

PROCEDURE

Title: **Third Party Contractor Assessment**

| | | | | |
|----------------------------------|---|---|---|--|
| Procedure No: P802.011 | Issue: 1 | Revision: 6 | Operative Date: 17.08.2015 | Author: D Steel |
| Department: Company | Sect./Classification: Company | Category: Contract Management | Owner Role: Safety Specialist | Approver Role: Manager - Environment |
| | | | | Appr. Signature: |

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1.0 PURPOSE

This procedure documents the third party assessment and subsequent QAL approval process that category 2, 3.1 and 3.2 Contractors need to obtain before they may start work at QAL.

2.0 SCOPE

The third party contractor assessment applies to all existing Contractors and potential new Contractors including sub-contractors that perform work as a Category 2, 3.1 and 3.2 as defined in procedure P802.008 QAL Contract Management – Contractor Categories.

Contractors may be excluded from this procedure with the approval of the **General Manager**. Non-approved Contractors for emergency work require **General Manager’s** approval as per P802.008.

Government agencies and departments are excluded from this procedure.

3.0 RESPONSIBILITIES

Contract Owner: Responsible for compliance with this procedure.

HSEQ Systems Specialist: Responsible *for* assessing contractor health, safety and quality performance and recommend approval to the **Environment** Manager; *in addition to:*

- ***maintaining the Contractor Certification spreadsheet (including sharing of information with BSL & Yarwun)***
- ***maintaining the Contractor email distribution list; and***
- ***maintaining*** the HSECQ qualification within the SAP vendor master.

Environment Manager: Authorises final qualification of a contracting company upon review by **HSEQ Systems Specialist**.

General Manager: Authorises an exemption to the procedure.

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Sourcing Officer: Responsible for ensuring that the vendor qualifications are valid prior to the creation of a contract and/or purchase order, and maintenance of the SAP Agreement Register.

Contractor Site Manager: Person responsible on behalf of the contracting company for the contractor's service delivery to the refinery. This person has been authorised by the contracting company to make changes when required.

4.0 REFERENCES

- P802.008 QAL Contract Management – Contractor Categories
- P802.010 QAL Contract Management – Review of Category 3.3 Contractors

5.0 DEFINITIONS

- HSECQ Health Safety, Environment, Community and Quality
- RABQSA Registrar Certified Board Quality Society of Australasia

6.0 ACTIONS

6.1 HSECQ Third Party Assessment Process

The flowchart for the Contractor HSECQ Third Party Assessment process is shown in Attachment 7.4.

New Contractors invited to submit proposals for work on the QAL site shall be advised of the requirement to undertake a third party HSECQ assessment prior to them commencing work at the refinery. Failure to agree to a third party assessment will deem any commercial proposal invalid.

The audit is for the Contractor to organise, fund and provide the results to the QAL **HSEQ Systems Specialist** for review.

The **Sourcing Supervisor** shall ensure the requirement for the third party assessment is incorporated into all Request for Pricing, Request for Quote and Request for Information documentation prior to release to a vendor.

6.1.1 Contractors currently approved at Boyne Smelters Limited (BSL) or Rio Tinto Yarwun

If a Contractor has **current HSECQ approval at** Boyne Smelters Limited (BSL) or Rio Tinto Yarwun and they are seeking to work onsite at QAL, the Contractor will provide their **current** third party assessment **Certificate, Audit report & Improvement Plan** to the QAL **HSEQ Systems Specialist** for review.

Note: Contact details for BSL and Yarwun are attached to the Contractor Third Party Assessment spreadsheet (P: Safety/Contractor Safety Systems/Contractor Third Party Assessment)

6.1.2 New Contractors with ISO 14001, 9001 & AS18001

Contractors with current Certification under ISO9001 Quality Management Systems, ISO 14001 Environment Management Systems and AS18001 OHS Management Systems may submit evidence of current certification, a copy of the audit findings and Improvement plan to the HSEQ Systems Specialist for review. Management retains the right to accept or reject certification evidence.

