



# ALTURA LITHIUM OPERATIONS PTY LTD HSE CONTRACTOR REQUIREMENTS MANUAL

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**Altura Lithium Operations Pty Ltd**

ABN 39 093 391 774

PO Box 1386, Subiaco WA 6904

Telephone: +61 8 9488 5100

Facsimile: +61 8 9488 5199

[www.alturamining.com](http://www.alturamining.com)

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## Table of Contents

1.0	Summary .....	5
2.0	Purpose .....	5
3.0	Objective.....	5
4.0	Scope.....	6
5.0	References .....	6
6.0	Definitions and Abbreviations .....	6
7.0	Contractor Requirements .....	9
7.1	Health and Safety Compliance.....	9
7.2	Suspension of Health and Safety Provisions .....	9
7.3	Policy.....	10
7.4	Leadership and Accountability .....	10
7.4.1	Requirements.....	10
7.4.2	Health and Safety Resources .....	10
7.5	Legislative and Other Compliance .....	10
7.6	Hazard Identification, Risk Assessment & Control (HIRAC) .....	11
7.6.1	Hazard Identification Study (HAZID).....	11
7.6.2	Hazard Operability Study (HAZOP) .....	12
7.6.3	Construction Hazard Assessment Implication Review (CHAIR) .....	12
7.6.4	Construction Risk Assessment Workshop (CRAW) .....	12
7.6.5	Risk Register.....	12
7.6.6	Job Hazard Analysis and Safe Work Method Statements (JHA & SWMS).....	12
7.6.7	Take 5 Assessment .....	13
7.6.8	Hazard Report (HAZOB).....	13
7.7	Health, Safety and Environment Objectives and Targets .....	14
7.7.1	Review Meetings.....	14
7.7.2	Health, Safety and Environment Management Performance .....	14
7.7.3	Training, Competency and Awareness.....	14
7.7.4	Work Force Selection and Competency .....	15
7.7.5	Selection of Subcontractors.....	15
7.7.6	Training Needs Analysis .....	15
7.7.7	Inductions.....	15
7.7.8	Licencing, Certifications and Verification of Competency.....	16
7.7.9	Consultation and Communication.....	16
7.7.10	Issue Resolution.....	17
7.7.11	HSE Records and Records Management.....	17
7.7.12	Health, Safety and Environment Management Plan (HSEMP).....	18
7.7.13	HSEMP Requirements .....	18
7.7.14	Update to Contractor HSEMP .....	19
7.7.15	Contractors Compliance - HSEMP .....	19

---

7.8	Plant & Equipment Inspection and Test .....	19
7.8.1	HSE Equipment .....	19
7.8.2	Plant and Equipment .....	20
7.8.3	Lifting Equipment .....	21
7.8.4	Maintenance .....	21
7.8.5	Registration .....	21
7.8.6	Personal Protective Equipment .....	21
7.9	Management of Change and Document Control .....	22
7.10	Emergency Preparedness and Response .....	22
7.11	Emergency Response Plans .....	23
7.11.1	First Aid and Medical Facilities .....	23
7.11.2	Emergency Drills .....	23
7.11.3	Critical Incident Response .....	23
7.11.4	Measurement and Evaluation .....	23
7.11.5	Preplacement Medical Examinations .....	24
7.11.6	Fitness for Work (FFW) .....	24
7.11.7	Health, Hygiene and Surveillance .....	25
7.11.8	Disease .....	25
7.11.9	Injury Management .....	25
7.11.10	Medical Welfare .....	25
7.11.11	Workers Compensation .....	26
7.11.12	Smoking .....	26
7.11.13	Working Hours .....	26
7.12	Incident Reporting, Investigation and Recording .....	26
7.12.1	Incident Reporting .....	26
7.12.2	Incident Investigation .....	26
7.12.3	Incident Recording .....	27
7.12.4	Statutory reportable Events .....	27
7.12.5	Incident Definitions .....	27
7.13	HSE Audit, Inspection, Reporting & Corrective Actions .....	29
7.13.1	Audit & Inspection .....	29
7.13.2	Corrective Actions .....	30
7.13.3	Non-Conformance .....	30
7.13.4	Reporting .....	30
8.0	Sub-Contractor Selection and Management .....	31
8.1	Sub-Contractor`s Health, Safety and Environment Requirements .....	31
8.2	Evidence of Assessment of Sub-Contractors .....	31
9.0	Environment .....	31
9.1	Hazardous Substances .....	31
9.2	Housekeeping .....	32
9.3	Noise .....	32

## 1.0 Summary

Altura is building a leading position in the independent supply of lithium raw materials, with a world class lithium project at Pilgangoora ready to set the platform and be the first new hard rock supplier in 2017. The Altura team has a track record of delivering mining projects with Pilgangoora the most advanced stage, near term producing lithium project; solid offtake partners and a market providing substantial growth opportunities to ensure positive shareholder returns.

## 2.0 Purpose

Altura places the protection of people above all other business considerations. No person should suffer any ill effects arising from work undertaken for Altura.

In support of this objective, Altura recognises its responsibility for maintaining the workplace through the implementation and maintenance of an appropriate HS Management System.

The Altura Health, Safety and Environment Management System (HSEMS) comprises of the:

- Health, Safety and Environment (HSE) Policy;
- Risk Management Policy;
- Code of Conduct Policy;
- HSE Management System Manual;
- HSE Contractor Requirements Manual (*This document*);
- HSE Management System Standards.

The HSEMS is an integral part of the overall management system at Altura. It is designed to complement other systems used within the organisation and provides a systematic management approach to assist in both leading to sustained improvements in HSE performance and meeting legal requirements.

The HSEMS includes safety goals and performance targets, risk assessments, responsibilities and authorities, rules and standards, and monitoring and evaluation processes.

The purpose of this manual is to provide a detailed description of the HSE Standards and to document their application within Altura. The standards provide a framework for the management of HSE related risks, consistent with recognised standards and legislative requirements listed below:

- AS / NZS 4801 Occupational Health & Safety Management System;
- ISO 14001 Environmental Management System;
- Western Australian Mines Safety and Inspection Regulations 1995;
- Western Australian Mines Safety and Inspection Act 1994.

## 3.0 Objective

The HSEMS has been developed to provide an over-arching framework for Health, Safety and Environment. This will assist in the management of risks associated with all activities undertaken by / for Altura. The system provides a structure for creating, developing, managing and reporting Health, Safety and Environment issues on a continuous improvement basis.

The Health, Safety and Environment Contractor Requirements Manual is to ensure that:

- The HSE requirements of Altura are detailed to all contractors;
- This manual is for use by contractors who will use/develop their own contract specific HSE Management System documents that comply with the Altura HSEMS;
- Document and communicate the framework of the HSEMS;
- Demonstrate Altura`s commitment to Health, Safety and Environment;
- Incorporate Australian Standard 4801:2001 Occupational Health and Safety Management Systems;
- Demonstrate compliance with the applicable legislation.

#### 4.0 Scope

This HSEMS Manual is applicable to all activities conducted by personnel working for or at the direction of the Altura, including contractors and (where applicable) joint venture partners.

#### 5.0 References

AJM-GOV-POL-001	Health, Safety & Environment Policy.
AS/NZS 31000:2009	Risk Management – Principles & Guidelines.
HB 205-2004	OHS Risk Management Handbook, Standards Australia.
AS / NZS 4801	OHS Management Systems.
Western Australia	Mines Health and Safety Regulations 1995.
Western Australia	Mines Health and Safety Act 1994.
Western Australia	Occupational Safety and Health Regulations 1996.
Western Australia	Occupational Safety and Health Act 1984.
Western Australia	Environmental Protection Act 1986 and associated Regulations 1987.
Australia	Environment Protection Biodiversity and Conservation Act 1999 and associated Regulations 2000.
Western Australia	Wildlife Conservation Act 1950 and Regulations 1970.

#### 6.0 Definitions and Abbreviations

ALARP	As Low As Reasonably Practicable.
Altura	Altura Lithium Operations Pty Ltd.
AS	Australian Standard.
AS/NZS	Australian and New Zealand Standard.
Audit	A systematic examination against defined criteria to determine whether activities and related results conform to planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve the organisation's policy and objectives.
CHAIR	Construction Hazard Assessment Implication Review.
Company	Altura Lithium Operations Pty Ltd, or Altura Lithium Operations Pty Ltd's appointed representative.
Contractor	The entity that have a contract with the company.
CRAW	Construction Risk Assessment Workshop.
EAP	Employee Assistance Program.

