Contractor Competency assessment form (Star rating system) - Annexure "8"

Form No:SAFETY/FORMS/CSM/08 | Revision No:05 | Effective Date :1st Nov 2019

CSMS TOTAL SCORE	**694**		**CSMS RATING :**	**3 Star**	
Organization name	Sirivennela Engineering Works		**Assessment team :**	Auditee: 1. Banamali Majhi - Site Engineer 2. Papana Das - Safety Supervisor	
Contractor Proprietor Name	G Giri Babu (Partner)		**Team Leader :**	Pabitra Kumar Kar	
Organization Registered Address	**HO: Plot No. E /36, Polerukanchili, Srikakulam, Andhra Pradesh - 532291** **Site office: Dhabalagiri, Dist Jajpur, Odisha - 75020**		**Team Member :**	Pabitra Kumar Kar	
TML representatives (CA/ CO /Mentor / Local safety professional)	Jitendra Shukla		**Date of Assessment**	20-07-2024	2nd half
Vendor Code	S0T0		**Comments by Assessor :** Good documentation and maintaining the site work area. Improvement required in the areas of effective implementation of the system like training need identification vis-à-vis actual and planning for the balance, systematic analysis of root cause and		
Active work order numbers with Department	**Work Order No.1: 4200002342**	**Department : Mechanical - Project**	**CO Name & Personal No.: Jitendra Shukla, 9040094620**		
	Work Order No.2:	**Department :**	**CO Name:**		
	Work Order No.3:	**Department :**	**CO Name:**		
	Work Order No.4:	**Department :**	**CO Name:**		
Audit Location:	**TSK Project Block - 7, Conference Hall**				
Risk Parameter: (Risk of job where contractors to be engaged)	✓	**High Risk :**			
		Low Risk :			
		Both :			
Type of Contract					
Manpower contract	✓				
Supervision contract	✓				
Set apart contract					
Transient contract					
Other Services	Mechanical, Structural and Piping				

Tick the type of work the company is capable of undertaking :

Civil, Structural & Building Maintenance		Lifting equipment Maintenance and Services		Utility Services	
Cleaning Services		Mechanical Maintenance and services		Electrical Maintenance and Services	
Instrumentation Calibration and Testing		Catering Services		Transportation and Material Handling	
Waste materials / slag / reclaiming & disposal		Manpower supply		Mining related activity	
Lifting, Loading, Unloading, feeding & packaging		Road maintenance		Rail maintenance	
Any Others, please specify	Mechanical, Structural and Piping				

1.What is total manpower strength of your organisation working in Tata Steel?	128	Verified the followings: Supervisor: 1.Iftikhar Ali Masood, B.Tech, Exp. 13 years. 2. Rakesh Kumar, Diploma in Mech., Exp 8 years. 3. G. Rajesh, Diploma in Mech. , exp 9 years. Safety: 1. Papuna Das, Diploma & PDIS, exp. 3 years, certificate no. 21PDIS2816, 25.08.2022. 2. Kiran Pradhan, Diploma & ADIS, Exp. 2 years, Certificate is not available. Skill training certificate is not available for 66 skilled employee. Organization structure available on page 19 of Safety and Health Management System Manual. 4 layers, starting with Proprietor up to site employees. Ref. Doc. no. SEW/CSMS/MAN - 01, Rev. 00, dated 01.09.2023.
1.1. Number of Supervisors and their qualifications (Attach list):	3	
1.2. Number of certified and skilled employees (Please attach list of employee with skill level):	66	
1.3. Number of unskilled employees:	57	
1.4. Number of Site Safety Supervisors and their qualifications (Attach list):	2	
2.Total Value of Contract in currency as applicable with Tata Steel: Example in Rupees: (less than 5 Lacs / 5 to 25 lac/ 25 lac to 1 crore, and above 1 crore If more than 1 crore, mention exact value).	2.15 Cr.	
3. Name of the departments/locations where you are currently engaged in Tata Steel:	BF# 2 Mechanical Project.	
4. Organisational Structure of your organisation: (e.g. MD, GM, Managers etc.)	Available.	

Evaluation Criterion for Star Rating and Safety Performance Evaluation

0 = Process not yet started/ No System.