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6.1.3 New Contractors without ISO 14001, 9001 & AS18001

All new category 2, 3.1 and 3.2 contractors will organise for their company to undergo a third party HSECQ assessment prior to commencing work in the QAL refinery.

Contractors may select from the list of approved auditors (refer Attachment 7.2) **and are required to submit the audit report and an improvement plan stating how non-conformances will be addressed. Documents are to be supplied to the HSEQ Systems Specialist for review and subsequent approval by Management.**

6.1.4 Contractors exemption

If a Contractor has an exemption to this procedure approved by the **General Manager** then an Access Certificate must be completed in accordance with procedure P802.010. The Contractor must organise a third party HSECQ assessment to be completed within the following six months as per this procedure. At the end of the six month timeframe the Contractor's access cards to the refinery will be disabled if the third party assessment has not been reviewed by the **HSEQ Systems Specialist** and approved by Management.

6.2 Contractors engaging Sub-contractors

Sub-contractors whose employees will work under the sub-contractor's own HSE system need to advise their sub-contractors that they will also have to undergo third party assessment.

Sub-contractors engaged by the Contractor to work under the Contractor's HSE system do not require an **independent** pre-qualification **assessment if the scope of work they will be performing aligns with the Contractors HSECQ approved scope of work.**

6.3 Scope of the HSECQ Assessment Process

To register as a category 2, 3.1 or 3.2 contractor at QAL, the Contractor must undergo a full HSECQ management system assessment.

The HSECQ management system assessment can only be completed by an authorised third party auditor using the assessment sheet in Attachment 7.1.

The third party HSECQ assessment must be performed on the Contractor's local operation. This is required to ensure that the HSECQ system managing the Contractor's employees coming to the refinery meet QAL requirements. An audit of the organisation's head office or parent company may not translate to the local service delivery.

6.4 Third Party Auditors

Attachment 7.2 lists the approved third party auditors agreed between QAL, BSL and RTA Yarwun.

All third party auditors must be certified RABQSA auditors and have at least 5 years industry experience.

6.5 Evaluation and Approval

The third party assessment report will be sent to the **HSEQ Systems Specialist** who will review the assessment and make a determination as to the Contractor's approval status. The review process will be based on the Contractor's past HSE performance, third party assessment of the HSECQ management system and any other matter QAL deems appropriate.

The percentage score a Contractor obtains on their third party assessment audit will determine the next steps of their certification as follows:

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| ASSESSMENT SCORE | OUTCOMES |
|------------------|---|
| <70% | Fail third party assessment |
| 70 – 79.9% | Proceed to approval stage with third party assessment required every 12 Months – will require an improvement plan to be submitted prior to recommending approval. |
| 80 – 89.9% | Proceed to approval stage with third party assessment required every 2 years – may require an improvement plan prior to submitting for approval. |
| 90 – 100% | Proceed to approval stage with third party assessment required every 3 years |

When a Contractor scores between 70% - 95% **an improvement** plan **addressing areas of non-conformance may** be requested by the **HSEQ Systems Specialist**. A review of the improvement plan will be conducted, when **satisfied with this assessment and improvement initiatives proposed, the HSEQ Systems Specialist will make a recommendation to the Environment Manager for approval. The Environment Manager will decide on approval of the Contractor and issue a QAL Contractor HSECQ Management System Assessment Certificate (refer Attachment 7.3).**

On approval, the **HSEQ Systems Specialist** shall update the SAP Vendor Master with the approved status and attach a copy of the Certificate, Audit Report and Improvement Plan (if applicable) to the SAP record.

6.6 Awarding of New Contracts

The Sourcing Officer will view the list of approved Contractors via the SAP Vendor Master prior to creating a contract and/or purchase order for any new contract.