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Employee	Person engaged by Altura Lithium Operations Pty Ltd, including contractors and sub-contractors, by who work is carried out under a contract of employment or apprenticeship.
EWP	Elevated Work Platform.
ERMP	Emergency Response Management Plan.
FAI	First Aid Injury.
FFW	Fitness for Work.
Hazard	A source or a situation with a potential for harm in terms of human injury or ill-health, damage to property/equipment, damage to the environment, or a combination of these.
Hazardous Materials	Material or materials which because of its quantity, concentration or physical, chemical or infectious characteristics (in particular toxicity, reactivity, corrosiveness or ignitability) may pose a substantial present or potential hazard to human health or the environment when improperly treated, stored, transported, disposed of or otherwise managed.
HAZID	Hazard Identification Study.
HAZOP	Hazard & Operability Study.
HIRAC	Hazard Identification, Risk Assessment & Control, including any or all of the following processes: CHAIR, CRAW, HAZID, HAZOP, JHA / SWMS, Take 5.
HS	Health and Safety.
HSE	Health, Safety and Environment.
HSEMP	Health, Safety and Environment Management Plan.
HSEMS	Health, Safety and Environment Management System.
Incident	All accidents, injuries, near-misses and other events which Altura Mining HSEMS seeks to prevent (collectively referred to as 'incidents').
JHA	Job Hazard Analysis – a process used to develop a Safe Work Method Statement.
Reasonably Practicable	The practicability of a control measure taking into account: <ul style="list-style-type: none"><li>• The severity of any injury or harm to health that may occur; if the control measure is not implemented;</li><li>• The degree of risk (or likelihood) of that injury or harm occurring; if the control measure is not implemented;</li><li>• The current state of knowledge about the risk of injury or harm, and the ways of reducing, eliminating or controlling the risk; and</li><li>• The availability, suitability and cost of the safeguards.</li></ul>

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Site	Any area associated with Altura to which the Contractor will have access and upon which the Contractor will perform work.
SWMS	Safe Work Method Statement.
Works	The scope as defined in the general conditions of each contract.
Workplace	A place, whether or not in a vehicle, building or other structure where employees work.
SWMS	Safe Work Method Statement.



## 7.0 Contractor Requirements

### 7.1 Health and Safety Compliance

The contractor shall comply with all Altura HSE Management System requirements, state and commonwealth laws and regulations, approvals, licences and permits which are applicable to the works.

Legislative and other requirements applicable to the project must be identified as part of the initial HAZID, and documented within the contractor Health, Safety and Environment Management Plans.

The contractor shall conduct its activities in a manner consistent with their own company approved management systems.

The contractor must keep accurate, current and legible evidence to prove compliance with these contract provisions. The contractor must at the request of the company produce documentary and other evidence to prove compliance with these requirements.

The contractor warrants that it understands all HSE requirements applicable to the works in Western Australia and the Commonwealth of Australia. The contractor shall comply with these requirements in full. The contractor also warrants it will ensure its employees, agents, visitors and subcontractors have an understanding of the relevant HSE requirements of the State of Western Australia and Commonwealth of Australia and instruct those parties under their supervision that they shall comply with these requirements in full. Should the statutory requirements be of a different standard or quality than those stipulated by the contractor's own standards, protocols, guidelines and other company documents then the more stringent requirement shall apply.

### 7.2 Suspension of Health and Safety Provisions

Altura Lithium Operations Pty Ltd and Contractor agree that these HSE contract provisions are of the utmost importance, and any significant or sustained breach or violation thereof shall be considered to be a material and substantial breach of the contract.

The contractor shall ensure that the contractor's employees comply fully with the requirements of the contract conditions. The contractor further agrees that in the event that any of the contractor's employees breach or breaches any conditions of the contract relating to Health Safety and Environment it shall immediately notify Altura Lithium Operations Pty Ltd. Such breach or breaches shall be remedied promptly and as agreed with Altura Lithium Operations Pty Ltd, steps shall be taken to avoid reoccurrence and any person or persons responsible for the breach or breaches shall be removed from the site if requested by Altura Lithium Operations Pty Ltd. If the contractor fails to take the necessary steps to rectify a breach promptly or to otherwise not to comply with these HSE conditions, Altura Lithium Operations Pty Ltd may exercise its rights to terminate the contract in accordance with the default provisions as per the contract conditions.

Should Altura Lithium Operations Pty Ltd observe an act which violates any of the HSE conditions (including but not limited to any unsafe act or deliberate unauthorised harm to any persons, or becomes aware of a planned act, or any other act that might violate any of the HSE conditions, Altura Lithium Operations Pty Ltd may direct the contractor or contractor's employees to cease, or not to proceed with such act. The contractor shall, at the contractor's own cost and risk, promptly modify the contractor's and/or contractor's employees' method of work so that the work is carried out in accordance with these HSE conditions.

Altura Lithium Operations Pty Ltd may direct the contractor to remove from the site, or from any activity connected with the works, within such time as the Altura Lithium Operations Pty Ltd directs, any of contractor's employees who, in the opinion of Altura Lithium Operations Pty Ltd, has engaged, or is likely to engage, individually, or in concert with any other person, in any conduct which is unsafe or likely to cause an incident. The costs associated with the removal and subsequent appointment of a replacement person shall be borne by the contractor.

### **7.3 Policy**

The contractor shall have HSE policies that establish the overall direction for the contractor for HSE and provides tangible evidence of management's commitment to the achievement of its aims. The policy is authorised by the most senior manager, and is applicable to the contractor's operations, including those of its subsidiary contractors.

### **7.4 Leadership and Accountability**

Contractors shall demonstrate accountability and responsibility for the effective management of the Altura HSE Management System. All employees shall be involved in and comply with the HSE Management System and requirements.

#### **7.4.1 Requirements**

- All employees shall have a detailed position description;
- All position descriptions shall include defined HSE responsibilities, authorities and reporting lines;
- The contractor represents and warrants that its managers and supervisors are responsible, and will be advised in writing that they are responsible for ensuring that all work is performed in accordance with the contract;
- The contractor shall, at Altura's request, provide the company with organisation charts, specifying the areas of Health, Safety and Environment responsibility for each supervisor;
- Annual planning and performance reviews shall include agreed and specific HSE activity and measurement as part of the performance appraisal process;
- Contractor managers are responsible for ensuring effective HSE management, monitoring performance and providing appropriate HSE assurances in their area of responsibility;
- All employees are responsible for their own health and safety and not to adversely impact the environment, shall follow safe work procedures and have a duty to cease work should exposure to HSE risks be unacceptable.

#### **7.4.2 Health and Safety Resources**

The contractor shall nominate one or more (as agreed with Altura) of the contractor's personnel as the site contractor Health, Safety and Environment Professional(s) who shall be responsible for attention to HSE matters at all levels. The HSE Professional shall have a direct reporting line to contractor's Project Manager and the Contractor's Corporate HSE Manager.

All HSE professionals will be suitably qualified for the position. The number of HSE professionals will be assessed during the initial HAZID work shop by the contractor.

These requirements need take into consideration work rosters, therefore additional HSE professionals will be required to ensure adequate contract coverage.

Additional site HSE resources maybe required (e.g.: Site HSE manager, HSE trainer, HSE administrator, training administrator) shall be determined on a case by case basis and shall be subject to any company, contractor performance or other requirement.

### **7.5 Legislative and Other Compliance**

Contractors shall comply with applicable legislation and company requirements related to HSE and ensure that all employees have access to applicable legislation, the contractor shall maintain a master register of Acts, Regulations, Codes of Practice, Guidance Notes, and Australian, National & other Standards appropriate to the contractors works, and shall ensure that such information is kept up to date and communicated to employees as required.

Legislative and other requirements applicable to each specific contractor must be identified as part of the initial HAZID, and documented within the HSEMP's.

## 7.6 Hazard Identification, Risk Assessment & Control (HIRAC)

In accordance with HSE policies all contractors are required to “Implement action plans and risk assessments which establish, monitor and maintain a safe workplace.”

The contractor shall have a documented process for hazard identification, risk assessment and control, which draw upon its experience such as engineering, procurement, construction, mine management and maintenance.

