

Annex 5. General minimum criteria for revising documents: Legal-occupational, occupational health and safety information and documentation that the contractor must provide in order to be able to carry out the activity that is the subject of the labour or service contract.

	Documentation	Frequency	Disqualifying	Notes / Criteria
A.- Before signing the contract				
1	The contractor authorises Endesa/Enel to obtain the accredited certification of being current on the payment of the Social Security contributions issued by the General Treasury of Social Security (article 42 Statute of Workers' Rights), for a minimum period equivalent to the duration of the contract.	SOLE	Yes	<p>The companies must authorise Endesa/Enel to extract this Certificate from Article 42 of the Statute of Workers' Rights through the Red System of the TGSS. The authorisation must be under the name of the Endesa/Enel company that is the holder of the contract (EDE, E. Energía, E. Generación, etc.). For this purpose, Endesa/Enel must communicate to them the principal Social Security Account Numbers (CCC, its acronym in Spanish) of the Endesa/Enel company that contracts the service. The contractor must authorise that CCC to extract the Certificate. That authorisation is granted for a period that must at least be equal to the duration of the contract between both companies.</p> <p>In the case of SUBCONTRACTORS, the main contractor must communicate to them that they must authorise in the same manner as in the case established above so that the main contractor can extract the Certificate of Social Security Coverage of said subcontractors. The main contractor uploads the certificates of its subcontractors to ENDESA's document management application, issued under the main contractor and by virtue of Art. 42 of the Statute of Workers' Rights. Authorisation of the contract issued to Endesa's Business Line or the generic certificate shall also be accepted. Said documents must not be disqualifying.</p> <p>The certificate must be dated prior to the start of executing the works, at most one month.</p> <p>In the case of FREELANCERS WITHOUT WORKERS, they must upload, with regular frequency, the payment receipt of the special Social Security regime for freelancers.</p> <p>If it regards FREELANCERS WITH WORKERS, they must act in the same way as a company.</p>
2	Civil liability and third-party damage insurance; and accredited payment receipt of the corresponding premium	S/V	Yes	<p>The policy and bank receipt that establish the payment made and the period of validity are valid. The receipt must contain the same policy number.</p> <p>A certificate from the insurer shall also be accepted that indicates the following:</p> <ul style="list-style-type: none"> - Insurer - Policyholder - Insured - Policy number - Period of validity of the insurance - Statement of being current on the payment and the period it covers - Hazards and insured coverages - Indemnities or insured amounts <p>REPRO screenshots are not valid. Providing the certificates of being current on payment is not valid.</p>
3	Certificate from the Tax Agency that accredits that the contractor is current on paying taxes. (article 43, 1, f) of the General Taxation Law)	ANNUAL	Yes	<p>You must review Art. 43.1f of the GTL.</p> <p>Companies that work for several Endesa/Enel companies must provide the certificate for each one of the lines.</p> <p>In the case of SUBCONTRACTORS, certificates can be accepted that are under the name of Endesa/Enel, the main contractor or the generic contractor. Said document shall not be disqualifying.</p>

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4 Designating the contractor's contact person for Endesa/Enel	SOLE UNLESS THERE ARE CHANGES	Yes	<p>We must know, at least, Name, Surname, DNI, telephone number and e-mail address.</p> <p>It is a signed and dated company document.</p> <p>DOES NOT APPLY TO SUBCONTRACTORS.</p>
B.-After signing the contract and before the date of executing the work or contracted service			
5 List of workers ascribed to the contract	SOLE UNLESS THERE ARE CHANGES	Yes	<p>The companies must list the workers in the file who will execute the works, indicating: full name and NIF of the workers (of the main contractor and the subcontractors, if applicable), CIF of the company for which they work, job/position, whether or not they are subjected to particularly hazardous activities (specify them), the PPEs, machinery to be used, whether or not they are qualified to exercise the preventive resource and a photograph.</p> <p>In the case of subcontracting, when the contractor companies opt for the subcontractors to upload the documentation, the contractors must validate the workers listed ("Pending Contractor").</p>
<p>According to the specific Social Security model (always the original document) that features all workers listed in the file.</p> <p>Controlling the registration of workers in Social Security is done through ITA or IDC in the first fifteen days of each month.</p> <p>Alternatively to the ITA Report, and at the option of the contractor/subcontractor, they shall be able to submit an accredited document of registration in the General Social Security Regime of each worker, Social Security Data Report (IDC)/TA-2 form, updated.</p> <p>If during the month, a new worker is registered in the system, they must accredit the registration in Social Security, either by updating the ITA or by providing the IDC/TA2.</p> <p>It shall also apply to freelancers under the Special Regime for Self-Employment Social Security (RETA, its acronym in Spanish).</p>			