6.7 Maintenance and Renewal of Certification

The certification remains valid for the period outlined in 6.5. Written advice from the **HSEQ Systems Specialist** shall be sent to the Contractor two months before their qualification expires. If the **Contractors new** third party assessment audit is not received within three months of the due date, the Contractor's access cards will be disabled.

A Contractor may be removed from site as a result of a HSECQ non-conformance or as a result of a disciplinary offence (or any other matter that QAL deems appropriate). The **Environment** Manager may direct the Contractor to complete another third party assessment to ensure they meet QAL standards to re-enter the refinery and provide a service.

6.8 Records

The **HSEQ Systems Specialist** will update the SAP Vendor Master and report on the Contractor approval currency. The Sourcing Officer will maintain the SAP Agreement Register with these records. The Contractor shall maintain the original QAL Contractor HSECQ Management System Assessment Certificate. All records shall be kept for seven years.

7.0 ATTACHMENTS

- 7.1 Contractor HSECQ Management System Assessment Sheet
- 7.2 List of approved third party auditors
- 7.3 QAL Contractor HSECQ Management System Assessment Certificate
- 7.4 Contractor Third Party Assessment Process Map

{Option to Insert
Auditor Logo Here}

CONTRACTOR COMPLIANCE CHECK OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

| | |
|----------------------|--|
| Company: | |
| Date/Time: | |
| Persons Interviewed: | |
| Address: | |
| Personnel: | |
| Industry: | |
| Services Provided: | |
| Facilities: | |
| Equipment: | |
| Vehicles: | |
| | |
| | |
| | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

1. Insurance and Liability

| Reference | S | Requirement/Attribute | Observation | AS | T |
|------------------|----------|---|-------------|----|---|
| Approval Meeting | 2 | Workers Compensation Insurance coverage & currency expiry? | | | |
| | 2 | Public or Personal Liability insurances coverage & currency expiry? | | | |
| | 1 | Vehicle and equipment insurances coverage & currency expiry? | | | |
| | 1 | Professional Indemnity insurance coverage & currency expiry? | | | |
| TOTAL | 6 | ACTUAL SCORE | | | |

2. Occupational Health & Safety Policy

| Reference | S | Requirement/Attribute | Observation | AS | T |
|---------------------------------------|----------|--|-------------|----|---|
| Occupational Health and Safety Policy | 1 | Does the Company have a Safety Policy signed by the CEO? Dated? | | | |
| | 1 | Is the Policy displayed in a prominent place where employees and visitors can read it? | | | |
| | 2 | Are employees familiar with the contents of the Safety Policy? How? | | | |
| | 2 | Are adequate resources provided for safety matters? What? | | | |
| | 1 | Does the Company have a Drug & Alcohol Policy? | | | |
| TOTAL | 7 | ACTUAL SCORE | | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

3. Occupational Health, Safety & Environment Management System

| Reference | S | Requirement/Attribute | Observation | AS | T |
|--------------------|-----------|--|---------------------|----|---|
| Approval Meetings | 2 | Has the organisation developed a system? Reviewed? | | | |
| | 2 | Has the system been certified? To what Standard? Date completed? | | | |
| | 1 | Is the system/Plan available to employees if required? | | | |
| | 2 | Does the system include responsibility statements for all personnel? Signed off? | | | |
| | 1 | Does the system state who the overall responsibility rests for Health, Safety & Environment? | | | |
| | 1 | Does the Company Senior Officer sign off the responsibility Statements? | | | |
| | 1 | Are Managers, Supervisors, Employees and Sub Contractors aware of their responsibilities? How | | | |
| | 1 | Are HSE Objectives established? Documented? | | | |
| | 1 | How are the objectives/targets used to measure performance? Documented & reviewed? | | | |
| Legal Requirements | 4 | Has the Company a system for tracking legal requirements? Current? | | | |
| | 1 | Has the Company a process for developing work procedures that conform to legal requirements? | | | |
| TOTAL | 17 | | ACTUAL SCORE | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