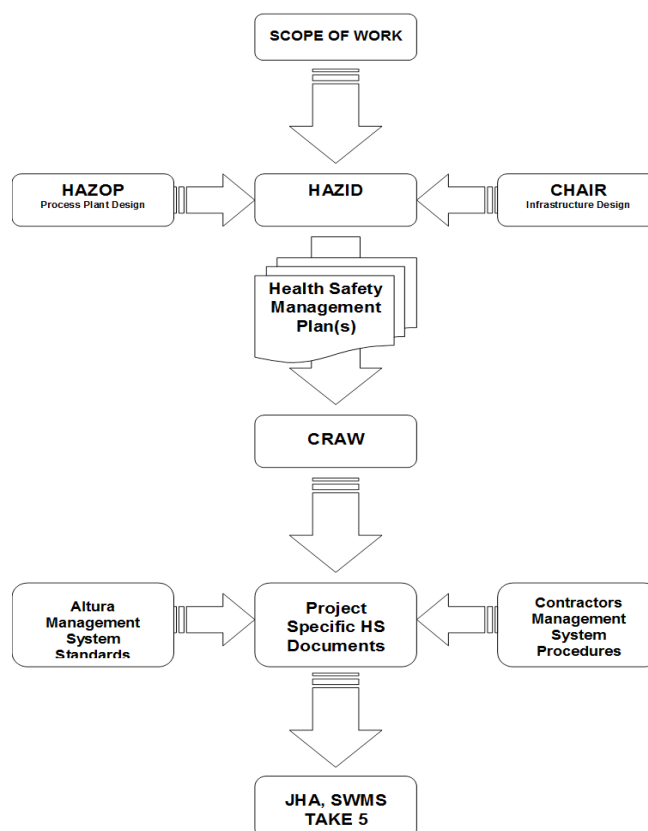
All contractors are required to complete a HAZID study prior to commencement in order to identify significant hazards and develop appropriate controls. The HAZID process is high level and wide ranging, and shall inform and feed into the development of the Site HSE management Plans.

Where work involves the design of either process plant & equipment or infrastructure, a Hazard & Operability Study (HAZOP) or Construction Hazard Assessment Implication Review (CHAIR) shall also be required.

Once mobilised to site and prior to the commencement of new phases of construction, a Construction Risk Assessment Workshop (CRAW) shall be conducted on site with those employees directly involved in the work, to review and as necessary refine, the original HAZID.

Contractors shall monitor and control all actions arising from the Hazard Identification, Risk Assessment and Control process through the use of a Corrective Actions Register(s).

The following diagram outlines the sequence of HIRAC activities required.



### 7.6.1 Hazard Identification Study (HAZID)

All contractor works shall be subject to a preliminary Hazard Identification Study (HAZID) at tender.

The purpose of the HAZID is to identify overarching hazards applicable to the works, assess the level risk associated with those hazards, and identify appropriate control measures based upon the level of risk.

Should the tender proceed to contract execution, the preliminary HAZID shall be refined, based upon the agreed and contracted scope of work.

The Contractor shall not commence any work prior to receipt of written approval from Altura.

#### **7.6.2 Hazard Operability Study (HAZOP)**

Where the contractor works involves the design of process plant and equipment, a Hazard & Operability Study shall be performed to identify operational & maintenance hazards.

Outcomes from the HAZOP shall be utilised as necessary to refine the design such that risks are reduced to ALARP.

The Contractor shall not commence any work prior to receipt of written approval from Altura.

#### **7.6.3 Construction Hazard Assessment Implication Review (CHAIR)**

Where the contractor works involves the design of buildings or similar infrastructure, a Construction Hazard Assessment Implication Review (CHAIR) shall be performed to identify constructability and occupancy hazards.

Hazards associated with construction, occupancy, repair, cleaning, maintenance or demolition shall be identified and to the extent possible, eliminated or mitigated at the design stage.

Constructability hazards which cannot be eliminated at the design stage shall be reflected and treated as part of the HAZID / CRAW process.

The Contractor shall not commence any work prior to receipt of written approval from Altura.

#### **7.6.4 Construction Risk Assessment Workshop (CRAW)**

Upon mobilisation to site the contractor teams shall review the HAZID against actual site conditions during a Construction Risk Assessment Workshop.

The purpose of the CRAW is twofold:

1. To confirm the applicability of the HAZID based upon actual site conditions;
2. To involve the workforce in reviewing the known hazards and their controls, and seek such further input as may be appropriate.

The Contractor shall not commence any work prior to receipt of written approval from Altura.

#### **7.6.5 Risk Register**

The contractor shall have in place, maintain and regularly update a work scope specific risk register. The register shall include risks that have been identified through any change management process. HIRAC process, incident investigations, procedure reviews or additions and HSE alerts generated from other alerts of mining businesses which are relevant to the contractor's operations.

The contractor shall review their risk register on a monthly basis and provide Altura with a summary of updates on a monthly basis.

#### **7.6.6 Job Hazard Analysis and Safe Work Method Statements (JHA & SWMS)**

The requirement to undertake a JHA for a particular activity each time it is performed, or when it is performed under particular circumstances shall be documented in shift plans and if applicable in the work instruction for the particular activity:

- A JHA shall be mandatory when a work activity meets one or more of the following criteria;
- There has been a history of incidents while performing similar work activities;
- Unusual hazards are present;

- There is a known, perceived or questionable degree of complexity in the task;
- There is a perceived or questionable degree of complexity in the task;
- A variable, unpredictable or potentially hazardous work environment exists;
- New or inexperienced personnel are included in the work team;
- The work activity has the potential to impact others;
- The task has not been undertaken previously;
- No safe work method statement exists;
- There is a legal requirement to do so;
- New equipment has been introduced to site.

All employees who are involved in the task (work group) shall participate in the development of a JHA and sign to acknowledge their input and understanding of the JHA content prior to commencement of the task.

The use of generic or old JHA's at face value is not permitted. An old JHA may be used as a tool of reference and as a guide for the development of a new JHA which shall consider any hazards that may have evolved since the task was last performed.

Prior to the commencement of works, JHA's shall be approved for use by the relevant contractor accountable supervisor or manager.

Active JHA's shall remain on the job for the duration of the job and periodically reviewed by the accountable supervisor or manager for any changes to the task, personnel or work conditions.

Completed JHA's shall be stored in a suitable register to assist in the development of safe work method statements and for auditing purposes.

#### **7.6.7 Take 5 Assessment**

The Take 5 process is an informal risk management process that shall be used to ensure individuals pause and complete a brief final review and assessment of the activity they are about to perform. The Take 5 process is intended to identify any HSE hazards present at the time and location where the work is to be performed, which were not identified and controlled through the planning process and/or JHA for that activity.

Hazards and risk controls identified as part of the Take 5 process should be documented on the Take 5 and remain on the job for the duration of the job.

Where an individual is unable to resolve an identified hazard as part of the Take 5 process, they must escalate the hazard to their Supervisor for resolution. In such circumstances a JHA may need to be developed.

Contractor employees shall be trained on how to undertake the Take 5 process effectively. Contractors who have a process similar to Altura's Take 5 model may use their process with approval from Altura.

If any HSE control required by the contractor documentation or JHA/SWMS applicable to the work activity is not in place, work may not commence until the control is implemented.

#### **7.6.8 Hazard Report (HAZOB)**

All workplace employees shall participate in hazard identification, assessment and remediation measures:

- Worksite hazards shall be documented and reported to supervisors using a defined auditable process;
- Where practicable hazards shall be addressed as soon as they are identified;

- Hazards shall be assessed and action taken to mitigate potential risks to a level as low as reasonably practicable. Corrective and preventative actions shall be tracked to completion;
- Site or contractor specific hazard registers shall be established to facilitate a systematic review of workplace hazards and their associated corrective and preventative actions;
- Contractor employees shall be trained on how to undertake the HAZOB process effectively. Contractors who have a process similar to Altura`s HAZOB model may use their process with approval from Altura.

## **7.7 Health, Safety and Environment Objectives and Targets**

### **7.7.1 Review Meetings**

Regular HSE review meetings shall be scheduled by Altura with the Contractor to review HSE performance.

The Contractor shall establish detailed objectives and measurable targets.

In developing objectives and establishing targets, the Contractor shall be guided by previous performance, the necessity of implementing Contractors HSE policy, and the requirements of Altura`s HSE management system.

The Contractor shall meet and decide upon the objectives and targets and shall ensure that they are approved by Altura.