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7 Specific Prevention Plan of the work or service contracted	SOLE UNLESS THERE ARE CHANGES	Yes	<p>The minimum content that the Specific Prevention Plan must include are:</p> <ol style="list-style-type: none"> 1. Purpose. 2. Scope of application. 3. Activities to be performed. 4. Hazard identification, risk assessment, prevention and protection measures. 5. Work procedure to be followed during each activity. 6. Need (if applicable) to appoint preventive figures. 7. Mode of the Company's Preventive Organisation. 8. Safety Organisation while carrying out the activities: 9. List of the type of Information and Training in Occupational Hazard Prevention based on the type of activity to be performed. 10. Description of the activities and preventive measures that will require the presence of a Preventive Resource. <p>In the case of subcontractors, they can opt for their own Specific Plan or adherence to the plan of the main contractor. The Adherence to the Specific Plan document must contain at least the following:</p> <ul style="list-style-type: none"> - Name of the contractor, and the subcontractor or freelancer. - The contracting Endesa/Enel Business Line. - Text that indicates that the contractor has delivered the PEP to the subcontractor/freelancer and that they accept it and will comply with everything indicated therein. - Date, signature of the Manager of the contractor, and the subcontractor or freelancer, in addition to the corresponding stamps from both companies. - Mode of Preventive Organisation of the Contractor. <p>For more detail, consult the Minimum Content of the PEP document in the MANAGE folder: Criteria and documents, templates and Endesa facilities hazards / Templates document (PEP, statements, etc...).</p>
8 Declaration of responsibility from the contractor through which they declare and guarantee:	SOLE	Yes	<p>Said certificate, which must be available to Endesa/Enel, must contain:</p> <ul style="list-style-type: none"> - Name, surnames, DNI of the worker and position that they hold. - They must appear to be clearly and specifically SUITABLE for the corresponding position. - Signature from the doctor with the corresponding professional body number. - Date of the recognition or issuance of the certificate. <p>The medical disclaimers and notices for carrying out the medical recognition are not considered certificates of Medical Capability.</p> <p>In the case of suitable certificates with any type of limitation, they must be accompanied by a document signed by the business owner that states that the worker will not be the subject of said limitations while executing their functions.</p> <p>It is not necessary for them to provide this certificate for administrative tasks.</p> <p>With respect to the expiration of this document, the date set in the certificate itself by the competent professional shall be considered valid. If said period is not established, one year shall be taken as the period of validity.</p> <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>

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8 Declaration of responsibility from the contractor through which they declare and guarantee:	SOLE	Yes	<ul style="list-style-type: none"> • that they have in their possession a proof of receipt of all workers ascribed to the contract of having received the information about the occupational hazards at the Endesa/Enel facility where they will perform their activity <p>On said certificate, which must be available to Endesa/Enel, the supplier must show that they have received sufficient information about the hazards and emergency measures of the work centres or Endesa/Enel facilities where they will carry out the work, and a certificate of having sent said information about hazards to their workers.</p> <p>The document shall include:</p> <ul style="list-style-type: none"> - Date - Company stamp or logo - Name, surname, NIF and signature of the person receiving the information - Endesa/Enel centres or facilities for which this information is provided. <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>
			<ul style="list-style-type: none"> • that they possess a proof of receipt of all workers ascribed to the contract of having received information about the hazards and emergency measures inherent to their position <p>On said certificate, which must be available to Endesa/Enel, the supplier must show that the workers have received information about the hazards and preventive measures of the position or function.</p> <p>The document shall include:</p> <ul style="list-style-type: none"> - Date - Company stamp or logo - Name, surname, NIF and signature of the person receiving the information <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>

