Company. The questionnaire includes some items relating to RF Labor Protection Law and additional Company requirements.
2. Your answers should cover all of your work activities. **All questions must be answered.** Please read each question carefully and request clarification if needed. Please answer each question fully. **We stress the value and importance of substantiating your answers by providing supporting documentation, for ALL your answers.**
3. You are requested to structure evidences per number of the question and each in separate document/file.
4. Following receipt of your submission, we may request further clarification of your responses and may wish to visit your facilities.
5. Your submission will be assessed (scored) to determine your prequalification.

General HSES questions	ANSWER
A. Does your company have an appropriate and documented policy (-ies) on Occupational Health and Safety, Security, Environment, Labor Protection? If YES, please attach copy (-ies).	
B. Do you have formalized list of HEALTH, SAFETY, ENVIRONMENT, SECURITY AND SOCIAL hazards relating to your company's activities? Please provide evidence.	
C. Do you have formal incident investigation (accidents, emergencies; causes and circumstances of occupational illness) and follow up process? Please provide evidence.	
Element 1 Leadership and Commitment	
1.1 Commitment to HSES	



1.1.1 Who has overall and final responsibility for HSES in your company? Please provide name, title of the position, copy of appointing order and describe primary HSE responsibilities with evidence.	
1.1.2 Who is the most senior person in the company directly responsible for Implementation of HSES policy in your company and on your sites where employees are working? (Provide name, job title, work experience and job description).	
1.1.3 How are your Senior Managers personally involved in HSES management? Describe and give examples of that.	
1.1.4 How do your supervisors ensure continual compliance with HSES requirements on site and during work execution? Please provide evidence.	
1.2 HSES Policy	
1.2.1 Describe how you communicate your company's HSES policy (on its existence and on any changes in Policy) to all employees. Please provide evidence.	
1.3 Commitment to Standards	
1.3.1 Does your company have certification to ISO 14001:2004? Provide a copy of certificate and results of certification audit.	
1.3.2 Does your company have certification to OHSAS 18001:2007 or GOST 12.0.230-2007? Provide a copy of certificate and results of certification audit.	
Element 2 Priorities and the Plan	
2.1 Legal and other requirements	
2.1.1 Do you have a formal process for identification of current legal and other requirements applicable to HSES for your company's activities? If YES, provide evidence of the formalized process and evidence of compliance to the legal and other requirements applicable to HSES.	



<p>2.1.2 How do you ensure compliance with your clients HSES requirements? Describe your approach and provide supporting documentation.</p>	
<p>2.2 Hazard Identification, Risk Assessment and Controls</p>	
<p>2.2.1 Describe HSES risk management process and methods of its assessment in your company. Provide evidence.</p>	
<p>2.2.2 Has your company conducted evaluation of working conditions and/ or assessment of hazards related to work which may impact on health? Provide evidence.</p>	
<p>2.3 HSES Improvement Plans</p>	
<p>2.3.1 Does your company have a Plan for implementing HSES activities? If yes, provide last 2 year's plans and evidence on HSES activities are realized.</p>	
<p>Element 3 People and Resources</p>	
<p>3.1 Organisation and Responsibilities</p>	
<p>3.1.1 Are HSES responsibilities of the personnel distributed between all positions? Please provide evidence.</p>	
<p>3.2 Labour Protection</p>	
<p>3.2.1 Does your company have its own HSES Department or HSES Specialists? If YES, provide Details on the structure of the Department, number of specialists and qualifications and experience of all HSES specialists. If NO, provide Details on how appropriate HSES advice is obtained (e.g. arrangements made with external parties to provide this Service).</p>	
<p>3.2.2 Does your company have a Labor Protection or HSES Committee? If YES, provide details on the representatives, the role of the Committee and Minutes of the previous 2 meetings.</p>	



If NO, please explain why.	
3.3 Environment	
3.3.1 Describe your approach towards environmental protection process? Provide supporting documents (for example, environment management system document, procedures, standards and policies, trained staff certificates, environment inspection program, initiatives implemented in your company, environment protection documentation and any other documentation on HSES).	
3.3.2 If applicable, does your company have required permits/licenses for disposal of waste, release of emissions or discharge of effluents? Provide copies of such permits/licenses. If you have none, explain why.	
3.3.3 Does your company have procedures to manage / minimize environmental impact (waste management, emergency response, etc.)? Describe and provide evidence (e.g. copies of documents).	
3.4 Employee Health	
3.4.1 Describe the company health management system (including industrial sanitary monitoring program, medical emergency response procedures etc.). Provide supporting documents.	
3.4.2 What insurance provisions are there for employees against disease, accidents and occupational diseases? If there are any, provide details on insurance company and supporting documents (e.g. copy of contract with insurance company). If voluntary health insurance is provided by your company, give details and insurance company name.	
3.5 Training	
3.5.1 Have the managers and supervisors at all levels that will plan, monitor and supervise the work received HSES training? If YES, please provide evidence.	



