



PROCEDURE

Title: **Third Party Contractor Assessment**

Procedure No: P802.011	Issue: 2	Revision: 0	Operative Date: 01/06/2017
Department: Company	Sect./Classification: Company	Author: D Steel	Approver Role: HSE Manager

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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 P801.001 QAL Contract Management System.

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 P801.001.

Government agencies and departments are excluded from this procedure.

3.0 RESPONSIBILITIES

Contract Owner: Responsible for compliance with this procedure.

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HSEQ Systems Specialist: Responsible for assessing contractor health, safety and quality performance and recommend approval to the **HSE** 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.

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

General Manager: Authorises an exemption to the procedure.

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

P802.001 QAL - Contract Management

5.0 DEFINITIONS

HSEQ Health Safety, Environment and Quality
RABQSA Registrar Certified Board Quality Society of Australasia

6.0 ACTIONS

6.1 HSEQ Third Party Assessment Process

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.

6.1.3 New Contractors without ISO 14001, 9001 & AS18001

New category 3.3 (Low Risk) Contractors will complete a HSEQ Self-Assessment check sheet and are required to submit their response to the HSEQ Systems Specialist for review and subsequent approval by the HSE Manager.

Refer ***Att 7.4 HSEQ Contractor Performance Self-Assessment***
Att 7.5 QAL Contractor HSEQ Management System Assessment Certificate "Low risk Contracts"

New category 2, 3.1 and 3.2 (High Risk) 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 ***the HSE Manager***.

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 P801.001. ***To continue to work on site***, 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 ***the HSE Manager***.

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 ***HSEQ*** approved scope of work.

6.3 Scope of the HSEQ 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:

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 **HSE** Manager for approval. The **HSE** Manager will decide on approval of the Contractor and issue a QAL Contractor **HSEQ** Management System Assessment Certificate "High risk Contracts" (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 **prior** to their qualification expiring. If the Contractor's new third party assessment audit is not received within three months of the **expiry** date, the Contractor's access cards will be disabled.

A Contractor may be removed from site as a result of a HSEQ non-conformance or as a result of a disciplinary offence (or any other matter that QAL deems appropriate). The **HSE** 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 HSEQ Management System Assessment Certificate. All records shall be kept for seven years.

7.0 ATTACHMENTS

- 7.1 Contractor HSEQ Management System Assessment Sheet
- 7.2 List of approved third party auditors
- 7.3 Contractor HSECQ Management System Assessment Certificate (*High Risk Contracts*)
- 7.4 Contractor HSEQ Management System Self-Assessment Sheet**
- 7.5 Contractor HSECQ Management System Assessment Certificate (Low Risk Contracts)**

8.0 REVISION HISTORY

Issue	Revision	Revision date	Change Reason
2	0	01/06/17	Review and alignment of documented systems to management practices and expectations.

{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?			
Inspections	2	Where appropriate are the required health surveillance procedures implemented?			
	3	Is there a system of workplace inspections in place? For site/workshop, administration & workface?			
	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 O'Brien (Mercer) : 0428 793 072
colleen@hsems.com.au
(Gladstone)



QUEENSLAND ALUMINA LIMITED

RioTintoAlcan



Contractor HSECQ Management System Assessment Certificate

(High Risk Contracts)

“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 subject to having a valid contract.

Ross Greenhalgh
Health, Safety & Environment Manager

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



HSEQ Contractor Performance (Self-Assessment)

Company Information	
Company Name	
Address	Physical Address: Mailing Address:
Contacts	Name: Position: Email: Phone: Name: Position: Email: Phone:
Owner / Manager Acknowledgement	<p>The below information is a true representation of the Company's HSEQ position at the time of signing. Where shortfalls in the Company's systems have been identified, I as the Company representative, will ensure the stated mitigation actions will be implemented and effectiveness confirmed.</p> <p>Name:</p> <p>Position:</p> <p>Signature:</p> <p style="text-align: right;">Date:</p>

Insurance and Liability

Requirement/Attribute	Policy Number	Expiry Date
Workers Compensation Insurance coverage & currency expiry		
Public or Personal Liability insurances coverage & currency expiry		
Vehicle and equipment insurances coverage & currency expiry		
Professional Indemnity insurance coverage & currency expiry		

Occupational Health & Safety Policy

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when
Does the Company have a Safety Policy signed & dated by the CEO?		
Is the Policy displayed in a prominent place where employees and visitors can read it?		
Are employees familiar with the contents of the Safety Policy?		
Are adequate resources provided for Health & Safety matters?		