The contractor shall ensure that all employees have an understanding of what the objectives and targets are.

Objectives, targets and performance shall be documented by the Contractor. HSE objectives and targets shall provide the following level of detail:

- Objective: The desired outcome;
- Target: Description of the metric which will signify achievement of the outcome;
- Standard: The standard to be achieved in order to be measured;
- KPI: The quantitative metric.

Objectives, targets and performance standards shall be established for all contracts, and documented within the contractor HSE management plans.

### **7.7.2 Health, Safety and Environment Management Performance**

The Contractor shall submit the following to the Company:

- A monthly report of its Health, Safety and Environment Performance together with:
  - injury / incident or near miss statistics;
  - man hours.
- All data required to be collected as a condition of approval that relates to the Contract.

Reports will be submitted within five days of the end of each calendar month. The report format will be supplied by the Altura.

### **7.7.3 Training, Competency and Awareness**

Before commencement of any work under the contract, the Contractor shall ensure that the Contractor`s employees have been given the necessary HSE training including training in hazard identification, risk analysis and safe working behaviour.

The HSE training shall include an explanation of the nature of the part of the works they will be performing, and an on the job risk assessment and description of the hazards, which may be encountered during the performance of the particular tasks.



During such training, the contractor shall emphasise the fact that each person has an obligation to stop an act or task if it is unsafe.

The Contractor employees shall receive a copy of any HSE training manuals or handbooks relevant to their jobs prepared by the Contractor which shall detail HSE codes of conduct, safe working behaviour, personal safety protection, emergency response, firefighting, first aid, incident response and personal health conduct. Incident notification procedures and forms, policies, training manuals, handbooks and other relevant literature shall also be published in all relevant languages for employees working at the site.

The contractor shall, if requested, provide Altura with evidence of training completion, ongoing training programs and shall provide Altura if requested with all revisions to such programs during the period of the contract.

The contractor shall ensure that any person employed in a supervisor capacity for their works under that contract have undertaken an appropriate accredited "Supervisor Health, Safety, Environmental Training Course" prior to the individual mobilising to the Company site. This training shall include section 44 training. Copies of certificates shall be held onsite for verification/audit purposes.

#### **7.7.4 Work Force Selection and Competency**

The Contractor shall ensure all employees are appropriately qualified, skilled, competent and experienced to carry out the duties required of them as required under these contract requirements. Copies of licences / certificates / competencies shall be held onsite for verification / audit purposes.

#### **7.7.5 Selection of Subcontractors**

Prior to awarding any subcontract, the Contractor must assess a Subcontractor's ability to comply with Altura's HSE requirements and, upon request by Altura, provide evidence of such assessment. The Contractor must ensure any Subcontractor agrees to abide by and is able to abide by the Altura HSE requirements.

#### **7.7.6 Training Needs Analysis**

A training and competency requirement for all positions shall be identified within position descriptions maintained by the contractor and based upon an overall training needs analysis for the works.

As a minimum, the training needs analysis and position descriptions include details of required trade qualifications, mandatory (statutory) licences & certifications applicable to the position classification, as well as skills training & education relevant to HSE requirements.

In addition, each contractor is responsible for developing and maintaining:

- A training matrix identifying the specific qualifications, licences, certifications and other training requirements applicable to the works;
- A training plan which identifies how ongoing training is to be provided across the life of the works.

Contractor employee training and competency shall be reviewed as part of the contractor's performance appraisal process.

#### **7.7.7 Inductions**

All Contractor employees shall receive a comprehensive contractor company project induction prior to commencing work.

The induction, presented by the contractor, shall provide overall awareness of:

- Contractor HS Policies;
- Project HSEMP requirements;

- Project objectives and targets;
- Project organisation including key contact personnel;
- Hazard reporting requirements;
- Incident reporting and investigation requirements;
- Site specific hazards and risks;
- Radio communications;
- Emergency response procedures (including cyclone management);
- Permit to work requirements;
- Fitness for work;
- Site traffic management;
- PPE requirements;
- Housekeeping;
- Communication and consultation arrangements;
- Hazardous materials management.

Records shall be maintained onsite to confirm attendance.

#### **7.7.8 Licencing, Certifications and Verification of Competency**

All Contractor employees will be in possession of the licences & certifications identified on their position description or identified as required within the project training matrix, prior to undertaking any work for which that licence or certification is required.

The competency of employees to undertake tasks for which a high risk work licence is required, or for which another defined licence or certificate of competency is available or required, shall be verified in a controlled environment, prior to their being authorised to work. An approved training provider shall perform this verification of competency (VoC) in accordance with defined procedures, utilising approved instruments of assessment.

Records of qualifications, licences, certifications and other training relevant to HSE awareness shall be available on site for verification and auditing purposes.

The Contractor acknowledges that the cost of providing all training and instruction required to perform the work under the contract is included in the price for performing the works.

#### **7.7.9 Consultation and Communication**

Altura requires the Contractor to participate in a kick-off meeting prior to the start of the works to discuss the works and in particular any HSE issues. Altura shall conduct the kick-off meeting for the sole purpose of informing the contractor of specific HSE matters identified by Altura and shall not relieve the Contractor of any of its HSE obligations under their contract or relevant legislation applicable to the works.

The Contractor shall accurately and openly communicate with all employees on matters related to HSE.

The Contractor shall ensure HSE documentation states that:

- Employees are involved in the development, implementation and review of policies and procedures for hazard identification, hazard/risk assessment and control of hazards/risks;
- Employees are consulted where there are any changes related to the management of HSE;
- Employees select those who will represent them on matters pertaining to HSE;



- Employees are informed as to the identity of their HSE representative(s) and specified management representative(s);
- Employees receive appropriate training to undertake effectively their involvement in the development, implementation and review of HSE arrangements;
- Managers shall encourage and facilitate employee involvement in HSE management;
- HSE shall be included as an agenda item at all area/department meetings with all relevant decisions/actions recorded;
- Supervisor responsibilities shall not be delegated to the HSE Advisor or HS Representative;
- Elected Health and Safety Representatives (HSR) shall be consulted on HS matters relevant to their area of responsibility and involved in incident reporting, investigations, audits and the development of improvements to reduce HSE risks.

A range of media and forums shall be utilised to communicate HSE information internally including:

- Inductions;
- Pre-Start Meetings;
- Toolbox Talks;
- HSE Alerts;
- Noticeboards;
- Newsletters;
- HSE Committee Meeting Minutes.

#### **7.7.10 Issue Resolution**

HSE issues or disputes are to be addressed in the first instance with the Supervisor who will consult with site personnel including the elected HS Representative. If no resolution is possible within 2 hours, the matter shall be referred to the Supervisors Manager who can consult with the HSE professionals and other Contractor management specialists for advice. If no resolution can be reached, the matter is to be referred to Altura Registered Manager for resolution.

During this process, all efforts will be made to minimise interruption to work in progress, however the safety of personnel will not be compromised.

All contractors shall include within their HSE documentation a process that outlines issues resolution with a line to Altura. No contractor or its employees shall report any issue to outside parties unless authorised by Altura.

#### **7.7.11 HSE Records and Records Management**

The Contractor shall ensure that HSE records are:

- Collected;
- Indexed;
- Filed;
- Maintained;
- Archived in accordance with defined contractor procedures;
- Retained in accordance with current legislative requirements.

### **7.7.12 Health, Safety and Environment Management Plan (HSEMP)**

The development of HSE Management Plans should be informed by the outcomes of the contractor HAZID, provide detail on how the Contractor HSE management system shall be implemented and integrated into the works, and address the significant hazards and hazard control measures applicable to the works.

The Contractor shall submit the required HSE Management Plans which systematically address compliance with all Altura HSE Management System requirements, legislative requirements, regulations, approvals, licences and permits which are applicable to the works.

The plans shall be submitted to Altura for review and approval. If Altura determines the plans do not address all aspects of the works, compliance with the Altura HSEMS or legislative requirements, regulations, acts, approvals, conditions, licences and permits applicable to the works, the contractor shall amend the plan(s) to ensure compliance.

The plan(s) shall represent an effective risk management process and incorporate a quality feedback system.

The plan(s) shall demonstrate to Altura that the management of HSE will be implemented in a planned, systematic, documented and cost effective manner.