4. Quality Management

| Reference | S | Requirement/Attribute | Observation | AS | T |
|--------------|----------|--|---------------------|----|---|
| Quality | 2 | Does the Company have a Certified QA System? Standard? Date achieved and expiry? | | | |
| | 2 | Or, are there plans to have the system certified? | | | |
| | 2 | What systems/process are in place? | | | |
| TOTAL | 6 | | ACTUAL SCORE | | |

5. Environment

| Reference | S | Requirement/Attribute | Observation | AS | T |
|--------------|-----------|--|---------------------|----|---|
| Environment | 1 | Does the Company have an Environment Policy signed by the CEO? Dated? | | | |
| | 1 | Is the Policy displayed in a prominent place where employees and visitors can read it? | | | |
| | 1 | Does the Company have a recycling Policy? Dated? | | | |
| | 2 | Are employees familiar with the contents of the Environment Policy? How? | | | |
| | 2 | What Waste disposal systems are utilised? Documented within policy/procedures? | | | |
| | 2 | Are adequate resources provided for environment matters? What? | | | |
| | 2 | Is Training and information sessions provided for environmental procedures and issues? | | | |
| | 2 | What environmental processes do you have in place? | | | |
| TOTAL | 13 | | ACTUAL SCORE | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

6. Risk Management

| Reference | S | Requirement/Attribute | Observation | AS | T |
|--|-----------|---|---------------------|----|---|
| Pre Start Documented Hazard/Risk Assessment (JSA, JSEA, JHA etc) | 2 | What hazard identification and reporting systems are utilised? | | | |
| | 2 | Are these risks assessed? Tools utilised? | | | |
| | 2 | Is there a procedure in place for use of Prestart documented Hazard/Risk Assessment (JSA, Take 5, JHA etc), including for hazardous tasks? | | | |
| | 2 | Is a Register available and maintained? | | | |
| | 1 | Are employees trained in Risk Assessment completion? | | | |
| | 2 | Are Risk Assessments undertaken and recorded; <ul style="list-style-type: none"> • To assist in writing procedures? • As a refresher for infrequent/hazardous tasks? • To identify potential corrective actions following an incident? | | | |
| | 2 | Are controls identified, implemented and documented? Signed off? | | | |
| | 2 | Is there a process that reviews and monitors the controls to ensure effectiveness? When completed? | | | |
| TOTAL | 15 | | ACTUAL SCORE | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

7. Plant Risk Management

| Reference | S | Requirement/Attribute | Observation | AS | T |
|------------------------|-----------|---|---------------------|----|---|
| Plant Obligations | 2 | Is there a documented procedure in place for the Inspection and testing of Plant? | | | |
| | 2 | Are records kept in accordance with the above procedure? Documented and accessible? | | | |
| | 2 | Have assessments been undertaken for each item of plant owned / in use? | | | |
| | 1 | Are the assessments kept on record? | | | |
| | 2 | Are corrective actions taken based on findings of the assessment above? Completed? | | | |
| | 1 | Is plant and equipment withdrawn from service if found not to comply? | | | |
| Registrable Plant | 1 | Have all statutory registrations and notifications been made with records available for validation? | | | |
| | 1 | Are all specified plant maintained as required and records available? | | | |
| Prestart Safety Checks | 1 | Are prestart safety checks undertaken on mobile equipment? Frequency? | | | |
| | 3 | Are records available, which show corrective action requirements? Signed off when completed? | | | |
| TOTAL | 16 | | ACTUAL SCORE | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

