



## Procedure

### Minimum Requirements for Contractors

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HSES

**26/07/2021**

**Doc #100-PL-CT-0001 Rev #12**

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<b>Minimum Requirements for Contractors</b>			
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## **LIST OF APPENDICES**

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Appendix A: Key Performance Indicators .....

## **1. PURPOSE**

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The purpose of this document is to outline the requirements for health and safety, environment, and security (HSES) documentation that Contractors should develop and comply with when working with Fortescue. These documents will be required to be developed during the tender phase of a contract and reviewed and approved before work commences. They will be required to be updated when conditions of the contract change, new risks are introduced to the scope of work or when a period elapse.

The Contractor's Health Safety Environment and Security Management Plan and/or other supporting health and safety documents will define which HSES Management System will be used i.e., the Contractor's systems or the systems of Fortescue or a combination of both. Fortescue must approve the Contractor's Health & Safety Management System appropriate to the risks associated with the work to be carried out before work commences.

This document is not an exhaustive list of the Contractor's obligations in relation to HSES Compliance with requirements in this document in no way relieves the Contractor of any of its obligations under the contract.

These standards along with the relevant legislation and the Contractors HSES management plan and/or other supporting health and safety documents that the contractor maintains form the Contractor's safe system of work for working on Fortescue operational sites.

Fortescue requires that the Contractor operates with regard to the HSES considerations of all persons and property whilst completing work for Fortescue. Contractors that provide an onsite service must have HSES management systems which are consistent with Fortescue's Vision and Values, policies, and standards as applicable to their scope of work including:

- HSES Policies
- Health, Safety, Environment and Security (HSES) Management Standards, and
- HSES Specifications for Contractors on Operational Sites.
- Environmental Management Plans (EMP) and monitoring programs as defined in Fortescue Environmental Management Requirements
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Contractors shall enter all incidents, manage actions and report HSES KPI's (KPIs if/as applicable to the contract), into BMS on a monthly basis.

## **2. SCOPE**

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The specifications in this document apply to all Contractors working for Fortescue, to the Contractor Classification limits defined in Section 1.

If compliance with a requirement is not practicable, then alternative risk controls must be developed for approval by the Principal Representative (Contract owner) in the form of a risk assessment performed in accordance with Risk Management procedure 100-PR-RK-0001.

### 3. DEFINITIONS

(a) **Table 1: Definition of Terms/Acronyms**

<b>Word/Term</b>	<b>Definition</b>
Fortescue	Fortescue Metals Group Limited all subsidiaries and employees.
ALARP	As Low as Reasonably Practicable.
Competent Person	A person who has acquired through training, qualification or experience, or a combination of those things, the knowledge and skills required to perform the task/s competently.
Critical Control	A Critical Control is: <ul style="list-style-type: none"> <li>• One that we need to work 100% of the time.</li> <li>• If it fails it will potentially result in an event or allow escalation to maximum consequence; and</li> <li>• It has a major influence in controlling the risk.</li> </ul>
Electrical Hazards	Electrical Hazards means a hazardous condition such that contact, or equipment failure can result in electrocution, electric shock, arc-flash burn, electrical thermal burn, or electrical blast.
Isolation	Isolation standard includes hazardous sources of energy and could be expanded to include but not limited to; electrical, mechanical, hydraulic, chemical, gravitational, pneumatic, kinetic, and stored energy.
JHA	Job Hazard Analysis
MHCS	Major Hazard Control Standard
OEM	Original Equipment Manufacturer
SDS	Safety Data Sheet. Previously known as MSDS: Material Safety Data Sheet.
Shall / Must	Mandatory.
SOFAIRP	So far as Is Reasonably Practicable.
SWI	Standard Work Instruction
VOC	Verification of Competency by theory and practical assessments.
ALARP	As low as reasonably practicable



## 4. LEGASLATIVE CONTEXT

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Needs to comply with local legislation.

## 5. CONTRACTOR CLASS

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The location and the scope of works to be carried out, will determine whose HSES Management System the Contractor will be operating under.