1 = Poor- Weak Safety system and process, weak or no system of Lead Indicator identification, reporting and compliance monitoring; little awareness; minimal or no ownership and commitment. (Survival)
2 = Reasonable- Some system & process exist; inconsistent system of Lead Indicator identification, reporting and compliance monitoring; awareness may be present, but implementation of this aspect is haphazard or not evident at all. (Reactive stage)
3 = Good- Safety Management system & process exist and documented; improving trend of system of Lead Indicator identification, reporting and compliance monitoring; system is implemented at the minimum levels; ownership and commitment visible at some extent. (Dependent stage)
4 = Very Good- H&S Management System is addressed systematically, documented and updated regularly, reaching the respective targets regularly; good system of Lead Indicator identification, reporting and compliance monitoring; integration with other activities is at high levels; felt and visible ownership and commitment. (Independent stage)
5 = Excellent- Can be recognised as a leader in this particular aspect of the H&S Management System; everyone is involved and high levels of integration and ownership & commitment are demonstrated.; continuous improvement is evident. (Interdependent stage)
Assessment Frequency: Once in two years(within 24months) for the 4 & 5-Star rated vendors and once in a year(within 12 months) for 3 -Star rated Vendors from the date of the previous assessment . Assessment reports must be logged in 'ENSAFE-IT SYSTEM' by the CA/ CO within 4 days after receiving report from central safety team. [Refer to DOC. NO.: SAFETY/PROC/CSM/ 01, SAFETY/PROC/CSM/ 02] NOTE: [(5 Star- 850-1000), (4 Star-750-849), (3 Star-650-749), (2 Star- 550-649), (1 Star- 450- 549), (No Star- Less than 450)] All the requirements will be evaluated in a scale of 0 to 5 which will be weighted for Star rating score calculation.

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
	1.1	Safety & Health Management System (Policy & Principles, Safety Manuals, Safety Organization) (Safety manuals – (Look for HIRA or JHA document, Legal compliance system, Emergency Planning system, Safety dash board, Safety audit & review system, Operational control, Asset Management).	0. 0% :No system exists.	# No system exists- no policy , no organization structure.		10	0	
			1. 20% : Documented Safety and Health management system exists and organizational structure exists.	#Documented Safety and Health management system exists and organizational structure exists- safety manual (policy, procedure, objectives,OCP,hazard & risk assessment-GRA/HIRA, JHA, SWP,SOP, emergency preparedness & response plan), organization structure (roles and responsibility , competence management)		10	0	a) Health Management System Manual. Doc. no. SEW/CSMS/MAN - 01, Rev. 00, dated 01.09.2023. b) Organization Structure available on page 19 of Health Management System Manual. C) Safety and Occupational Health Policy signed by Proprietor, dated 01.01.2023, Rev 01. d) Risk assessment available on page 26 , under the title Job Hazard Analysis (JHA). e) Legal compliance: Available on page 20, Record ref. SEW/CSMS/LR. Actual is available in different document number, i.e. SED/CSMS/LEG-01. f) Emergency response plan available on page 21. 9 potential emergency situations are identified. Mock drill not yet conducted. g) Safety dash board addressed on page 25. Lead indicators: 5 and Lag indicators: 3 h) Operational Control addressed on page 34. Record ref. SEW/CSMS/JHS, at actual the doc. no. is SEW/CSMS/MAN-01. i) Asset Management addressed on page 35. Verified doc. no. SEW/AM/07/00, date is not available. 8 assets are documented, i.e. Desktop, Laptop, Printer, Scanner, Rack, Chair, Container and First-Aid Box.
			2. 40% : Regular Audits done through Internal & External agencies.	# Regular Audits done through Internal & External agencies- audit done at planned interval either internal or external in reference to requirements / criteria (CSMS,OHSAS OR other safety management system)		10	0	Audit: Guideline document is available on page no. 31 of safety manual. Following audits are mentioned. Safety Severity Audit Tools and tackle audit Machine health check-up audit is also in place. PPE Audit Housekeeping Audit 5S Audit, etc.
			3. 60%: Evidence exists for Corrective and Preventive action taken along with improvement regularly.	#Evidence exists for Corrective and Preventive action taken along with improvement regularly-based on audit presence of corrective and preventive action along with root cause analysis.	3	10	30	As per the organization guideline only Severity 4 & 5 to be considered for CAPA.
			4. 80%: Continuous improvement in the system based on feedback of Audits.	# Continuous improvement in the system based on feedback of Audits - improvement in objective (leading & lagging indicator), & evidence of continual improvement trend.		10	0	No changes as audit findings are not analyzed and recorded.
			5. 100% participation of all employees along with all of above.	# participation of all employees along with all of above - evidence of participation in tool box talk, safety meeting, safety campaign, safety quiz, safety competition etc.		10	0	TBT is in place, frequency daily. Verified the record of 02.06.2024. Location Stock House. Number of employee attended 74 including 2 supervisors. Points discussed: - Importance of Housekeeping - Height work safety. - No incident. 3 points covered out of 7.
	1.2	Documented procedure on selection, deployment of skilled and Certified employees. Job	**0.** 0% :No system exists.	# No system exists - No procedure for selection and deployment of skilled and Certified employees		10	0	