8. System Implementation

| Reference | S | Requirement/Attribute | Observation | AS | T |
|---|---|---|-------------|----|---|
| Training and Competencies including 'High Risk Work'. | 1 | Does the Company employ personnel to operate equipment that would require a Competency to Operate (CTO) or undertake High Risk Work and Earth moving/Activities? | | | |
| | 1 | Are records maintained of the training/Competency qualifications of those operating equipment requiring a CTO or undertaking High Risk work' or other activity in a Register? | | | |
| | 2 | Are records maintained of 'High Risk work' competency assessments? | | | |
| Pre-qualification Meetings | 2 | High Risk Work: scaffolding, rigging, crane/equipment operation, pressure equipment operation, System of management utilised? | | | |
| Incident & Reporting | 1 | Does the plan include provision for reporting and recording of incidents, injuries and near misses? | | | |
| | 1 | Is there a form for reporting and recording of injuries that provides for the identification of causal factors? Sign-off upon completion of corrective actions? | | | |
| | 1 | Correct Classifications & definitions as per WH&S procedures? | | | |
| | 2 | Are incidents required to be notified to authorities identified and reported? Have any Improvement, Prohibition notices or fines been issued? | | | |
| Approval Meetings | 2 | Are incident statistics maintained? Current & up to date? What are the statistics/numbers ratio? | | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

8. System Implementation Cont.

| Reference | S | Requirement/Attribute | Observation | AS | T |
|--------------------|---|---|-------------|----|---|
| First Aid | 2 | Are injuries and incidents being reported and recorded as required? | | | |
| | 1 | Are incident Statistics and information tabled at Safety Committee Meetings for discussion/action? | | | |
| | 1 | Does the Company have a Rehabilitation policy/procedure? | | | |
| | 1 | Are there first aid facilities provided? Are they audited for stock control & currency? | | | |
| | 1 | Are adequate numbers of employees trained in First Aid? Documented in the training register/matrix? | | | |
| | 2 | Are employees made aware of the facilities location and the responsible First Aid person when they commence employment? Ongoing? | | | |
| Emergency Response | 2 | Does the Company have an Emergency Response Plan and relevant procedures which consider the types of emergency scenarios that may arise and how the emergency will be communicated? | | | |
| | 1 | Are evacuation plans displayed with accurate routes for exit? | | | |
| | 2 | Are employees made aware of their responsibilities in an emergency situation? | | | |
| | 1 | Have responsible people identified in the plan received adequate training? Fire Extinguisher use etc.? | | | |
| | 1 | Has an emergency response been drilled in the last 12 months? Regularly drilled annually? | | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

8. System Implementation Cont.

| Reference | S | Requirement/Attribute | Observation | AS | T |
|------------|---|---|-------------|----|---|
| Inductions | 1 | Is the emergency response equipment appropriately maintained and tested? Register/triggers for maintenance? | | | |
| | 2 | Have all employees been given a General/Company Induction which includes familiarisation with the HSEMP as well as any Site specific safety issues with regard to any project etc.? | | | |
| | 1 | How often are General/Company inductions completed? What would trigger re-induction? | | | |
| | 2 | Are employees assessed on their understanding of the information presented at Inductions? | | | |
| | 2 | Are records maintained of persons inducted and their success in the assessment process? | | | |
| PPE | 2 | Has the workplace been assessed to identify specific hazards that must be controlled through the use of PPE? | | | |
| | 2 | Have employees been trained in the fit, use, maintenance, limitations and replacement of the PPE and are records available? | | | |
| | 2 | Is appropriate signage in place conforming to appropriate standards? | | | |
| Amenities | 2 | Has the requirement for amenities been assessed and recorded? | | | |
| | 1 | Are there adequate amenities/facilities provided in accordance with the assessments findings? | | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