### **7.7.13 HSEMP Requirements**

The Contractor's HSEMP's shall demonstrate the Contractor's commitment to HSE and shall where applicable as a minimum identify:

- HSE policies;
- HSE management system overview;
- Organisation structure;
- Leadership and commitment;
- Responsibilities & accountabilities, allocation of responsibilities and authorities and documented role descriptions (including ensuring all employees, contractors and subcontractors have appropriate qualifications, licences and experience to perform their roles);
- Hazard Identification, Risk Assessment & Control. (including processes to reassess hazards and risks whenever changes occur to plant and equipment, employees or the working environment through the use of HAZID, HAZOP, CHAIR, CRAW, JHA, TAKE 5 risk assessment tools or similar);
- Behavioural based safety program and management;
- Crisis Management; (contractors may require separate management plans)
- Emergency preparedness, response and rescue
- Identification and documentation of all applicable standards, legislation and guidelines to be adopted (including obtaining and maintaining approvals, licences and permits to work);
- Security. Control of access and egress from the Altura site;
- Fitness for work. (mental health, fatigue management, stress, alcohol and narcotics, family and social problems and employee assistance programs (EAP's));
- Health surveillance;
- Training, Competency & Awareness; (including training in safe work behaviour and hazard risk analysis);
- Change Management;
- Consultation & Communication;

- Selection criteria and management of subcontractors;
- Reporting & Investigation; (including causes and preventative and remedial actions) and lists of all employees, man hours, and any non-conformance details;
- Objectives, Targets & Performance; HSE objectives to be attained throughout the duration of the contract;
- Hazard & risk management. Specific procedures, methods and work instructions to be applied;
- Plant & equipment registration, inspection and test;
- Transport of employees, plant, equipment and materials to the Altura site;
- Documentation, data control & information management;
- Workplace audits and inspection program;
- Health and hygiene program and management;
- Injury management; off site management and rehabilitation support and procedures to encourage an early return to work for injured or ill employees;
- Evaluation of Compliance - Audit and inspections schedule;
- Empowerment of all employees to act on and report unsafe practices and situations;
- Details of the interface between Altura and the Contractor in relation HSE;
- Reward & recognition programs.

#### **7.7.14 Update to Contractor HSEMP**

The Contractor shall regularly review its HSEMP's to ensure they are up to date and continue to address all of the matters described in sections 7.7.12 and 7.7.13. The Contractor's personnel shall be trained or briefed on the plans by the Contractor, such that they have a working knowledge of the requirements that relate to their work functions and any obsolete plans or documents are removed from circulation to avoid unintended use. The Contractor shall provide Altura with a copy of the HSE plans each time there is an update for review by Altura. The review schedule shall be outlined within the Contractors HAZID or CRAW and associated risk management documentation.

#### **7.7.15 Contractors Compliance - HSEMP**

The Contractor shall audit on a regular basis its implementation and compliance with the plan(s). The Contractor shall at Altura's request provide documentary evidence that it has complied with the plan(s). Schedule for auditing time frames shall be outlined within the associated documentation.

The Contractor shall be responsible for determining the most cost effective solution in order to comply with the HSE Management Plans where compliance with the plans results in the need for a change in the project delivery plan.

### **7.8 Plant & Equipment Inspection and Test**

#### **7.8.1 HSE Equipment**

HSE equipment consists of key equipment for the prevention, detection, mitigation, recovery and rescue associated with HSE incidents and includes personal protective equipment and other safety equipment as specified in statutory requirements, spill prevention/response equipment and emission monitoring equipment.

The Contractor shall ensure that all HSE equipment is regularly maintained, tested, calibrated, and that it is always in a serviceable condition and that contractor's employees are instructed, trained and, where required, certified in the use of such HSE equipment. Such equipment shall comply with all applicable laws, rules, standards and regulations.

The Contractor shall maintain records necessary to demonstrate compliance with all statutory requirements for calibration of all HSE equipment.

### **7.8.2 Plant and Equipment**

Plant and equipment shall be subject to regular inspection in order to ensure continued safe operation and compliance with requirements throughout their lifetime.

Plant and equipment shall be used in accordance with the manufacturer and supplier's instructions.

A system shall be in place to ensure that new plant or equipment shall be risk assessed to ensure it does not compromise HSE standards or procedures, or introduce unacceptable risk.

Systems shall be in place to ensure the ongoing integrity of plant and equipment that have the potential to affect HSE.

A system shall be in place to ensure that any modifications to plant, equipment or systems are risk assessed, reviewed and approved by the relevant authority or Altura.

The HSE implications resulting from any modification to plant, equipment or process shall be risk assessed by competent person(s) to ensure that the levels of risk are maintained as low as reasonably practicable.

Frequency of scheduled maintenance, inspection, tests and calibration of equipment shall be determined in accordance with manufacturer's and supplier's instructions.

A maintenance plan shall be developed to ensure that routine maintenance activities are performed on plant and equipment in accordance with manufacturer and supplier's instructions.

A method of indicating the inspection and test status of plant and equipment shall be in place to identify conformance or non-conformance to specifications – e.g.: Testing and tagging of electrical equipment.

A system shall be in place to ensure that work requests are produced for items requiring regular preventive maintenance and scheduled inspections.

The system will also provide a mechanism for generating corrective maintenance work requests for plant and equipment faults, including plant and equipment failures and faults that occur prior to scheduled maintenance.

Records of maintenance information shall be kept for each work request.

The contractor shall ensure:

- That all plant and equipment used by Contractor's personnel are suitable for use for the particular task or tasks for which they are to be used, are maintained in operable condition and that users of the plant and equipment are trained, licensed, certified and deemed competent where required;
- That all rotating or moving parts of all plant and equipment are adequately guarded to prevent contact by personnel. Every power-driven machine shall be provided with adequate means, immediately accessible and readily identifiable to the operator, of stopping it quickly. In many instances this shall be by way of an automatic or emergency shutdown fail-safe switch or mechanism;
- That all electrical equipment, generator sets, welding machines, lighting plants and portable electrical distribution boards and must be quarterly inspected, tested and tagged at Contractor's expense in accordance with the applicable regulatory requirements;

- That all mobile plant (MP) and vehicles must be regularly serviced and maintained to the manufacturers and regulatory requirements at Contractor's expense.

### **7.8.3 Lifting Equipment**

- The Contractor shall maintain a written register (hard or soft copy) of all lifting equipment and tackle;
- The Contractor shall provide certification of inspection within the previous twelve months for all lifting equipment used for the work, and shall regularly carry out such tests and inspections as are requested or required by applicable regulatory authorities;
- Safe working load and radius charts shall be available for all lifting equipment and shall be clearly and prominently marked on the equipment;
- Vehicle loading cranes must comply with the relevant AS/NZ and other statutory requirements for protection of the operator;
- Quarterly colour coding of lifting equipment is required to indicate the latest test period.

### **7.8.4 Maintenance**

- All mobile equipment, all other equipment and structures both fixed and temporary on the work-site relating to the works are to be serviced and maintained as per the manufactures and regulatory requirements by the Contractor under a planned documented maintenance system;
- The Contractor shall maintain copies of all test and maintenance certificates relating to all items, and shall make them available to the company upon request.

### **7.8.5 Registration**

Mobile equipment and vehicles shall have the current registration with the appropriate statutory authority including where required Department of Mines and Petroleum;

Plant registration is required for;

- Mobile crane;
- Pressure equipment;
- Boom type elevating work platforms;
- Concrete placing boom pumps;
- Bridge cranes;
- Gantry cranes;
- Hoists – (Scaffold, employees, materials and platform);
- Lifts;
- Tower crane;
- Vehicle Hoist;
- Work box (man cage).

Mobile equipment and vehicles shall have a copy of all current plant registrations, licences available on the equipment when it is delivered to site.

### **7.8.6 Personal Protective Equipment**

Personal protective equipment requirements shall be identified within the HIRAC process to ensure continual improvement occurs during the Contractors works. In addition to this, the Contractor shall ensure:

- At its own expense supply employees and visitors where required, in connection with the safe performance of the works, with fit for purpose personal protective equipment which shall be maintained in good condition or replaced;
- That contractors train their employees in the use of all PPE equipment to ensure the effectiveness of the PPE is maintained during the Contractor's works;
- That all employees and visitors wear personal protective garments and equipment in the appropriate circumstances, even if not actively engaged upon the works;
- When handling chemicals at least one emergency eye wash station and other appropriate washing facilities must be available adjacent to the work areas where the chemical handling is carried out.