The Contractor shall then be classified into one of the following categories:

Monitored Onsite	<ul style="list-style-type: none"> <li>Contractor works on a Fortescue Site or Mining Operation.</li> <li>Contractor is working under their own <b>HSES Management Systems</b> as described in the endorsed contract HSES Management Plan; or</li> <li>A combination of their own and Fortescue's <b>HSES Management Systems</b> as described in the endorsed contract HSES Management Plan.</li> <li>Hours are collected for reporting purposes.</li> <li>Contractor is not working under Fortescue direct Supervision (e.g., they have their own supervisory arrangements on site).</li> <li>Contractor audits are conducted to monitor performance, to ensure meets Fortescue's expectations.</li> </ul>
Managed Onsite	<ul style="list-style-type: none"> <li>Contractor works on a Fortescue Site.</li> <li>Contractor is under Fortescue's direct supervision and is managed similar to an employee (supervisor ratios apply).</li> <li>They shall comply with all Fortescue's Health and Safety Management Systems and do not require an endorsed HSES Management Plan.</li> <li>Hours are collected for reporting purposes.</li> <li>No contractor Health and Safety Management System audits conducted as these contractors are managed similar to an employee and work under Fortescue's Health and Safety Management System, which is subject to other audits and inspections.</li> </ul>
Offsite	<ul style="list-style-type: none"> <li>Contractor not working on a Fortescue site//Tenement or with Fortescue presence.</li> <li>Contractor is working under their own Health and Safety Management System.</li> <li>Hours are not collected for reporting purposes.</li> <li>Level of influence in Health and Safety performance is considered low.</li> <li>Not normally subject to contractor audits post mobilisation.</li> </ul>

## 6. ROLES AND RESPONSIBILITES

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Roles and responsibilities can be found in the Contractor Management Procedure 100-PR-CT-0001

## 7. CONTRACTOR DOCUMENTS TO BE SUBMITTED.

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Requirements of the contract or tender process require the following level of documents to be submitted.

Contractor Classification	Vendor Tender Stage	HSES Endorsement
Monitored Onsite	<ul style="list-style-type: none"> <li>• 100-FR-CT0003 Vendor Tender HSES Assessment</li> <li>• 100-FR-CT-0073 HSES Questions for Contractors</li> <li>• HSES Management Plan appropriate to the contract of works</li> <li>• Risk Register appropriate to the contract of works and detailing controls for high level risks.</li> <li>• Training Needs Analysis or Matrix outlining skill, competencies and certification of workers appropriate to the contract of works.</li> <li>• An Assurance Plan outlining the frequency and types of audits and inspections that will be carried out during the tenure of work.</li> <li>• Contractor's Demonstrated Safety Performance Record</li> <li>• Contractor's Employee Turnover Record</li> <li>• Contractor's HSE Support, Capability and Experience</li> </ul>	<ul style="list-style-type: none"> <li>• 100-FR-CT-0073 HSES Questions for Contractors</li> <li>• HSES Management Plan appropriate to the contract of works</li> <li>• Risk Register appropriate to the contract of works and detailing controls for high level risks.</li> <li>• Training Needs Analysis or Matrix outlining skill, competencies and certification of workers appropriate to the contract of works.</li> <li>• An Assurance Plan outlining the frequency and types of audits and inspections that will be carried out during the tenure of work.</li> <li>• Assessment of Safety Performance, Employee Turnover and HSE Support will be made.</li> </ul>
Managed Onsite	<ul style="list-style-type: none"> <li>• 100-FR-CT0003 Vendor Tender HSES Assessment</li> <li>• Contractor's Demonstrated Safety Performance Record</li> <li>• Contractor's Onboarding and Training Process</li> <li>• Risk Register appropriate to the contract of works and detailing controls for high level risks.</li> <li>• Contractor's Injury Management Process</li> </ul>	<ul style="list-style-type: none"> <li>• 100-FR-CT-0073 HSES Questions for Contractors</li> <li>• Assessment of Safety Performance will be made.</li> <li>• Contractor's Onboarding and Training Process</li> <li>• Risk Register appropriate to the contract of works and detailing controls for high level risks.</li> <li>• Contractor's Injury Management Process</li> </ul>
Offsite Optional	<ul style="list-style-type: none"> <li>• 100-FR-CT0003 Vendor Tender HSES Assessment</li> <li>• HSES Management Plan appropriate to the contract of works and/or other supporting HSE suite of documents, e.g., Safe Work Instructions, Emergency Response Plan specific to the contract of works, etc.</li> <li>• Risk Register appropriate to the contract of works and detailing controls for high level risks. <i>Required only when Fortescue Representative requires it to be submitted or when working in an overseas location.</i></li> <li>• Training Needs Analysis or Matrix outlining skill, competencies and certification of workers appropriate to the contract of works.</li> </ul>	<ul style="list-style-type: none"> <li>• 100-FR-CT-0073 HSES Questions for Contractors</li> <li>• HSES Management Plan appropriate to the contract of works &amp; other supporting HSE suite of documents, e.g., Safe Work Instructions, Emergency Response Plan specific to the contract of works, etc.</li> <li>• Risk Register appropriate to the contract of works and detailing controls for high level risks. <i>Required only when Fortescue Representative requires it to be submitted or when working in an overseas location.</i></li> <li>• Training Needs Analysis or Matrix outlining skill, competencies and certification appropriate to the contract of works.</li> </ul>