8. System Implementation Cont.

| Reference | S | Requirement/Attribute | Observation | AS | T |
|---------------------------|---|--|-------------|----|---|
| Consultative Arrangements | 2 | Is there a HSE Committee in operation and is it made of member's representative of the workplace? | | | |
| | 2 | Are minutes to the meetings produced and circulated? Regular, documented & filed? | | | |
| | 2 | Are procedures in place for regular consultation with HSE Representatives? | | | |
| | 1 | Are Toolbox/Safety/Pre-Start Meetings held on a regular basis? Documented? | | | |
| | 1 | Do employees sign-off to verify attendance at Meetings? | | | |
| | 1 | Are Toolbox/Safety/Prestart Meetings held to discuss important issues such as use of Tag & Lockout in accordance with Clients procedures? Schedule of safety topics & requirements to be discussed? | | | |
| Approval Meetings | 2 | What interaction/support is provided to the Community? (Events, sponsorship, participation etc.) | | | |
| | 2 | Has the Company received any complaints from the community? (Process, responsibility, presentation, action, incident etc.) | | | |
| Electrical Safety | 1 | Are Electrical Safety Procedures in place, which include testing and maintenance requirements? | | | |
| | 1 | Is Electrical Safety discussed, raised at Toolbox or Safety meetings? | | | |
| | 1 | Is the workplace protected with Residual Current Devices, and are they appropriately maintained? | | | |
| | 2 | Are records maintained of electrical testing? Up to date? | | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

8. System Implementation Cont.

| Reference | S | Requirement/Attribute | Observation | AS | T |
|----------------------|---|---|-------------|----|---|
| Safety Tag & Lockout | 2 | Are there Safety Tag & Lockout Procedures in place in which all employees are trained? | | | |
| | 2 | Has a Toolbox/Safety Meeting been held to train employees in the Safety Tag & Lockout procedures? | | | |
| Hazardous Materials | 1 | Is there a Register of hazardous materials in place? Current? | | | |
| | 2 | Do employees know where to obtain information regarding substances in use? | | | |
| | 2 | Are Material Safety Data Sheets available for all substances in use at the Workplace? Current? | | | |
| | 2 | Have assessments been undertaken for all substances used on site to ensure that they are stored and used in accordance with requirements? | | | |
| | 2 | Where appropriate are the required health surveillance procedures implemented? | | | |
| Inspections | 3 | Is there a system of workplace inspections in place? For site/workshop, administration & workplace? | | | |
| | 3 | Are records available, which show corrective action requirements? Signed off when completed? | | | |
| | 5 | <i>Physical Inspection</i> Does the Workplace project a best practice image? | | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

8. System Implementation Cont.

| Reference | S | Requirement/Attribute | Observation | AS | T |
|----------------------|------------|---|---------------------|----|---|
| Noise | 1 | Is there a hearing conservation policy in place? | | | |
| | 1 | Has there been any noise surveys undertaken which are recorded? Recommendations or corrective actions required? Signage used where necessary? | | | |
| | 1 | Is training or information presented regarding noise/hearing loss at Toolbox or Safety Meetings? | | | |
| Confined Space Entry | 5 | Is there a Confined Space Entry Procedure in place and used, which complies with AS2865? | | | |
| Permit to Work | 1 | Have areas/activities been identified that require Work Permits to be issued? | | | |
| | 2 | Has this requirement been explained to employees and have employees been trained in the practice of Work Permits? | | | |
| | 2 | Is there evidence that the Work Permit Procedure has been implemented as per requirements of the procedure? Including signing off, issue, records etc.? | | | |
| Manual Tasks | 2 | Have Manual tasks been assessed to identify any high-risk activities? | | | |
| | 1 | Have corrective actions been undertaken in a timely manner? | | | |
| | 1 | Have employees been trained in the correct lifting methods and manual tasks? | | | |
| TOTAL | 104 | | ACTUAL SCORE | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

9. Subcontractor Management

| Reference | S | Requirement/Attribute | Observation | AS | T |
|-------------------|----------|--|---------------------|----|---|
| Approval Meetings | 2 | Does the Company utilise Sub contractors? Types, frequency etc. | | | |
| | 2 | Is there a procedure for undertaking works with Sub contractors? Does this include insurance and liability confirmation? | | | |
| | 2 | Are Sub contractors required to adhere to your Company HSEMP, policy and procedures? If not, how do you assess their systems and compliance? | | | |
| | 2 | Do Sub contractor personnel attend your toolbox/safety/Pre-Start meetings? Communications? | | | |
| TOTAL | 8 | | ACTUAL SCORE | | |