## 7.9 Management of Change and Document Control

Planned and unplanned changes shall be evaluated and managed by contractors to ensure that exposure to HSE risks remain as low as reasonably practicable. The changes are to be managed through the contractor HIRAC process to identify, to ensure risk remains at an acceptable level. The below areas are examples of where the management of change shall be required:

- Operational processes;
- Facilities;
- Plant and equipment;
- Relevant legislation, standards or codes.

Changes and modifications shall be authorised and recorded by the Contractor prior to their implementation. Changes and modifications include any temporary changes and modifications.

Review and authorisation of proposed changes or modifications shall be by the relevant Contractor Manager.

Relevant legislative changes shall be identified by the Contractor, reflected in operating practices, and communicated to relevant employees in order to ensure compliance.

The Contractor shall have a system in place to ensure that any changes or revisions made to documents are tracked in order to prevent unauthorised changes.

Any superseded versions shall be removed from all points of use and latest versions of the documents shall be made available to users.

All documents shall be adequately labelled and a system shall be developed to control issue.

## 7.10 Emergency Preparedness and Response

The Contractor shall ensure that:

- All resources shall be available to effectively respond to emergency and critical incidents;
- Capability and resources required shall be identified and provided to effectively respond to emergency events and to manage critical incidents;
- Systems for emergency preparedness and response plans shall be developed and communicated;
- Appropriate emergency response equipment shall be identified, maintained, tested and available;
- Emergency response drills and exercises shall be scheduled and conducted on a regular basis to assess efficiency and identify areas for improvement;
- Lessons from emergency response drills, exercises and incidents are documented and incorporated into revisions of plans and resources;
- Processes shall exist to escalate a site emergency to a critical incident, as required.

## **7.11 Emergency Response Plans**

All Contractors are required to evaluate potential emergency situations as part of their overall HIRAC process, and develop appropriate emergency response plans. The scope and complexity of emergency response plans will vary between contractors, based on the particular circumstances and hazards applicable to the location. Emergency response plans shall include assigned roles and responsibilities and training shall be carried out to ensure employees are able to perform these roles and responsibilities.

### **7.11.1 First Aid and Medical Facilities**

In conjunction with the evaluation of potential emergency situations an evaluation of first aid and medical facilities is required.

This shall include consideration of all foreseeable requirements for first aid and medical services, the distance and available modes of transport to both internal and external medical services, and the adequacy of such services.

### **7.11.2 Emergency Drills**

The adequacy of all emergency response plans developed in accordance with this section and the standard for emergency preparedness and response shall be:

- Evaluated on a bi-annual basis by way of an emergency drill or exercise, the initial drill within 28 days of the contractor mobilising to site;
- Subject to the scope and level of complexity of the emergency response plan, drills or exercises may evaluate the entire plan or a part thereof and involve either practical response or desktop scenario;
- An outline of the drills or exercises required to be conducted shall be contained within the plan itself, and records shall be maintained of all drills or exercises held.

### **7.11.3 Critical Incident Response**

All Contractors are required to evaluate potential critical incident situations as part of their overall HIRAC process, and develop appropriate critical incident response plans.

The scope and complexity of critical incident response plans will vary between contractors, based on the particular circumstances and hazards applicable to the location.

Critical incident response plans shall include assigned roles and responsibilities and training shall be carried out to ensure employees are able to perform these roles and responsibilities. All contractors shall have access to an approved, nominated EAP provider. The provider shall be used in the event of a critical incident.

As soon as practically possible, the EAP provider will be informed and placed on standby to assist with professional debriefing for incidents such as assaults, fatalities, serious accidents and suicides/deaths.

### **7.11.4 Measurement and Evaluation**

Key characteristics relevant to HSE performance are monitored and measured in accordance with HSE documentation. This includes measurements relevant to the monitoring and control of employee health and workplace hazards as well as measurements of HSE performance.

The objective of all measurement is to ensure that the HSEMS is implemented and is effective in controlling hazards to a level which is ALARP.

The following sections outline specific situations in where Contractors monitoring & measurement shall be conducted.

The Contractor shall ensure that all Contractors personnel are fully qualified, healthy and medically fit for their respective assignments and shall certify the same to Altura for each individual entering the Altura site.



### 7.11.5 Preplacement Medical Examinations

In order to provide baseline information against which the health of employees can be monitored, and to provide assurance that candidates are physically matched to task demands of their position, applicants for employment, transferees between contractors, and contract employees, are subject to pre-placement medical examinations.

No contractor or subcontractor shall be permitted to commence work at the Altura site until such time as all relevant information in relation to their personnel is supplied to Altura to facilitate site mobilisation & access requirements, Pre-placement Medical Summary Sheets, LAB DAS and Declaration of Workers Fitness to Work will be made available to Altura.

Limited exceptions may apply for Visitors and Service Providers or in situations where contractors and subcontractors are able to provide evidence to the satisfaction of the Altura HSE team, of medical examination of their personnel within the previous 90 days. Laboratory Drug and Alcohol Screening shall be within the previous 28 days.

### 7.11.6 Fitness for Work (FFW)

Altura is committed to providing and maintaining a working environment in which all personnel are not exposed to any hazards arising from not being at work due to mental health issues, fatigue, stress, medication, use of alcohol or other drugs or another reason.

The Contractor's policy for Fitness for Work shall require that employees present for work unimpaired in their ability to safely carry out their work duties.

Factors which may impact upon an individual's fitness for work include mental illness, fatigue, heat stress, personal issues, and the misuse of alcohol and other drugs.

The Contractor shall ensure that a range of monitoring and measurement strategies (FFW program) designed to ensure that employees are fit for work at all times are utilised across their works.

Strategies shall be in place for the following and any other areas relating to fitness for work identified within the HIRAC process:

- Mental Health - Provision will be made for mental health issues related situations to be identified and monitored to ensure they do not impact on safety;
- Fatigue Management - Fatigue has been identified as a serious issue by the Company and must be managed effectively on all sites. Fatigue management plans and risk assessments will be developed for all activities identified as having the potential for any contributor to fatigue to occur;
- Stress - Provision will be made for stress related situations to be identified and monitored to ensure they do not impact on safety;
- Family and Social Issues - Provision will be made to ensure that all employees have access to a counselling service to discuss family, social and any other personal difficulties;
- Nutrition and Lifestyle - Nutrition and healthy lifestyle programs will be developed and promoted to all employees by the contractor;
- Alcohol and other drugs – The Contractor shall ensure that all employees under its control and authority do not at any time, during the performance of the works, take or work under the influence of alcohol, drugs or other intoxicating substance other than for bona fide medical reasons or other proper reasons which have been approved in advance by Altura. Altura shall have in place a drug and alcohol testing program on site. All contractors shall conform to this testing program at all times. Altura shall have in place a program for the site to periodically test for drugs and alcohol and prevent site employees affected by drugs or alcohol, from entering or remaining on site. The Contractor shall as a minimum develop procedures that reflect the Altura HSEMS Standards for alcohol and drugs;



- Employee Assistance Programs (EAP's) - An employee assistance program and assistance services shall be provided by the Contractor.

#### **7.11.7 Health, Hygiene and Surveillance**

The Contractor shall develop a health system as determined by the HIRAC process or otherwise identified during the course of work, the Contractor shall undertake surveillance of its employees' health.

Occupational health and hygiene assessments, and ongoing monitoring and medical surveillance programs shall be conducted by the Contractor for all occupations, tasks and work environments consistent with exposure risks.

The Contractor shall have a system in place to identify, assess and control health risk exposure from workplace hazards. These shall be recorded, maintained and communicated to the workforce.

Situations which may require health surveillance include, but are not limited to:

- Potential for exposure to noise beyond the statutory limit;
- Potential for exposure to Lead;
- Potential for exposure to Asbestos;
- Potential exposure to hazardous substances or energies;
- Potential exposure to communicable or vector borne disease.

The Contractor shall ensure that all employees maintain high standards of hygiene in connection with the performance of the works. In addition, handling and storage of food must be in accordance with relevant food hygiene standards.

#### **7.11.8 Disease**

The Contractor shall ensure that their employees who exhibit any symptoms of any infectious or communicable disease immediately makes appropriate arrangements to be medically assessed and desist from attending the workplace until they have received medical clearance and can provide proof of such clearance. The contractor shall alert their employees of the dangers of any diseases (including SARS, Swine Flu, encephalitis, flu etc.) and instructs them how to reduce the risk of or prevent contracting / spreading such diseases.