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
		description, Roles & Responsibilities to be available mentioning safety as one of the mandatory requirement (Which institute ,Type of skill training like Mechanical, Electrical etc..)	**1.** 20% : Benefit of Safety Certification given at the time of employment	# Benefit of Safety Certification given at the time of employment - whether safety supervisor, project manager have undergone any formal certified safety courses (OHSAS, NEBOSH,RLI/CLI courses, diploma in industrial safety, Tata Steel courses)		10	0	Procedure for selection and deployment of skilled employee defined on page 36 of Safety Manual. For safety supervisor 1 year diploma in Industrial Safety is mandatory.
			2. 40% : Existing Personnel encouraged undertaking safety courses.	# Existing Personnel encouraged undertaking safety courses - company initiated , sponsored safety training.		10	0	Verified the certificate copy of Mr. Banamali Majhi , Site incharge, certificate no. BBS/EACFT/2, dated 04.05.2024 for Fire Training Programme. And for Papuna Das, Safety Officer on 22.04.2024 for First-Aid, certificate no. 3S Life Save/01000746, dated 22.04.2024.
			3. 60% : Safety a mandatory requirement for engaging all employees.	# Safety a mandatory requirement for engaging all employees - safety aspect in job description, appointment/employment contract.	3	10	30	Verified the appointment letter of G. Rajesh Dora, where Safety is a mandatory requirement is appearing.
			4. 80% : Documented Safety certification requirement beyond a certain level in the hierarchy.	# Documented Safety certification requirement beyond a certain level in the hierarchy - safety certification course by safety supervisor project manager & above.		10	0	Not mentioned.
			5. 100% : Positions beyond a certain level can be occupied by personnel having exemplary safety records and having safety certification.	# Positions beyond a certain level can be occupied by personnel having exemplary safety records and having safety certification - evidence of safety competence of top management , excellent safety record.		10	0	Not documented.
1.Planning of Safety System & Process	1.3	Documents showing safety planning process for safe execution of jobs- JHA document, Audit plans, planning for tools & equipments,Job execution plan, work permit system, Method statement	0. 0% : No system exists.	# No JHA in place		10	0	
			1. 20% : Job hazard Analysis exists for 25 % of the jobs. No evidence of preventive and corrective measures at site.	# 20% Job takes into account of JHA, but no corrective and preventive measures in place		10	0	
			2. 40% : Job hazard Analysis exists for 50 % of the jobs. No evidence of preventive and corrective measures at site	# 40% Job takes into account of JHA, but no corrective and preventive measures in place		10	0	
			3. 60% : Job hazard Analysis exists for 50 % of the jobs. The jobs are well planned and evidence exists of Safety features at site to counter the Hazards identified.	# 60% Job takes into account of JHA, with preventive measures planned w.r.to potential hazard identified		10	0	
			4. 80% : Job hazard Analysis exists for 75 % of the jobs. The jobs are well planned and evidence exists of Safety features at site to counter the Hazards identified.	# 80% Job takes into account of JHA, with preventive measures planned w.r.to potential hazard identified	4	10	40	Verified the available JHA, doc. no. SEW/CSMS/JHA/01, Rev 0, dated 01.09.2023. Job description: Motor drive alignment and conveyor erection of Stock House BF # project. Total activity 22, including Potential hazard and Safeguard/control parameter. As per WO no. 4200002342/118, dated 24.01.2024, job description: Manpower supply for working in Equipment and mechanical job. Total category 15 for different types of manpower supply like Driller, Welder, Gas cutter, etc. In addition to that Supply of Bus for employee transportation, Camper for material shifting and Hydra also under the scope. In the existing JHA hazard related to Bus and camper may be documented specifically. Approx. 88% jobs are covered.