10. Management Review

| Reference | S | Requirement/Attribute | Observation | AS | T |
|-------------------|----------|---|---------------------|----|---|
| Management Review | 2 | Is there a process in place to review the HSE System on an annual basis? Has a review been undertaken and recorded? When? | | | |
| TOTAL | 2 | | ACTUAL SCORE | | |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

11.DIFR (Disabling Injury Frequency Rate)

| Reference | S | Requirement/Attribute | Observation | AS | T |
|--------------|----------|--|---------------------|----|---|
| DIFR | N/A | What is the DIFR of the Company? (Use below calculation) If DIFR >15 is due to the number of employees being small what was the last injury incurred, how long ago, were the root causes identified and actions implemented successful. | | | |
| TOTAL | 2 | | ACTUAL SCORE | | |

For example; Disabling Injury Frequency Rate (D.I.F.R) is worked out using:

- $$\frac{\text{(Number of disabling injuries x 200,000)}}{\text{Total number of hours worked}}$$
- e.g.
$$\frac{(2 \times 200,000)}{259,876}$$
- = DIFR of 1.539

| Total Number of Employees | Period to calculate DIFR |
|---------------------------|--------------------------|
| > 500 | 12 months/1 year |
| 250 – 499 | 24 months/ 2 years |
| 100 – 249 | 36 months/3 years |
| < 100 | 72 months/6 years |

CONTRACTOR COMPLIANCE CHECK

OCCUPATIONAL HEALTH, SAFETY & ENVIRONMENT MANAGEMENT SYSTEM

OVERALL TOTAL COMPLIANCE

| SUB SECTION | TOTAL POSSIBLE SCORE | % TOTAL COMPLIANCE | ACTUAL SCORE | ACTUAL COMPLIANCE |
|------------------------------|----------------------|--------------------|--------------|-------------------|
| 1. Insurance & Liability | 6 | 3.0% | | |
| 2. Occupational H&S Policy | 7 | 3.6% | | |
| 3. HSE System | 17 | 8.7% | | |
| 4. Quality Management | 6 | 3.0% | | |
| 5. Environment | 13 | 6.6% | | |
| 6. Risk Management | 15 | 7.7% | | |
| 7. Plant Risk Management | 16 | 8.2% | | |
| 8. HSE System Implementation | 104 | 53.1% | | |
| 9. Subcontractor Management | 8 | 4.1% | | |
| 10. Management Review | 2 | 1% | | |
| 11. DIFR | 2 | 1% | | |
| TOTAL | 196 | 100.0% | | |

| OVERALL SCORING OUTCOMES | | |
|--------------------------|---------|---------------------------------|
| < 70% | DIFR >5 | Failed third party assessment |
| 70 to 100% | DIFR <5 | Annual recertification required |

Approved Third Party HSECQ Auditors

Valid for use at QAL, RTA Yarwun & BSL

DRA Safety Specialists
Dave Randall: (07) 55736199
david@drandall.com.au
(Gold Coast)

Australian Risk Management Solutions (AUSRISK)
Peter Kerntke: 0417 959 977
peter@ausrisk.com
(Brisbane)

U-Safe (agent for Mollywell)
Uean Shepherd: 0412 991 778
ueans@bigpond.net.au
(Gladstone)

HSE Management Solutions
Colleen Mercer: 0428 793 072
cmerc@hsems.com.au
(Gladstone)



QUEENSLAND ALUMINA LIMITED

RioTinto Alcan



Contractor HSECQ Management System Assessment Certificate

“APPROVED CONTRACTOR”

This is to certify that

{Contractor Name}

Having provided evidence that they have attained a rating in Health, Safety, Environment, Community and Quality systems and performance acceptable to QAL standards, (Procedure P802.011 Third Party Contractor Assessment) is an Approved Contractor to work at the Queensland Alumina Limited refinery.

Ross Greenhalgh
Environment Manager

Valid from x Jxx 201x to x Jxx 201x.