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8 Declaration of responsibility from the contractor through which they declare and guarantee:	SOLE	Yes	<p>Said certificate, which must be available to Endesa/Enel, must contain:</p> <ul style="list-style-type: none"> • that all workers ascribed to the contract have training in the specific theoretical-practical prevention of the position (Art. 19) Occupational Hazards Act for the activities they will perform; and possess the individual certificates as proof, with the validity determined for each case by the legislation and is updated at least every 3 years, <p>The document shall include:</p> <ul style="list-style-type: none"> - The sufficient and adequate theoretical-practical training in PRL (Occupational Hazard Prevention) received by each worker for the activity to be performed as a function of the hazards of the position (art. 19). The workers must be trained and educated about the correct application of the procedures to be carried out and in no case may it be less than 2 hours. For the particularly hazardous activities (due to their nature or due to the facilities where they will be carried out) and with low-voltage electrical hazards, the specific training of the position must be complemented with a sufficient and adequate training of the particularly hazardous activities that the worker is exposed to. In addition, for this type of works, they must have completed training in First Aid. - Date of training received and duration. - Company stamp. - Name, surname and NIF of the worker. - The recycling corresponding to preventive training or first aid shall be at least every three years. <p>No certificates of remote training will be accepted for especially hazardous positions.</p> <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>
			<p>• that they possess a receipt that all workers ascribed to the contract have received the corresponding PPEs (personal protective equipment), as set forth in the Specific Prevention Plan,</p> <p>Said certificate, which must be available to Endesa/Enel, must contain:</p> <ul style="list-style-type: none"> - All PPEs established in the Specific Prevention Plan (PEP) depending on their position. - Date. - Company stamp or logo. - Name, surname, NIF and signature of the person receiving the PPEs. <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>

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			<ul style="list-style-type: none"> • that all workers ascribed to the contract have received the minimum required training in the corresponding occupational hazards, as per the requirements of Royal Decree 39/1997, and that they possess the individual certifications as proof, <p>The titles or certificates of preventive training, that must be available to Endesa/Enel, must contain:</p> <ul style="list-style-type: none"> - Date of training received. - Duration and content of the training (or identification of the training action as per RD 39/1997: basic, intermediate or advanced level). - Stamp or logo of the company that imparts the training. - Name, surname, NIF of the worker. <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>
8 Declaration of responsibility from the contractor through which they declare and guarantee:	SOLE	Yes	<ul style="list-style-type: none"> • that the work equipment and collective protective equipment that will be used in the execution of the contract comply with the minimum safety and health provisions for use as set forth in Royal Decree 1215/99 or that they have the corresponding CE stamp as a statement of compliance. <p>The company will issue a document that must be available to Endesa/Enel, certifying that all work equipment and collective protective equipment to be used comply with the provisions stipulated in RD 1215/1997, or they have the corresponding statement of compliance (CE stamp) that they are in perfect condition and have passed the corresponding revisions.</p> <p>In addition, they must have the documentation that accredits the last revisions carried out on this list of work equipment and collective protective equipment.</p> <p>The signer declares to commit during the execution of the contract, to carry out the periodic revisions that are mandatory in accordance with the standards valid at all times and accepts that Endesa/Enel carries out audits by requesting the documentation of proof of the revisions carried out.</p> <p>This document must include:</p> <ul style="list-style-type: none"> - Date - Company stamp or logo - Name, surname, NIF and signature of the business owner or its representative. <p>The list of the equipment indicating the model and reference in the case that it entails the equipment covered in the following groups: either work equipment regulated by a specific industrial legislation (machines, lifting equipment, generators, etc.) or collective protective equipment of electrical hazards (insulating stools, poles, etc.); in this case, the level of voltage must be indicated instead of the reference, or work equipment for which the Technical Guide of the INSHT corresponding to RD 1215/1997 defines the minimum provisions (Annex II): mobile work equipment (automotive or not), equipment for lifting loads and equipment for carrying out temporary works at height.</p> <p>Upon request by Endesa/Enel, the document shall be uploaded in MANAGE.</p>