#### **7.11.9 Injury Management**

In accordance with Altura requirements, the status of any employee injured during the course of their employment, the contractor shall have a detailed procedure that shows that the injured employee will be continually monitored and evaluated with the aim of responsibly returning the person to full and unrestricted duties at the earliest opportunity. Altura are to receive weekly status updates as to the welfare of injured employees in writing from the contractor site manager.

#### **7.11.10 Medical Welfare**

Altura is not responsible for the medical welfare of Contractor's employees. Altura will supply a medical room, site paramedic, ambulance and medical supplies at the medical room. The Contractor is required to supply equipped first aid boxes and any other items identified during the HIRAC process at each workplace, first aid kits in each light vehicle and specific mobile equipment. Contractor personnel shall have a minimum of 10% of their workforce trained and qualified in senior first aid on shift at any one time. Altura reserves the right to audit the Contractors first aid equipment and personnel to ensure it is fit for purpose, is adequately maintained and correct numbers of personnel are available.

### **7.11.11 Workers Compensation**

All Contractors shall maintain worker's compensation Insurance policies in accordance with the applicable legislation and shall ensure that claims for compensation are managed in accordance with the applicable legislation.

### **7.11.12 Smoking**

The Contractor shall not permit smoking at the worksite except within designated smoking areas selected in accordance with applicable laws, rules, regulations, and policies. The Contractor shall provide personal cigarette butt disposal bins for its smokers.

### **7.11.13 Working Hours**

The Contractor shall be responsible for the administration of the working hours and rosters of the Contractor's employees. Employees should not work in excess of:

- Thirteen hours (accommodation door to door) per day with a minimum rest period of ten hours between shifts without the consent of Altura;
- Thirteen consecutive days without a mandatory rest day or an equivalent arrangement as agreed with Altura;
- 21 days on roster without a 7 day break (3:1 roster) or an equivalent arrangement as agreed with Altura.

## **7.12 Incident Reporting, Investigation and Recording**

### **7.12.1 Incident Reporting**

The reporting of all accidents, injuries, near-misses and other events which Altura HSEMS seeks to prevent (collectively referred to as 'incidents'), is a fundamental and mandatory cornerstone of Altura's continuous improvement process.

All Contractors shall have in place a process for incident reporting & investigation that aligns with the Altura process and must be utilised in addition to any other contractor requirement.

The Contractor incident reporting & investigation process shall be designed to:

- Communicate, in a timely and appropriate manner, the details of the event and any subsequent learning's to Altura;
- Evaluate the actual and potential severity of events in a consistent manner to ensure that appropriate resources are allocated to investigations;
- Investigate the event to establish the facts and identify contributing factors;
- Develop corrective and preventative actions which address the contributing factors;
- Monitor the implementation of corrective actions;
- Record information.

### **7.12.2 Incident Investigation**

The Contractor shall investigate incidents relating to the works in accordance with all applicable statutory requirements and the approved Contractor policies and procedures and where required by Altura using the agreed Incident Investigation procedure:

- Any incident or near miss involving the Contractor's employees;
- Non-compliance with the HSE management plans;
- Non-compliance statutory laws and regulations;

- Non-compliance to property, plant or equipment shall be reported immediately to Altura, irrespective of whether injury to employees or damage to property or equipment resulted.

The Contractor shall investigate the causes of all work related incidents or non-compliance incidents and shall provide Altura with the results of the investigation and recommendations on how to prevent a recurrence. The Contractor shall analyse the results and identify lessons and monitor trends to improve standards, systems and practices. Lessons learnt must be shared with Altura and Contractor's employees and all steps taken to prevent future incidents must be documented. Altura shall have the right to designate a representative to participate in the investigation at Altura's discretion.

### 7.12.3 Incident Recording

All incidents shall be recorded/completed in Altura's Incident and Investigation format. All corrective actions from incident investigations, audits, inspections, behavioural observations and hazard reports will also be included in the corrective actions register (CAR) system. The CAR register is to be generated to ensure that all action items are carried out and closed out by the due date by the applicable responsible person. The list gives an ongoing record of action items identified due to Incident Investigations, audits, inspections, hazard reports, meetings, hazard identification processes, etc. and when and by whom they were closed out. Contractors may be authorised to input data (This will be assessed on a case by case basis, where access is not granted the contractor shall supply in a format agreed to by the company).

The Contractor's most senior site manager shall attend any significant incident investigations that involve their employees working under their contract with Altura. Post any significant incident investigation, the most senior site manager from the Contracting group shall advise Altura of what was learnt and what corrective actions are to be taken by the contracting group to prevent this or similar incidents in the future.

### 7.12.4 Statutory reportable Events

There are certain events related to HSE that require reporting to statutory authorities. The most senior contractor manager shall be responsible in ensuring the reporting of such incidents to Altura.

Contractors are not authorised to submit any such reports to statutory authorities unless Altura has given authorisation in writing.

The Altura incident reporting process ensures that all reports are reviewed by qualified HSE professionals, who are able to advise management of statutory reporting requirements.

### 7.12.5 Incident Definitions

The below definitions have been listed to assist contractors and are a guide only.

**Incident:** Any unplanned or undesired event which has or which may have health, safety, environmental or cultural heritage implications. Includes events which may otherwise be described as 'accidents', 'near-misses', or 'injuries'.

**Near Miss:** An incident which potentially could have caused adverse consequences to people, the environment, cultural heritage sites, property or reputation, or a combination of these.

**Treatment Provider:** First aid treatments listed to be first aid regardless of the professional status of the person providing the treatment. Even when a physician provides the treatments, they are considered first aid. Similarly, if someone provides medical treatment beyond first aid other than a physician it is still considered to be a medical treatment.

**Lost Time Injury (LTI):** A work-related injury or occupational illness, including a fatality, resulting in at least one lost workday after the day of the incident, based on opinion of a Doctor as to the capability of the injured person (IP) to return to work.

**Restricted Work Injury (RWI) or Disabling Injury (DI):** is a work related injury or illness which results in the employee being unable to perform one or more of their routine functions, or from working the full day on or after the next calendar day after the injury/illness.

**Medical Treatment Injury (MTI):** Treatment, other than that defined as First Aid, observation, counselling or diagnostic procedures, is classified as Medical Treatment.

**First Aid Injury (FAI) or Minor Injury (MI):** First aid treatments listed below to be first aid reported regardless of the professional status of the person providing the treatment.

First Aid is limited to the following matters:

- Using a non-prescription medication at non-prescription strength;
- Tetanus immunization. NOTE: Other immunizations, such as Hepatitis B vaccine or rabies vaccine, are considered medical treatment if administered in response to a work related event;
- Cleaning, flushing or soaking wounds on the surface of the skin;
- Using wound coverings such as bandages, Band-Aids™, gauze pads, etc.; or using butterfly bandages or Steri-Strips™. NOTE: Other wound closing devices such as sutures, staples, tapes / glues, etc. are considered medical treatment;
- Using hot or cold therapy (e.g. compresses, soaking, whirlpools);
- Using any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc. NOTE: Devices with rigid stays or other systems designed to immobilize parts of the body are considered medical treatment;
- Using temporary immobilization devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards, etc.);
- Drilling of a fingernail or toenail to relieve pressure, or draining fluid from a blister;
- Using eye patches;
- Removing foreign bodies from the eye using only irrigation or a cotton swab;
- Removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means. NOTE: Procedures involving the excision of the outer layer of skin are considered medical treatment;
- Using finger guards (to protect bandaged finger from irritation, dirt and further injury);
- Using massages. NOTE: Physical therapy or chiropractic treatment is considered medical treatment;
- Drinking fluids for relief of heat stress. NOTE: Observation, counselling and diagnostic procedures such as X-rays and blood tests, pure precautionary administration of oxygen where no signs or symptoms of a work related exposure exists are neither medical treatment nor first aid. Nevertheless, these incidents must be reported.

**High Potential Incident (HPI):** An incident with an actual or potential severity level in the shaded area of the consequence table.

**Recordable Injury:** Any new, work-related injury or illness case that meets the recording criteria for Fatality, Lost Time, Restricted Work or Medical Treatment.

**Work Related:** Injury for the purposes of Incident Reporting, Work Related means that an injury has arisen during the course of, and as a result of, the injured persons work.