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
			5. 100% : Job hazard Analysis exists for 100 % of the jobs. The jobs are well planned and evidence exists of Safety features at site counter the Hazards identified	# 100% Job takes into account of JHA, with preventive measures planned w.r.to potential hazard identified		10	0	
	1.4	System and processes for training on Safety standard, Behavioural based, Job specific, skill development, emergency preparedness for employees and supervisors.	0. 0% :No system or process exists.	# No system or process exists -		10	0	
			1. 20 %: Documented system and process exists along with training organizational structure and infrastructure.	# Documented system and process exists along with training organizational structure and infrastructure - Organization has defined personnel for training , training infrastructure		10	0	Document=ted guideline available on page 43 to 44 of Safety manual. A) TNI: Training need identified on 07.06.2024 as per the following i) BBS: 21 persons.- Training imparted on 07.06.2024 to 25 persons. Available strength 128. Imparted by Safety officer. Ii) Housekeeping: 21 persons. Imparted on 17.05.2024, attended 26. Imparted by safety officer. Iii) SWP: 21 persons. Imparter on 26.04.2024, attended 29, imparted by Safety officer. Iv) Road Safety: 19 persons. Imparter on 19.04.2024, attended 29, imparted by Safety officer. Note: ERP training planned on July 2026, but need identification is not available. Training need for all the persons are not evident.
			2. 40 %: Along with above a training records maintained on all SOPs.	# Along with above, training records maintained on all SOPs - Training on SOP given with evidence/record.	2	10	20	Training on SOP is evident.
			3. 60%: Along with above SOPs getting revised based on feedback continuously	# Along with above SOPs getting revised based on feedback continuously - revision on SOP based on feedback (training effectiveness)		10	0	Revision of SOP is not evident.
			4. 80%: Along with above pictorial SOPs displayed at site in regional languages for better understanding of all employees.	# Along with above pictorial SOPs displayed at site in regional languages for better understanding of all employees - pictorial display of SOP (in regional language)		10	0	SOP is not displayed, but Safety posters are available in different languages.
			5. 100%: Along with the above employees display an exemplary understanding of all SOPs at site.	# Along with the above employees display an exemplary understanding of all SOPs at site - interview / discuss during site visit.		10	0	
	1.5	System for two way communication (Top – Bottom – Top) between contractor leadership and their workforce (Proprietor engagement in line walk, Safety meeting etc.).	0. 0% : No system or process exists.	# No system of communication		10	0	
			1. 20 %: Documented system and process exists for communication between all levels of Contractor leadership and their workforce. Visual displays MoM of meetings and action taken reports.	# Documented system is in place for internal communication. MoM available as record/display in office		10	0	Line walk frequency monthly. Last conducted on 25.06.2024. Conducted by TSK line manager and site Incharge, site supervisor and Safety Supervisor. Findings only one, i.e. OC-1B conveyor opening. Immediately closed. RC and CAPA is not available. Verified the TBT of 26.06.2024 where the above findings was not discussed.
			2. 40 %: Along with the above evidence exists of leadership team visits and discussions and action.	# Documented system is in place. Evidence of Leadership team visit, discussion and action exist		10	0	Mass meeting frequency monthly. Last meeting conducted on 25.06.2024. Chaired by CO, Proprietor. Attended from TSK 7, and from the vendor partner 7. TBT record also attached for 43 workers. Points discussed: a) Electrical shocks, Burns b) Fire Hazard.
			3. 60%: Along with the above evidence exists of leadership team and the proprietor visits and discussions and action	# Along with above top management involvement in implementation action exist (evidence is must)		10	0	Not evident.
			4. 80%: Along with above record of improvements undertaken as a result of such communication and feedback	# Along with evidence exist w.r.to feedback and communication on action	4	10	40	One suggestion related to earthing of container, action taken but date is not recorded. Target was within 5 days.

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
			5. 100%: Along with the above recognition and reward for participants for such communication exists	# Along with above reward/recognition mechanism exists for participation/ suggestion on action (evidence/record)		10	0	Vasudeb Patro for best housekeeping, Chinmoy Dev Sahoo for maximum attendance and Batakrishna Behera for best work.
	2.1	Capability of Workforce, (Skilled ,**Certified** Competent Supervisor, Site Safety Supervisors and manpower etc.) Verify through site visit and Interview.	# Deployment of certified supervisors ,site safety supervisors and specific job required employees from JNTVTI or other TSL approved institutions.	a) Deployment of below 70% certified employees at site , Score- 0 marks b)Deployment of 70 to 99% certified employees at site , Score- 10 marks c) Deployment of 100% certified employees at site , score- 20 marks	0	10	0	Out of 71, only one safety officer is having skill certificate.
			Hazard identification and Risk assessment :Inclusion of site specific , job specific and adequate six directional hazard in Work permit .Job Hazard Analysis by contractor supervisors .Learnings from JHA incorporating in 'SOP'	a) Inadequate hazard identification and poor implementation of safety measures mentioned in work permit ,score – 0 marks b) Site specific & job specific hazards and safety measures mentioned adequately in work permit and implemented ,score – 10 marks	1	10	10	Verified the available work permit no. 513495, job Drive Alignment and Finishing work. Hazard identified as open area, hit by object, slip, trip, fall of material. Precaution mentioned as Barricading, Safe distance and housekeeping. Barricading, housekeeping, etc. are evident.
			# Compliance to deployment of applicable safety standards at site as mentioned in "SOP" and permit system	a)Below 70 % compliance to safety standards and 'SOP' ,score - 0 marks b) 70 % to 99 % compliance to safety standards and 'SOP' ,score - 10 marks c) 100% compliance to safety standards and 'SOP' ,score - 20 marks	2	10	20	Safety standards are followed.
	2.2	Conducting Tool box, mass meeting regularly and leadership engagement (Contractor proprietor line walk). (Verify through Records, Interview & site visit)	# Conducting Tool Box meetings daily at all sites of location by site supervisors , site safety supervisors .Participation of Proprietor / Locational in charge in Line walks and Monthly mass meetings and maintaining records	a) Inadequate records on Tool Box meetings and poor coverage of supervisors in Tool Box meetings ,score – 0 marks b)) Maintaining adequate records of Tool Box meetings and all supervisors participating in Tool Box meetings ,score – 10 marks	1	10	10	Verified the available TBT record at site, where 12 persons were attended and out of 8, 3 points were discussed.
			Coverage of 100% employees of all the sites of Location in Tool Box Meetings	a) Below 80% , score - 0 marks b)80 % to 100% coverage of all supervisors and employees in Tool Box Meetings ,score - 10 marks	1	10	10	Presence of 100% employees of that site is evident.
			# Compliance on points captured during proprietor line walks ,Tool Box meetings and Mass meetings	a) Compliance below 80 % , score – 0 marks b) Compliance from 80 to 94 % , score – 10 marks c) Compliance from 95 to 100 % , score – 30 marks	0	10	0	Out of 8, only 3 points was discussed, i.e. 37.5%.
	2.3	Providing & ensuring usage of standard (IS/EN) and right PPEs while performing the job. Ensure timely replacements. (Verify through site visit and Interview).	Hazard mapping with respect to location specific and usage of applicable and standard PPEs by contractor employees at working site	a) Hazard mapping not available and compliance of required PPE below 80% ,score – 0 marks b) Availability of Hazard mapping and 80 % to 99% employees using required and standard PPE ,score – 10 marks c) Availability of Hazard mapping and 100% employees using required and standard PPE ,score – 20 marks	2	10	20	Hazard mapping and compliance of PPE usage is 100%. Verified the helmet used IS 2925, Goggles EN166.
			Physical condition of PPE using by employees at working site	a) Some of employees using non defective PPE , score - 0 marks b) 100% employees using non defective PPE ,score - 20 marks	2	10	20	Condition of the PPEs found good.