## **8. CONTENT OF HSES MANAGEMENT PLAN**

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Where a HSESMP is required, you need to meet the following requirements.

### **8.1 LEADERSHIP AND ACCOUNTABILITY**

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The Contractor shall include a current Health and Safety Policy relevant to its operations as part of the submitted Management Plan. The Policy shall include the signature of an authorised leader of the organisation; indicating commitment to the Policy and should have been reviewed within the last 3 years. A copy of the Policy shall be found within the plan or an annex to the plan.

The Contractor shall document and communicate responsibilities and accountabilities (including HSES and Training responsibilities and accountabilities) for all personnel and relevant stakeholders inclusive of.

- Statutory responsibilities for operation.
- . Management of statutory and controlled activities (e.g., explosives, controlled waste, abrasive blasting) including associated licensing and registration requirements and.

HSE Commitments. The Contractor shall have a structure in place with sufficient HSES support and resources. This shall be demonstrated with an Organisation Chart that is included within the plan.

Fortescue Operator has accountability for statutory HSES approvals and will provide the Contractor with HSES commitments arising from the approvals for assignment of responsibility and implementation. If the Contractor is required to acquire licenses or approvals according to local legislation, this will be documented in the contract.

### **8.2 SUPERVISION**

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Where necessary, the Contractor shall undertake a documented risk-based assessment to determine the site Supervisory requirements that would be required, taking into consideration the contract of work and the size of the work group.

The Contractor must provide a Supervisor Schedule which will be approved by Fortescue prior to mobilisation.

As a guide, the minimum supervision that would be required shall be 1 Supervisor/ Leading Hand for every 10 to 15 workers. This will be determined in the contract.

### **8.3 HSES Risk and Change Management**

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The Contractor shall have a tiered risk management process in accordance with Fortescue's risk management requirements. As a minimum, this shall include:

- A personal risk assessment process.
- A Job Hazard Analysis process; and
- A formal team-based risk assessment process.
- The Contractor shall have a system for reporting and managing hazards in the workplace.

Hazards shall be closed out immediately where possible. Where additional action is required for close out; the hazard shall be logged and monitored for completion.

The Contractor shall have an up-to-date Risk Register as part of their Risk Management framework. The Risk Register shall be used for recording identified risks, unwanted events, relevant controls, and risk ranking associated with the scope of works.

The Risk Register is to be provided to Fortescue as a minimum deliverable for approval in the Contractor Pre-qualification verification and evaluation.

The Contractor shall ensure the Risk Register is reviewed and updated with information on new risks as an output of this process throughout the life of the Contract.

All routine tasks shall be carried out under a Standard/safe Work Instruction (SWI). The SWI shall detail how the task will be completed, the people involved in the task, the equipment to be used for the task, the management of change during completion of the task and measures to manage risks associated with activities.