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C.- During the execution of the work or service contracted

9	Declaration of responsibility of being current on the payment of salary obligations with all workers ascribed to the contract.	QUARTERLY	NO	<p>Statement dated and signed by the manager of the company certifying that they have complied with all of the legal obligations regarding salary for the workers ascribed to the contract by paying the corresponding payroll. This document shall be mandatory based on the three months from the request for the revision of the document and during the execution of the works.</p> <p>If required by Endesa/Enel, the contractor must MONTHLY accredit the content established in the statement of responsibility as follows:</p> <p>Certificate of the contractor, signed and dated by the company and endorsed by the representatives of the workers, which states that the company is current on all salary obligations for the workers ascribed to the contract with ENDESA/ENEL.</p> <p>In the cases in which the company does not have union representation, this certificate must be signed by the workers that provide service for that contract in question.</p> <p>Any of the two previous forms is valid.</p> <p>This document must contain the DNI's of all signers.</p> <p>FREELANCERS WITHOUT WORKERS: DOES NOT APPLY</p>
				<p>It shall not be necessary to upload these documents to the system, unless Endesa/Enel requests it for a one-time check or audit.</p> <p>When said document is requested, the following shall apply:</p> <p>If only the payment receipt is uploaded (without the TC1), it shall not be valid. The TC1 must be provided. Drafts of the TC1 shall not be accepted.</p> <p>The payment is verified with the stamp or digital fingerprint on the TC1 or bank document that refers to this TC1. In the event that a bank document is submitted, it shall be verified that it corresponds to the CCC and the contribution period with TC2.</p> <p>This document shall be requested each quarter during the execution of the works, after three months have passed since the start of said works. In the event that this document is incorrect, a claim shall be sent to the company each month.</p> <p>The document shall be correct if the payment period of the TC is within the three months immediately prior to that of the month in which the revision is carried out.</p> <p>Example: If the document is revised in November, the document entered shall be valid for the payment period of August or September:</p> <ul style="list-style-type: none"> • Month 11 (November) – 3 months = 8 (August). If the TC is from August (month 8) or September (month 9), the document is valid. • If the TC is from a month prior to the month of August (July - month 7, June - month 6, etc.) the document is invalid. <p>FREELANCERS WITHOUT WORKERS: DOES NOT APPLY.</p>
10	Social Security contribution bulletin, TC1 form, payment of contributions of all workers ascribed to the contract; in addition to the proof of payment.	UPON REQUEST OF ENDESA/ENEL	NO	<p>It shall not be necessary to upload these documents to the system, unless Endesa/Enel requests it for a one-time check or audit.</p> <p>When said document is requested, the following shall apply:</p> <p>If only the payment receipt is uploaded (without the TC1), it shall not be valid. The TC1 must be provided. Drafts of the TC1 shall not be accepted.</p> <p>The payment is verified with the stamp or digital fingerprint on the TC1 or bank document that refers to this TC1. In the event that a bank document is submitted, it shall be verified that it corresponds to the CCC and the contribution period with TC2.</p> <p>This document shall be requested each quarter during the execution of the works, after three months have passed since the start of said works. In the event that this document is incorrect, a claim shall be sent to the company each month.</p> <p>The document shall be correct if the payment period of the TC is within the three months immediately prior to that of the month in which the revision is carried out.</p> <p>Example: If the document is revised in November, the document entered shall be valid for the payment period of August or September:</p> <ul style="list-style-type: none"> • Month 11 (November) – 3 months = 8 (August). If the TC is from August (month 8) or September (month 9), the document is valid. • If the TC is from a month prior to the month of August (July - month 7, June - month 6, etc.) the document is invalid. <p>FREELANCERS WITHOUT WORKERS: DOES NOT APPLY.</p>
				<p>S/V Based on Validity</p> <p>Version: January 2019</p>