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
2.Implementation Safety system and Process			Regular audits on usage of PPE by supervisors and review of PPE quality and improvements by vendor	a) Poor compliance on Audits on PPE usage and review , score – 0 marks b) Regular audits by supervisors with specified frequency and review by vendor on monthly basis , score – 10 marks	1	10	10	PPE audit frequency monthly. Last audit conducted on 20.06.2024. 9 items for 126 employees were checked. All are found OK.
	2.4	Providing & ensuring safe usage of standard, certified and right tools & tackles, equipment's and calibrated safety gadgets (e.g. Gas detectors) while performing the job. (Verify through Records and Site visit)	Availability and usage of applicable and standard tools & tackles by contractor at working site	a) List of Standard, applicable Tools & Tackles not available and sub standard Tools & Tackles being used at site , score – 0 marks b) List of 80 % to 99% Standard, applicable Tools & Tackles available and being used at site ,score – 10 marks c) List of 100% Standard, applicable Tools & Tackles available and being used at site ,score – 20 marks	2	10	20	Verified the available tools and tackles at site. All the hand tools available in the tool box are found in new condition. Inspection stickers available on hand grinder.
			Physical condition & legal compliance of applicable tools-tackles & equipment at working site (As applicable)	a) Legal compliance not followed and poor condition of Tools & Tackles , score – 0 marks b) 100% Legal compliance being followed and all the Tools & Tackles are defective free ,score - 20 marks	2	10	20	Chain pulley Block checking by 3rd party competent authority is evidenced.
			Tools & Tackles based audit by contractor's supervisors (site verification)	a) Poor compliance of audits and review , score – 0 marks b) Regular audits by supervisors with specified frequency and review by vendor on monthly basis , score – 10 marks	1	10	10	Tools and tackles audit frequency once in a month. Last audit conducted on 15.07.2024. 9 points based lifting tools and tackles checking and 6 points based Chain pulley Block checking are evidenced., No non compliance, all are o.k.. Machine health check-up audit is also in place. Frequency monthly.
	2.5	Ensuring a good housekeeping free from any slip / trip / fall hazards at working sites. (Verify through site visit)	Working sites house keeping maintained in systematic approach .Material storage area, stores area and rest sheds orderliness maintained. Free from Slip / Trip / Fall hazards.	a) Poor house keeping at site ,score – 0 marks b) 100% compliance to excellent House keeping at site ,score – 20 marks	2	10	20	Very good housekeeping at visited site, i.e., BF #2 Stack House, 27 mtr. height.
			Implementation of 1S ,2S at site.	a) Concept of 1S & 2S not followed , score – 0 marks b) Deployment of 1S & 2S at site ,score - 20 marks	2	10	20	There is no designated areas available for keeping the materials. Unwanted items are not found in the working areas. Only site supervisor is aware about 1S, others are not aware about this concept.
			#and approach for 5S concept at working sites . Check list developed on 5s and being followed regularly	a) Poor compliance of audits and review , score – 0 marks b)Regular audits by supervisors with specified frequency and review by vendor on monthly basis , score – 10 marks	1	10	10	Housekeeping audit frequency monthly. Last audit conducted on 04.07.2024, conducted by Safety and site supervisor.21 point based checklist. 7 points are identified as non compliance. Action taken status are not evident. 5S audit is in place, frequency monthly, ref. doc. no. SEW/HK/21/00. Last audit conducted on 21.06.2024 based on checklist related to !S & 2S. No non compliance.
	2.6	Self-Safety Initiative / Project by contractor for Safety Improvement	# System of safety improvement projects exist and known to 100% supervisors. Involvement of top management in self initiated safety projects (record of no. of suggestion received, no. of suggestion implementation, resource provision)	a) System not exist and poor engagement of top leadership ,score – 0 marks b)System exist ,involvement of top leadership in implementation of safety improvement projects .Process of suggestion management exist to capture from employees ,score – 20 marks	2	10	20	1. Overload switch installed in single phase welding machine. 2. Introduced earthling on container Dates are not mentioned.