<p>3.5.2 Does your company have arrangements to ensure new employees have been instructed and have received information on any hazards and controls related to work? Provide evidence.</p>	
<p>3.5.3 Do you specify any requirements to personnel trainings (including HSES training) before undertaking a specific work activity? If YES please specify work activities, provide details of training requirements and copies of certificates.</p>	
<p>3.5.4 Describe how probation period and unsupervised work afterwards is organized for new employees in your company? Provide evidence (e.g. copies of probation register book, order on responsible persons for the probation process).</p>	
<p>3.5.5 Describe HSES Competence assessment process in your company?</p>	
<p>3.6 HSES Management in (Sub-)Contracts</p>	
<p>3.6.1 Does your company have (Sub-) contractor's HSE management process or system? Does it contain sub-contractor's prequalification process? Please describe the process in details and provide evidence.</p>	
<p>3.7 Communication</p>	
<p>3.7.1 What communication tools are there within your company to communicate from management to all employees and (sub)-contractors? How do you ensure your employees and (sub)-contractors actively participate and communicate to management? Provide evidence.</p>	
<p>3.8 Performance, Consequences and Recognition</p>	
<p>3.8.1 Describe how is good HSES performance of employees recognized or rewarded in your company? Provide evidence.</p>	
<p>3.8.2 What disciplinary actions do you take in relation to non-compliance with HSES requirements? Describe and provide evidence.</p>	
<p>3.9 Document Control</p>	



<p>3.9.1 Is there overall system for producing, updating and disseminating standards? Describe Document Control process of you company and attach evidence (e.g. procedure).</p>	
<p>Element 4 Implement and Operate</p>	
<p>4.1 Logistics</p>	
<p>4.1.1 How does your company control risks of logistics operations? Provide evidence. If does not, please explain why.</p>	
<p>4.2 Permit to Work and Safe Working practices</p>	
<p>4.2.1 How is the high-risk potential work organized in your company? How do employees at all levels take part in this process?</p>	
<p>4.2.2 How does your company provide employees with appropriate personal protective equipment (standard, special) and control proper use?</p>	
<p>4.2.3 Does your company have special HSE requirements for different kinds of work? Provide evidence.</p>	
<p>4.3 Equipment Control and Maintenance</p>	
<p>4.3.1 How do you ensure that equipment (vehicles, materials) used on work sites are correctly registered, inspected, controlled and maintained in a safe working condition? Provide evidence.</p>	
<p>4.3.2 Describe how do you ensure that equipment (vehicles, materials) are not used if inspection reveals parts are to be replaced or maintained (worn tire, oil leakage, light not working, expired first aid box, etc.)?</p>	
<p>4.4 Management of Change</p>	
<p>4.4.1 Describe how do you manage changes and assess associated risks (e.g. personnel, equipment, processes, and documentation)? Please provide evidence.</p>	
<p>4.5 Managing Drugs and Alcohol at work</p>	



<p>4.5.1 Do you have a Procedure / Policy in your company for Managing Drugs and Alcohol at work? (If YES, please attach a copy). Does your company implement pre-employment, regular and random testing alcohol and/or drug testing? Provide evidence (e.g. forms, reports, etc.).</p>	
<p>4.6 Security of assets, economic and information security</p>	
<p>4.6.1 Describe how do you provide physical security of your personnel, economic and information security of your assets?</p>	
<p>4.7 Emergency Preparedness and Response</p>	
<p>4.7.1 Does your company have Emergency Preparedness and Response procedures/ plans/ equipment or any other arrangements for prevention and response to an Emergency (e.g. spills, fire, medical emergency, etc.) that may occur during implementation of your work activities? Describe and provide evidence (e.g. procedures, plans, equipment inventory list).</p>	
<p>Element 5 Check, Review, Act</p>	
<p>5.1 HSES Monitoring and Reporting</p>	
<p>5.1.1 Has your company suffered any HSE incidents during last 5 years that are reportable to the Authorities?</p>	
<p>5.1.2 Has your company been issued with any HSES improvement requirement by any enforcing authority or been prosecuted under any HSES legislation in the last 5 years? If your answer is YES, please provide details.</p>	



<p>5.1.3 Have you maintained records of your incidents (including subcontractors)? If YES, please provide the following for the last 5 years (per EACH year) number of:</p> <ul style="list-style-type: none"> - Fatalities and Permanent Disabilities - Lost Workday Cases / Lost Time Injuries <p>and the following if you have records on:</p> <ul style="list-style-type: none"> - Medical Treatment Cases - First Aid Cases - Near Misses (e.g. an Incident that could have caused illness in or injury to people or damage to Assets, the environment or reputation, or consequential business loss, but did not.) - Total number of spills <p>And in addition, please provide information on total number of man-hours worked during 5 years (per each year).</p>	
<p>5.1.4 Describe the system of tracking HSES Performance achievements? Provide evidence for 3 years.</p>	
<p>5.1.5 Does your company have regular HSE inspection programs (e.g. waste, worksite safety, transport)? Provide schedules and scanned copies of 2 latest inspections.</p>	
<p>5.1.6. Has your company received any award/ recognition for HSES Performance achievement? Please provide evidence.</p>	
<p>5.2 Unsafe Conditions and Intervention</p>	
<p>5.2.1 Do you report and follow up on unsafe acts or conditions? Describe the process. Attach 2 examples of reports.</p>	
<p>5.3 Incident Reporting and Learning</p>	
<p>5.3.1 Who conducts incident investigations and how? Provide last 2 incident investigation reports, if any incident occurred and 2 Near Misses reports. Additionally, provide a copy of the Incident Investigation procedure if exists.</p>	
<p>5.4 Corrective and Preventive actions</p>	
<p>5.4.1 Describe if there is a system in your company to track Incident Investigation findings/ follow up actions? Provide details (procedure, follow up action plan, etc.).</p>	



5.4.2 How do you communicate the findings of incident investigations (or learnings from relevant external incidents) to your employees? Provide evidence.	
5.5 Audit	
5.6.1 Do you have a written procedure for internal HSES auditing? If yes, please attach a copy provide evidence on implementation.	
5.6.2 Has your company been audited in terms of HSES aspects by external parties (e.g. authorities, certification organizations, clients)? If yes, please attach copies of the report.	
5.6.3 How do you track Audit findings and follow up actions? Provide details and evidences.	
5.6 Management Review	
5.6.1 Do senior management review (e.g. annually) your company's HSES management system to ensure its continuing suitability, adequacy and effectiveness and suggest action to improve? Provide evidence.	