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It shall not be necessary to upload these documents to the system, unless Endesa/Enel requests it for a one-time check or audit.			
			<p>When said document is requested, the following shall apply:</p> <p>The TC2 is compared with the list of workers (or by SAP, seeing the workers assigned to the period). It is acceptable to cross out workers that are not assigned to the works. Drafts of the TC2 shall not be accepted.</p> <p>The payment is verified with the stamp or digital fingerprint on the TC1 or bank document that refers to this TC1.</p>
11 Social Security Contribution Bulletin, form TC2, worker payroll list.	UPON REQUEST OF ENDESA/ENEL	NO	<p>This document shall be requested each quarter during the execution of the works, after three months have passed since the start of said works. In the event that this document is not correct, a claim shall be sent to the company each month.</p> <p>The document shall be correct if the payment period of the TC is within the three months immediately prior to that of the month in which the revision is carried out.</p> <p>Example: If the document is revised in November, the document entered shall be valid for the payment period of August or September:</p> <ul style="list-style-type: none"> • Month 11 (November) – 3 months = 8 (August). If the TC is from August (month 8) or September (month 9), the document is valid. • If the TC is from a month prior to the month of August (July - month 7, June - month 6, etc.) the document is invalid. <p>FREELANCERS WITHOUT WORKERS: DOES NOT APPLY</p>
It must be issued in accordance with art. 43.1 f) of the General Taxation Law (GTL).			
12 Certification from the Tax Agency that accredits that the contractor is current on the payment of taxes (article 43, 1, f) of the General Taxation Law)	ANNUAL	YES	<p>The companies that work for several Endesa/Enel companies must provide the certificate for each one of the Lines.</p> <p>In the case of subcontractors, it can be accepted that the certificate is under the name of Endesa/Enel, the main contractor or the generic contractor. Said document shall not be disqualifying.</p>
The policy and bank receipt are valid if they establish the payment made and the period of validity. The receipt must contain the same policy number.			
13 Payment of the premium, accredited proof of being current on the payment of the civil liability and third-party damage insurance.	S/V	Yes	<p>A certificate from the insurer shall also be accepted that indicates the following:</p> <ul style="list-style-type: none"> - Insurer - Policyholder - Insured - Policy number - Period of validity of the insurance - Confirmation of being current on the payment and the period that it covers - Hazards and Insured Coverages - Indemnities or Insured Amounts <p>REPRO screenshots are not valid. It is not valid to only provide the certificates of being current on the payment.</p>

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Contribution of identical information and documentation, with the same scope, content and consideration as in the case of contractors.			
14 Identical documentation for the Subcontractor	Same expiration as the main contractor	Same criteria as the main contractor	<p>If the objective of the contract does not have the legal consideration of the own activity of Endesa/Enel, the contractor shall be able to replace providing the information and documentation required with a statement of responsibility.</p> <p>In any case, this condition must be expressly accepted by the Contractor Control Unit, upon the suggestion of the Basic Unit, and after a favourable report from the Legal-Labour Consultancy.</p>
All obligations existing regarding the aforementioned contracting apply to the subcontractor (except for the Prevention Manager).			
15 Documentation of the subcontractors' workers	Same expiration as the main contractor	Same criteria as the main contractor	<p>The contractor must guarantee and ensure that it has duly filed, in a personal file for each one of the subcontractor's workers, the documentation of proof of all facts stated through the Statement of Responsibility; which must be possible to verify and check by Endesa/Enel at all times.</p> <p>If Endesa/Enel requests some documents that refer to the Statement of Responsibility, they shall be uploaded to the file that is indicated in each one of them, within a maximum period of 48 hours.</p>