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
			# Safety improvement projects implemented at working sites	a) Below 4 safety improvement projects in a year , score – 0 marks b) Minimum 4 safety improvements at site in a year ,score - 20 marks	0	10	0	Only 2 safety related initiatives are evident.
			Safety projects to improve system related gaps	a) Below 2 system related safety improvement in a year , score – 0 marks b)Minimum 2 system related safety improvements in a year ,score - 10 marks	0	10	0	No system related initiatives are evident.
	3.1	Contractor safety audit by the contractors' supervisor and site safety supervisors in the field. (Verify records)	0. 0% -System does not exists	# No safety audit done		8	0	
			1. 20%-Regular self-audits not done.	# Safety audit done on adhoc basis (no audit plan, no checklist)		8	0	
			2. 40% -Audit done occasionally but no record found	# Safety audit done with no record		8	0	
			3. 60% -Regular audit done but record not in place.	# Safety audit done as per plan, but no record		8	0	
			4. 80%-Regular audit done, record is in place with follow up action.	# Safety audit done as per plan, report available with CAPA	4	8	32	Safety Severity Audit, doc. No. SEW/CSMS/SSA. Frequency one in every month. Last audit conducted on 18.07.2024. Actual doc. No. SEW/CSA/23/00. dated 18.07.2024. Conducted by Supervisor and Safety officer. Findings: 5. One is Good Observation and Gap identified 4. i) Incident: Rigger doing Grinding Job, Severity 3. ii) Unwanted material laying at site. Severity 2. ii) Hammer and Hole Bari does not have tools lanyard. Severity 2. iv) Worker standing on hand rail - unsafe condition. Severity 3 Action taken reports are not available. As per procedure onyx severity 4 & 5 to be considered for CAPA..
			5. 100%-The same points are not recurred in the next audit	# Safety audit findings are not repetitive (effectiveness of audit)		8	0	
	3.2	Corrective and preventive action on self-audit report specifically on 4 & 5 severity potential. (Verify records & site visit)	0. 0%: No system exists.	# No CAPA		6	0	
			1. 20%: System for identification of unsafe practices of severity 4 & 5 exists.	# CAPA covers unsafe practices of severity 4&5	1	6	6	Not available. As per the organization guideline Severity 4 and 5 to be considered for CA{PA, which is not observed.
			2. 40%: Structured review mechanism for unsafe practices of severity 4 & 5.	# Review of CAPA of unsafe practices of severity 4&5		6	0	
			3. 60%: Systematic process of correction of all unsafe practices of severity 3, 4 & 5 exists.	# Systematic process of correction of all unsafe practices of severity 3, 4 & 5 exists.		6	0	
			4. 80%-There is no unsafe practice of severity 4 & 5 observed during filed visit.	# No unsafe practice of severity 4 & 5 observed by auditor during filed visit at the time of assessment.		6	0	
			5. 100%-Procedure violations of severity 3 does not exists	# Procedure violations of severity 3 does not exists		6	0	
	3.3	Compliance to Generic and Specific Safety clauses as per contract. (Verify through site visit and Interview based on some Work order).	0- 0%- Basic deviation of PPE observed	# Basic deviation of PPE observed		6	0	
			1- 20%-Generic safety clauses have been followed	# Generic safety clauses have been followed		6	0	Generic safety clauses have been documented along with responsibility to take care in case of any violation. The document is approved by the Proprietor.
			2- 40%-Specific safety clauses with reference to hierarchy of hazard control is followed	# Specific safety clauses with reference to hierarchy of hazard control is followed		6	0	