The Contractor shall either adopt Fortescue Major Hazards program and standards or the Contractor shall implement and maintain a Major Hazards Management Program relevant to its Operations including:

- Process for identification of fatality risks.
- Process for prioritising risks (ranked).
- Identification of critical controls; and
- Methods for verifying adequacy of critical controls.

The hierarchy of control shall be used to reduce all HSES risk to as low as reasonably practicable (ALARP/SOFAIRP).

The Contractor shall implement a change management system, and train personnel to a competent level to identify what constitutes a change (i.e., introduced equipment, process, personnel, or environment) and how to initiate the agreed change. Changes shall be documented, assessed, and approved by authorised employees. The approved change shall be communicated, managed, and checked for effectiveness to ensure HSES risks are controlled.

#### **8.4 HSES Planning, Goals and Targets**

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HSES KPI's (both lead and lag indicators) are to be established in conjunction with Fortescue and communicated to all levels of the Contractor's organisation. A system to record and report progress toward KPI's shall be maintained, these HSES KPI's should at least contain:

- Contract HSES KPI's defined in the Scope of Work.
- Contractor HSES Performance Indicators required by Fortescue's Contractor Management System; and
- Contractor's HSES performance indicators defined within the Contractor HSES Management system in delivering the Scope of Work.
- A system to record and report progress toward KPIs shall be maintained. If required, the Contractor may need to document these into a Fortescue database (i.e., BMS) for monitoring purposes.

#### **8.5 HSES Training, Awareness, Competence and Behaviour**

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The Contractor shall have its own employee and site-specific induction. The induction shall at least describe the Contractor's HSES policies, HSES Management Plan requirements, objectives, targets, relevant hazards, and risk management processes applicable to the work or work environment.

The Contractor shall ensure that a visitor or short-term worker induction is available for any Contractor personnel not full time on site. In addition to the Contractor's own staff training and inductions, all contractors shall attend/complete the following:

- the principal general induction.
- site specific induction; and
- departmental/area inductions

In addition to the Contractor's own staff training and inductions, all contractors shall ensure their personnel arrive on site in a work-ready manner. This includes attending/completing the following:

The Contractor shall ensure competency profiles incorporating HSES related training, competencies, formal qualifications, prescribed licences shall be identified and documented for all positions and be periodically reviewed. It is expected that a training matrix or training needs analysis be developed for the scope of works. Ref 9.6.

The Contractor shall ensure pre-mobilisation verification of competency for all employees (including current trade competencies, certificates, and licenses to perform regulated activities and plant operation); and will ensure that all personnel are competent to conduct tasks assigned to them under the Contract.

HSES training records shall be maintained and available to Supervisors. The Contractor shall ensure the following:

- A process to track expiry dates on staff training and certification is implemented (access to sites may be withdrawn if these dates are exceeded).
- A process for training, mentoring and supervision of new/inexperienced employees is implemented. E.g., Buddy System.
- Positions equivalent to supervisor or above shall hold recognised supervisory competencies
- Leadership development program shall be developed and captured in the training matrix.
- Personnel appointed to statutory roles are demonstrably trained and competent.
- Desirable and mandatory training requirements for each role are identified and tracked.

## **8.6 HSES Communication, Consultation and Reporting**

As a minimum, the Contractor shall have a formalised process in place and conduct the following:

- daily pre-start meetings.
- weekly toolbox talks.
- monthly HSES committee meetings with minutes circulated to all employees; and
- shift handover communication process.

The Contractor shall have processes in place to effectively communicate the following to all employees on a regular basis:

- HSES performance.
- Incidents, hazards, and risks.
- shared learnings from both internal and external incidents.
- procedural changes; and
- HSES obligations.

The Contractor shall communicate to its employees that they have the right and ability to stop work or refuse to work in situations where they believe that the work would expose them, other people, or the environment to a risk of harm. Work shall only resume after approval has been obtained by the Fortescue representative.

The Contractor shall have a process for the tracking and resolution of health and safety issues and communicate this process to all personnel.