Occupational Health, Safety & Environment Management System

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when
Has the organisation developed a system that is periodically reviewed?		
Is the system available to employees if required?		
Does the system include responsibility statements for all personnel?		
Does the system state who the overall responsibility rests for Health, Safety & Environment?		
Are HSE Objectives established & documented in the System / Plan?		
Does the Company have a system for tracking its legal requirements?		

Environment

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when	N/A
Does the Company have an Environment Policy signed & dated by the CEO?			
Is the Policy displayed in a prominent place where employees and visitors can read it?			
Are employees familiar with the contents of the Environment Policy?			
Are adequate resources provided for environment matters?			
Is Training and information sessions provided for environmental procedures and issues?			

Quality

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when
There are systems / processes in place to ensure the quality of work performed?		

Risk Management – Pre-start documented hazard/risk assessment (JSA, JSEA, JHA, etc)

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when
The Company has safe work method statements / procedure in place that are used and reviewed for currency?		
Employee undertake a pre-task hazard assessment prior to commencing work tasks?		
Employees participate in regular tool box discussions that focus attention on health and safety in the work place?		

Training & Competency

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when
Does the Company engage in activities that are classed 'High Risk' or operate equipment that would require a Competency to Operate (CTO)?		<i>{If NO go to next section}</i>
Records of employee training/Competency qualifications are maintained & available?		

Plant Risk Management

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when	N/A
Does the Company own and/or operate Plant?		<i>{If NO go to next section}</i>	
There is a documented procedure in place for the inspection and testing of Plant & these inspection are being performed?			
Risk assessments have been undertaken for each item of plant owned / operated?			
Plant and equipment is withdrawn from service if found to be non-compliant or faulty?			
Does the Company own and or operate Registrable Plant?		<i>{If NO go to next section}</i>	
All statutory registrations & notifications been made with records available for validation?			
All specified plant is maintained as required and records are available?			

Incident Reporting

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when
The Company has a process for reporting and recording injuries that provides for the identification of causal factors & Sign-off upon completion of corrective actions?		
Incident details for the past 12 months: Data provided below is for the period __/__/__ to __/__/__. Number of First Aid cases: _____ Number of Medical treatment cases: _____ Number of Lost Time injuries: _____		
Provide details of any incidents that required WHS authorises to be notified, or any Improvement, Prohibition notices or fines that have been issued in the past 5 years?		

Electrical Safety

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when	N/A
Electrical Safety Procedures in place, which include testing and maintenance requirements?			
Records are maintained of electrical testing & Testing is up-to-date?			

HSE Consultative arrangements

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when	N/A
There is a HSE Committee in operation and is it made of member's representative of the workplace?			
Processes are in place to consult with the workforce on health and safety matters?			

Management of Hazardous Substances

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when	N/A
There is a Register of hazardous materials in place which is current?			
Material Safety Data Sheets available for all substances in use at the Workplace?			
Employees know where to obtain information regarding substances in use?			
Where appropriate, there are the required health surveillance procedures in place & are being implemented?			

Manual Tasks

Requirement/Attribute	Yes	No - Record who will be responsible for rectifying & by when	N/A
Work activities have been assessed for manual task risks & corrective action has been implemented?			
Employees been trained in the correct lifting methods and manual tasks?			

Completed & signed Self-Assessments are to be forwarded to QAL HSEQ Systems Specialist for review and assessment



QUEENSLAND ALUMINA LIMITED

RioTintoAlcan



Contractor HSECQ Management System Assessment Certificate

(Low Risk Contracts)

“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 subject to having a valid contract.

Ross Greenhalgh
Health, Safety & Environment Manager

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