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
			3- 60%-Safety violation with respect to workforce capability does not exists	# Safety violation with respect to workforce capability does not exists	3	6	18	No safety violations are observed.
			4- 80%-Infrastructure resources tools & tackles are provided with right quality	# Infrastructure resources tools & tackles are provided with right quality		6	0	
			5- 100%-Process of doing job has been standardized and followed and learning and integration approach is visible	# Process of doing job has been standardized and followed and learning and integration approach is visible		6	0	
	4.1	Reporting, investigation and learning of all incident / accident, Health issue.	0- No system of reporting incident and health issues	# No system of reporting incident and health issues		8	0	
			1- Adhoc and weak system available	# Adhoc and weak system available		8	0	
			2- A documented procedure for reporting of incidences exists and followed and investigation carried out	# A documented procedure for reporting of incidences exists and followed and investigation carried out	2	8	16	Guideline addressed on page 63. sl. No. 4.1.including reporting flow chart. One learning incident from orange strip dated 28.05.2023 implemented at creating a separate pathway for pedestrian on 30.05.2024. Investigation reporting to be made on format no. SEW/SFT/IIA. The format is not available.
			3- Reporting and investigations done systematically and root causes are identified	# Reporting and investigations done systematically and root causes are identified		8	0	
			4- Recommendations are implemented and learning shared	# Recommendations are implemented and learning shared		8	0	
			5- Learning from other incidents shared and implemented	# Learning from other incidents shared and implemented		8	0	
	4.2	Near miss and Unsafe act / condition reporting, investigation and corrective action.	0- No system of reporting incident and health issues	# No system of reporting near miss & unsafe act/ condition		8	0	
			1- Adhoc and weak system available	# Adhoc and weak system available		8	0	
			2- A documented procedure for reporting of Near miss exists and followed and investigation carried out	# A documented procedure for reporting of Near miss exists and followed and investigation carried out		8	0	
			3- Reporting and investigations done systematically and root causes are identified	# Reporting and investigations done systematically and root causes are identified	3	8	24	Near miss recorded from April to June 2024 is in place. Target 15. Actual recorded 4. a) 07.06.2024: Helper throws a spanner to another worker for working, but the same was not hit any workmen. RC: Freaks behavior. CA: Awareness to be given on Hand tool handling. PA: Training awareness prog done and regular inspection and audit is done. Date of action taken is not available. b) 21.05.2024: Incident's During bolt tightening the hammering spanner sliped and fall down to 27 mtr. to 24 mtr. No injury or property damage. RC: Damaged tool spanner used. CA: Awareness training on hazard and tools handling provided. PA: Always use ins[pected tools. Use good quality of Tools Lanyard. Date of implementation of CA is not available.
			4- Recommendations are implemented and learning shared	# Recommendations are implemented and learning shared		8	0	
			5- Learning from other near miss shared and implemented	# Learning from other near miss shared and implemented		8	0	

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
4.Performance Measure: Lead indicator	4.3	Skill retention, amenities, employees liability etc. (Verify through records and Interview)	0- No system. No amenities and high skilled employees turnover	# No system of skill retention # No amenities provided # High employee turnover		8	0	
			1- Amenities provided and it is of minimum requirement	# Amenities provided is of minimum requirement		8	0	Amenities: Accommodation, Transportation, Kitchen items, Sofa set, LED TV, Water purifier, Cooking Gas. As per interaction with the workmen at site, PPEs, Tools, Transportation and Medical Facilities.
			2- Employees are motivated and remain with the organization	# Employees are motivated to remain in the organization		8	0	
			3- Employees grievances are recorded and individual consideration is given	# Employee grievance are recorded and considered for action	3	8	24	Grievances: 4 grievances recoded during the period April to June 2024. Advance payment 2 cases, Fan replacement, LPG cylinder provided on request
			4- No grievances from employee and amenities are provided considering hygiene and workplace environment	# No grievance from employees on amenities provided, hygiene and workplace environment		8	0	
			5- A feedback system exists for capturing employees engagement and retention	# Feedback system exists to capture employee suggestion, engagement and retention		8	0	
	4.4	Campaign e.g. (Safety quiz, Safety skid etc.) to develop Safety Culture. (Verify through records and Interview)	0- No system for safety campaign	# No safety campaign		8	0	
			1- It is done haphazardly	# Adhoc safety campaign		8	0	
			2- Done systematically and involvement of employees are there	# Safety campaign done systematically (record is must)		8	0	
			3- A monthly or annual plan is available and campaigns are conducted as per theme	# Plan for campaign available with theme		8	0	
			4- Ownership of campaign are fixed and topic based are conducted	# Responsibility of campaign are defined and topic based campaign are conducted	4	8	32	30.05.2024 - Road Safety Campaign 05.06.2024 - World Environment Day. Under planning: Safety Drama. Number of participants during the campaign is not available.
			5- Campaigns are linked to past incidents and based on learning	# Campaigns are linked to past incidents and based on learning (record/evidence)		8	0	
	4.5	Reward, Recognition and Consequence Management System of Contractor. (Verify through records)	0- No system	# No system		8	0	
			1- Ad hoc system available	# Ahhoc system		8	0	
			2- There is criteria and documented procedure for both	# Defined criteria & documented procedure		8	0	
			3- System is followed and applied to identify good and bad performer	# Mechanism of bad & good performer exist (shall be transparent and shall be known to employees)		8	0	Vasudeb Patro for best housekeeping, Chinmoy Dev Sahoo for maximum attendance and Batakrishna Behera for best work. K. Khali Reddi for best safety behavior Jitendra Kumar for best near miss reporter. As per manual page 71, Best Safety Performer and Quiz competition to be awarded.
			4- PDCA is followed and learning and integration approach visible and reduction in unsafe acts and practices	# PDCA is followed and learning and integration approach visible and reduction in unsafe acts and practices	4	8	32	Consequence mgt. addressed on page 71 of Safety Manual. As per record from April to June 2024, 6 warning letters are issued. E.g. 12.06.2024 - Baiju Sahani - Sleeping at site. 17.05.2024 - Ravi Ranjan Sharms - Talking on phone at work site.
			5- There is positive impact among contract employees and they are highly motivated	# Positive impact amongst employees and they are motivated		8	0	
5.Perform	5.1	Zero Lost time /serious injury or permanent disability	0-60	# No LTI/Serious injury/ permanent disablement incident	60	0	60	Nil as per ENSAFE
			>/=1-0	# 1 or more LTI/Serious injury/ permanent disablement incident				
			0-40 Score	# No first aid incident				