- The Contractor shall also ensure monitoring and evaluation is carried out for activities that could cause adverse environmental and / or health impacts; and where required by legislation.

Contractors shall enter all incidents, manage actions and report HSES KPI's (KPIs if/as applicable to the contract), into BMS on a monthly basis.

## **8.7 Documentation, Document Control and Records Management**

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The Contractor shall develop, implement, and maintain a document control and records management system.

The Contractor shall ensure that the process by which Personnel and Visitors access HSES procedures and other documents is described and communicated to Personnel.

## **8.8 Operations and Maintenance**

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The Contractor shall develop operating procedures for equipment in accordance with OEM specifications and ensure HSES risks are mitigated to ALARP.

The Contractor shall ensure maintenance testing, calibration and certification of plant and equipment is carried out to manufacturer recommendations and regulatory requirements. Records of such are maintained.

The Contractor shall ensure that records and registers for workplace inspections, plant, tools, rigging, hazardous substances and electrical items are available.

## **8.9 Contractors and Suppliers**

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The Contractor shall have a process in place to ensure any sub-contractors and/or suppliers meet the requirements of Fortescue's Contractor HSES system.

## **8.10 Emergency Management**

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The Contractor shall have an Emergency Response Plan detailing how they respond to plausible emergency scenarios consistent with Fortescue's Emergency Management System.

The Contractor shall have Emergency Rescue Plans for high-risk activities.

The Contractor shall ensure that it has a sufficient number of suitably trained emergency response personnel who shall be trained in handling emergencies consistent with the Contract.

The Contractor shall ensure periodic emergency scenarios are practiced as part of emergency exercise training and evidence of emergency exercise training is available to the Fortescue on request.

The Contractor will ensure Emergency Response Equipment consistent with the Contract shall be compliant with statutory and risk-based requirements, fit for purpose, available in sufficient quantities, inspected, tested, maintained in a serviceable condition, calibrated where necessary and registers and records are maintained.

### **8.11 Non-Conformance, Incident Management, and Investigation**

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The Contractor shall ensure that a formal and standardised process is in place for recording, investigating, and reporting incidents and non-conformances and for managing corrective and preventive actions.

The contractor shall operate in accordance with the Fortescue procedure for Incident and Event Reporting (100-PR-SA-0011).

The Contractor shall ensure all significant incidents are investigated using the ICAM or equivalent process and employees are appropriately trained in the investigation process. Lessons learnt shall be shared. Fortescue reserves the right to conduct investigations for any incident. The Contractor shall commit to assist with this process as required in a timely fashion.

A documented process is required that mandates all work is to be discontinued following any significant incident as soon as it is safe to do so. Work shall not resume until all temporary actions have been implemented and approval provided by Fortescue.

The Contractor shall report all incidents to Fortescue's contract owner as soon as reasonably practicable.

The Contractor shall have an injury management process/Procedure in place including:

- Onsite medical response and support (first responders, e.g., first aid trained personnel).
- Offsite medical referral and support.
- Injury management and return to work co-ordination.
- Confidential records management.
- Workers' compensation management.

Fortescue will undertake all statutory reporting unless otherwise formally agreed.

### **8.12 HSES Auditing & Inspections**

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The Contractor shall develop and implement an audit and inspection program as part of their Assurance Plan at a frequency appropriate to the level of HSES risk and to ensure statutory compliance applicable to the scope of work.

The Contractor shall submit their Assurance Plan as a minimum deliverable for approval in the Contractor Pre-qualification verification and evaluation.

The purpose of the Assurance Plan is to monitor systems and operations to ensure new hazards are identified and new risk controls designed as necessary.

The Assurance Plan shall include an audit and inspection schedule, identified areas of assessment and the means for recording of significant audit findings.

The Contractor shall ensure that audit/ inspection findings will be actioned through established corrective action systems.

The Contractor shall regularly report on the status of close out actions resulting from audits and inspections to Fortescue in its KPI data.

### **8.13 Management Review**

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The Contractor shall have a process in place to conduct annual management reviews of its HSES management system.