Injuries or illnesses which arise in residential situations (i.e.: remote area camps), or during transportation to or from remote area work locations where an individual will be resident, although potentially compensable, are not regarded as Work Related.

**Non Work Related (NWR):** Any injury or illness effecting site employees which has not been caused by their work duties.

**Statutory Reportable:** An incident which, as defined by the applicable legislation, is required to be reported to the statutory authority.

**Critical Incident:** Events or situations that have sufficient emotional power to overcome the usual coping abilities of people. Such incidents fall outside normal professional routines, pose a significant threat to the participants or others, or they include particular factors likely to increase their stressful nature.

Such events may include:

- Traumatic work related injury or death;
- Suicide of a colleague;
- Events with a high degree of threat to the employees;
- Events in which the victim is known to the employees;
- Events with excessive media interest;
- Events that are prolonged and end with a negative outcome;
- Other significantly powerful, overwhelming distressing event.

**Fire:** Any event involving fire (including smouldering) or requiring the extinguishment of a fire.

**Environmental Spill or Damage (ENV):** Any report involving spills of hazardous materials or damage to the environment, including events involving breach of environmental or heritage HSEC requirements.

**Security, Theft, Disturbance (SEC):** Any incident involving a security breach, theft, assault or other breach of site or camp rules requiring attendance / involvement by site security services.

**Property, Plant, Equip. Damage (DAM):** Any incident involving damage to property, plant or equipment this includes an incident arising from the use of a light vehicle or truck.

## 7.13 HSE Audit, Inspection, Reporting & Corrective Actions

### 7.13.1 Audit & Inspection

All Contractors shall have an HSE audit and inspection program designed to provide Altura with assurance that all Contractors are operating in line with the Altura's HSEMS.

The audit and inspection program further serves to reinforce management's commitment to continual HSE improvement and raise awareness amongst all employees, of the priority placed upon HSE performance.

The system shall be in place to ensure:

- That HSE management system reviews and audits are conducted in order to assess compliance with the contractors HSE objectives and targets;
- Actions resulting from reviews and audits are implemented and assessed for effectiveness;
- The assessment process is periodically reviewed for effectiveness and findings used to promote continuous improvement;
- Outcomes and actions emerging from audits be documented and made available to Altura upon request.

Altura will conduct audits and inspections of the works to determine the Contractor's compliance. Altura's rights under this section shall not relieve the contractor of its own obligations to conduct audits and reviews of its own HSE management performance and potential to expose Altura to any liabilities which may arise from the Contractor's failure to satisfy the obligations within the HSE management plans. The Contractor shall fully cooperate with Altura during such audits or inspections.

The Contractor shall, at its own cost, provide Altura's employees with all reasonable assistance and access to the Contractor's records, the Contractor's employees, the site and the works to enable Altura to conduct HSE management audits and inspections.

Where such audits or inspections reveal non-compliances and/or deficiencies in the plans, the Contractor shall, at its own cost, rectify such non-compliances and/or deficiencies as soon as practicable and advise Altura of all actions taken to remedy non-compliances and or deficiencies.

The Contractor shall have a system for regularly auditing and inspecting its own performance and Contractor's employees' performance, which it shall submit to Altura for approval.

### **7.13.2 Corrective Actions**

The Contractor shall maintain a corrective action status register specific to its HSE management audit and inspection program which, upon request by Altura shall be made available for inspection and review. The Contractor must share lessons learned (positive and negative) with Altura.

### **7.13.3 Non-Conformance**

The Contractor shall rectify any non-conformances identified during internal and/or external audits within a timeframe that is commensurate with the level of risk associated with the non-compliance and the level of non-compliance.

Altura may conduct follow-up audits to ensure that the Contractor has rectified non-compliances with the HSE plans and/or deficiencies in the plans.

### **7.13.4 Reporting**

The Contractor will be required to provide to Altura on a monthly basis a report that contains the contractor's HSE running statistics for each month ending. The information contained in this report may include the following:

- Labour man hours;
- Indigenous employment;
- Machine hours on all equipment, fuels consumed, wastes recycled, and kilometres travelled by vehicles;
- Fuels used;
- Wastes generated;
- Water and energy used (where water and electricity is not directly supplied by the Company);
- Injury and Incident statistical information including near miss and hazard reports;
- Numbers of job hazard analysis undertaken;
- Rehabilitation and return to work statistics;
- Risk assessments completed;
- Workplace Inspections, audits and reviews completed;
- Number of TAKE 5s completed;
- Number of Safe Act Observations completed;



- Corrective Actions register;
- Minutes of HSE meetings and Toolbox meetings held and initiatives introduced;
- Details of Cultural Heritage and Environmental Awareness sessions held;
- Fitness for Work testing statistics;
- Training sessions completed;
- Incident description as per the monthly report template.

## **8.0 Sub-Contractor Selection and Management**

### **8.1 Sub-Contractor`s Health, Safety and Environment Requirements**

If all or any part of the Contractor's performance is to be assigned or Subcontracted in accordance with the terms of this Contract, such performance shall remain subject to all the HSE provisions of these requirements unless Altura expressly waives such an obligation in writing.

### **8.2 Evidence of Assessment of Sub-Contractors**

Prior to award of any contract to Subcontractors, the Contractor shall assess assignees/subcontractors to validate that they are willing and capable of complying with the HSE requirements and, shall upon request by Altura provide evidence of the assessment.

Where HSE assessment has not occurred Altura reserves the right to complete an HSE assessment of the subcontractor, if the subcontractor does not meet the minimum HSE requirements Altura Lithium Operations Pty Ltd may stand down the Subcontractor until the Subcontractor is able to demonstrate the minimum requirements. The Contractor shall be responsible for any costs and penalties incurred.

## **9.0 Environment**

The contractor shall comply with all Altura Environmental Management System requirements, state and commonwealth laws and regulations, approvals, licenses and permits which are applicable to the works.

The contractor will liaise with the Environmental Officer and Register Manager regarding preparation of the work site to minimize environmental impact. This shall be specified in the Environmental Management Plan and Environmental Risk Assessment.

Any clearing or disturbance to native vegetation shall be minimised. Altura Ground Disturbance Permit Procedure shall be followed and permit must be signed off by all required personnel prior to work commencing.

The contractor will ensure that rubbish bins are used for the collection of all rubbish such as General Rubbish, Cardboard & Paper and can (office area); Scrap Metal, Timber and General (Lay downs and work area). Oil changes and servicing of equipment will be conducted in such a way that waste, oil and grease is not spilt or dumped on the ground. All waste oil and grease is to be disposed as per legislation and Altura requirements.

All stores of fuels and lubricants are to be constructed to prevent accidental spillage of product contaminating the soil, to the standard and satisfaction of Altura Mining.

### **9.1 Hazardous Substances**

The contractor will not bring chemicals, compressed gasses, fuels, cleaning agents, glues, etc. onto site without the approval of Altura. AJM-HSE-FRM-028 Chemical Request Form to be submitted for approval to Altura Environmental Department. Chemical name, reason of use, manufacturer name and company contact number must be included in the form.

The contractor will be responsible to provide a Safety Data Sheet (SDS) for each product and ensure that all such products are properly labelled. A Hazardous Substances/Dangerous Goods

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Register must be held on site which includes Safety Data Sheets (SDS's) and Hazardous Substances/Dangerous Goods Risk Assessments.

The contractor responsible for the introduction of the hazardous material to the workplace are responsible for providing appropriate training. Disposal of substances safely and in compliance with health, safety and environmental legislation is the responsibility of each contractor.

## **9.2 Housekeeping**

Contractors will be required to maintain workplaces in a clean and tidy condition. Working areas, stairways, passages, emergency exits, firefighting and safety equipment must be kept clear at all times.

Work areas and access to work area must be cleared at the end of each working day. Bins to be made available to all areas. Daily inspection of work areas to be completed.

## **9.3 Noise**

All relevant equipment brought onto the site must have its noise emission level identified. All equipment with noise emissions that exceed the statutory action level of 85 dBA (Leq) 8-hour must be adequately identified as a noise hazard and all personnel operating or working in proximity to that equipment must use approved hearing protection if the noise level cannot be reduced by engineering controls.

It is the responsibility of the contractor to advise Altura Register Manager of any equipment to be used that exceeds the noise level set out above. The Site Manager has the authority to prohibit or restrict the use of such equipment.