Attributes	SN	Criteria Requirements	Guideline for audit	Expected Aspects	Evaluation status (on the 0 to 5)	Multiplying factor	Actual score	Remarks
measure: Lag indicators applicable for the Location itself (Previous Financial year and Current Financial year as on assessment date)	5.2	Zero First aid case	1 or more-0 score	# 1 or more first aid incident	40	0	40	Nil as per ENSAFE
	5.3	Non-Injury Incidents (e.g. Property Damage)	0-10 score 1or more-0 score	# No property damage case # 1 or more property damage case	10	0	10	Nil as per ENSAFE
	5.4	Safety violation of fatal potential of severity 4&5 (reference contractor safety audit system)	0 - 20 >=1 - 0	# No fatal potential violation of severity 4 & 5 violation. # Fatal potential violation of severity 4 & 5 violation are more than or equal to 1.	20	0	20	Nil as per ENSAFE
	5.5	Safety noncompliance cost recovery / Penalty imposed / Job stopped.	0-20 score 1-0 score	# No cost recovery violation evident # 1 or more cost recovery violation evident	0	1	0	CM-1
	5.6	Fatality of contractor employee	0 : 0 score Fatality : 1 a) Responsible b) Not Responsible	# No fatality, zero score will be awarded, i.e. no deduction of marks. # If vendor is responsible -100 score will be awarded.i.e 100 marks will be deducted from total score # If vendor not responsible, marks will not be deducted	0	0	0	Nil as per ENSAFE

						TOTAL SCORE	694
	1	Self assessment done by vendor	:Yes / No		Yes		
	2	Verified by CO / Mentor :	:Yes / No		Yes		
	3	Report (1 &2) seen by Third party agency during assessment	:Yes / No		Yes		

Annexure #1

CSM Star rating assessment key findings and feedback form

(A) Key Audit findings:

1. Audit findings are in place. Action taken status against the identified gaps are not recorded, e.g. safety audit of
2. severity level 3, Houskeeping audit non compliance, etc.
3. Hazard related to Bus movement and Camper is not available on existing JHA document.
4. - Site: Awareness on 1S & 2S needs to be improved.
5. - Inspection sticker available on fire extinguisher and Hand Grinder is not clear.
6. - Training need for ERP and covering of all the employees are not evident.
7. - Root cause analysis against the near miss cases and its CAPA implementation is not effective.
8.

(B) Feedback by CO (TSL employee) and Vendor :

a) Are the auditors following Scope of assessment?

Ans: Yes / No

b) Behavior of Auditor?

Ans: Good / Satisfactory

c)Field visit conducted by the Auditor?

Ans: Yes / no

d)Have you understood Auditor's inputs?

Ans: Yes / No

e) Any suggestion on assessment process of auditors?

Ans: N/A

(C) Contract Owner (TSL employee - Name & signature): Jitendra Shukla / Nishant

Email id nishantranjan@tatasteel.com Mobile number: 9040094620, 9040094776 nishantranjan@tatasteel.com

(D) Vendor code: SOTO Organization name: Srivennela Engineering Works.

Email id sirivennelaeng@gmail.com Mobile number: 7785669917

(E) Name of the person and signature: Banamali Majhi 20/07/24

Assessor Name and signature: Pabitra Kumar Kar

4.Audit Date 20..07..2024......Time 2:00 PM.Location ... ~~[illegible]~~ TSK, Project Conf. hall Bbcr-7.

Incase of online audit please ask the CO to download the participant list and mail it for the purpose of attendance
Else take a print screen

Vendor Representative:-

1. Banamali Majhi - Site Engineer
2. Papana Das - Safety Supervisor

	Clause 1	Clause 2	Clause 3	Clause 4	Clause 5	
Count	5	18	3	5	6	37
out of	5	18	3	5	6	37
Score	160	220	56	128	130	694

Other check points
Organisation name in Gen info sheet and feedback form shall be same
CO and representative to the CO shall be given in the Gen info sheet along with personal number
Lag indicator shall be with comments with incidence number
For feedback and OFIs please get acceptance in Teams chat box after you paste it there
Manpower list, JNTVTI compliance check. To be obtained from vendor
Audit locations are - TSJ, OMQ, Jharia, WB, FAMD, Global Wire, Bearing Others