The contractor shall complete a formal annual review of HSES performance which as a minimum includes.

- Review of operational risk profile
- Lessons learned review
- Review of stakeholder feedback
- HSES incident performance
- Compliance to HSES commitments
- HSES Audit findings and
- KPI performance and trends

The Contractor must develop, implement, and communicate a HSES improvement plan annually after the first year of operation. The HSES improvement plan must be based on the output of the annual performance review. The Agreement HSES KPIs shall include implementation of the HSES improvement plan.

### **8.14 Fortescue Major Hazard Control Standards**

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The Standards governing the Major Hazard Control (100- ST-SA-1000) across all Fortescue sites can be accessed via [HSES Documents - All Documents \(sharepoint.com\)](#)

The Contractor shall use this document to define the minimum performance criteria for the establishment and monitoring of critical controls for any foreseeable Major Hazard activity identified in the risk profile of their Health & Safety Management System for the contract of work.

The Contractor is required to implement and actively participate in Fortescue's Major Hazards Management Program.

### **8.15 Isolation & Tagging**

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#### **Isolation equipment – locks and tags**

All Isolation and Tagging activities shall meet or exceed Fortescue's isolation and Tagging Procedure (100-PR-SA-1028). It is the responsibility of the contractor to ensure they have the latest version of the document and train all relevant personnel in the process. Some of the key criteria are listed below.

There shall be a system established to provide locks and tags to carry out isolation activities for individuals (locks uniquely keyed) and groups.

Designated isolation points shall be clearly labelled at all times to identify the circuit or system over which they have direct control.

Personnel must apply a personal isolation lock and tag prior to and remove at completion of work on any plant or equipment where there is a risk of injury from the operation or movement of plant, equipment, or releases of energy.



### **Isolation and Control of Energy Process**

A documented procedure shall be in place to ensure that isolation and control of energy occurs. This procedure shall include the use and order of application for locks and tags and the responsibilities of personnel on a task and the requirements for investigation, reporting and removal of personal locks/tags.

All systems, plant and equipment shall be covered by a documented process for their isolation that details how to de-energise the various energy sources. The type or method of isolation (e.g., lock, release) required shall be covered by a generic process or a specific document. Critical equipment, such as critical alarms, emergency shutdown devices, fire, and gas detection devices (and other equipment deemed as critical energy and substance) shall have documented SWI's.

Compliance to OEM procedures shall be incorporated into the isolation processes to ensure the plant and equipment procedures are followed for warnings of hazardous energy control to the manufacturer's requirements.

Hazardous energy sources shall be positively isolated, and energy dissipated or controlled (stored, gravitational etc.) before work commences.

All isolations of energy shall include confirmation of effectiveness of a particular isolation method by a suitable test. Prior to the test all personnel in the vicinity of the equipment shall be removed.

### **Permit to Work**

A process shall be in place to isolate complex equipment, where there are multiple people working on the equipment and where the isolation is required to extend across several shifts.

The process shall cover the requirement of high-risk work that includes the management of multiple certificates.

Excavation and Penetration certificates shall be obtained prior to any excavation works. The certificate shall include the requirement to confirm location of; the use of a tool to detect; the isolation requirements of potential electrical cables/underground services (manual wand); and controls shall be applied to prevent collapse of an excavation.

### **Trained and competent personnel in isolation process.**

All isolations of energy shall be performed by persons trained and deemed competent to the level of isolation being performed.

All persons involved in lock out process shall be deemed competent to lock onto the isolation.

## **8.16 Health Monitoring**

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The Contractor shall establish and maintain a pre-employment and health surveillance program for all employees that is consistent with regulatory requirements and Operational health risks. All personnel shall be assessed and deemed fit for work prior to mobilisation. Reference shall be made to the Pre-employment Medical Procedure (100-PR-MM-0017) to ensure compliance to Fortescue's standards.

The Contractor shall ensure risk-based screening of personnel for substance abuse will be undertaken to minimise the risk of incidents and injuries related to the use of alcohol and drugs or the Contractor shall participate in Fortescue's Drug & Alcohol screening programs. This would be determined by local legislation.

Fatigue in the workplace shall be managed to minimise the risk of fatigue related incidents and injuries. Contractors shall develop fatigue management processes consistent with relevant industry standards and maintain and monitor the effectiveness of the fatigue management plan.

Documented and established procedures for managing fatigue requirements include.

- Records of all fatigue incidents and fatigue related injuries are recorded and maintained within an established database
- Establishment of appropriate sources of assistance for employees with fatigue problems
- Provision of appropriate education and training programs for all their employees on the site
- Established and appropriate fitness for work management procedures for fatigued employees

NOTE: Should a roster be assessed as having higher risks, other than night work, Fortescue will require a contractor to provide a management plan that details the additional controls in place to ensure the roster can be worked safely. Fortescue may require the contractor to seek an in-depth review of the roster and management plan to determine if the risk has been adequately controlled by an acceptable Fatigue Management Expert. Contractors may choose to access Fortescue facilities, for employee education, supervisor training, and Employee Assistance Program provision, as established in their contract.

Commercial drivers fatigue management requirements are met where applicable (e.g., training, assessment, medicals & monitoring).

## **8.17 Hazardous Materials & Dangerous Goods**

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For each classified hazardous material or dangerous good, the contractor shall complete a Hazardous Materials / Dangerous Goods Risk Assessment and ensure approval by Fortescue before any hazardous materials are brought to site.

A register of hazardous materials and Dangerous Goods shall be maintained (including quantities and storage locations) and shall be provided to Fortescue if required.

Personnel shall be trained in the use, storage and handling of hazardous materials/ dangerous goods and Safety Data Sheets for all classified substances/materials shall be readily available.

The purchase, transportation, storage, handling, use, disposal, and spill response of hazardous substances, including hydrocarbons, is in accordance with statutory requirements and also environmental obligations applicable to Fortescue.

### **Explosives Management**

Comply with all regulatory requirements with respect to transporting, storage, handling and use of explosives, where applicable.

All contractors shall ensure their employees understand the process required to evacuate all affected work areas and blast clearance zones prior to blasts and until an all clear is given.

Storage: Suitable area shall be planned for the safe storage of explosive, which has been designed, licenced, and maintained in accordance with legislation and Australian Standards.

Control: All personnel involved in the use, storage and handling of explosives shall be trained, assessed as competent and authorised in writing by the Senior Site Official or representative.

Blasts: All blasts shall be planned and designed to achieve the required outcome. Before the commencement of any blasting operation, an investigation of the site or area to be blasted shall be carried out. On the basis of that investigation, a blast management plan incorporating a risk assessment shall be prepared by a competent person. No blasting shall commence until the blast management plan has been authorised by the Senior Site Official or representative.

## **8.18 Permit to Work**

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A process shall be in place to isolate complex equipment, where there are multiple persons working on the equipment and where the isolation is required to extend across several shifts.

The process shall cover the requirement of high-risk work that includes the management of multiple certificates.

**The Contractor shall meet or exceed Fortescue's Permit to Work Procedure (100-PR-SA-1033) for all work requiring a Permit at a Mining Operation or Fortescue site.**

This procedure documents and establishes the process to be used as a minimum on all Fortescue sites. Each site must have additional approved work instructions where appropriate and a documented definition of the types of work that require high risk work certificate/s and a work permit.

Personnel must be deemed competent in the Permit to Work system with authorised roles (e.g., Permit Coordinator) completing routine refresher training. Permit Coordinator/Issuer and the Permit Holder shall not be the same person. Periodic management review and audit of permits shall be conducted.

Each permit issued shall:

- Have a Job Hazard Analysis completed and attached.
- Be displayed at a visible place at the worksite until the job is complete.
- Be valid only for the time limit specified on the permit (maximum of thirty (30) days).
- Include provisions for the transfer and relinquishing of a permit holder.
- Include defined responsibilities for handover of plant and equipment between operations and service providers.
- be closed or suspended prior to start-up of equipment.

## **9. OTHER DELIVERABLES**

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Depending on the Contractor Classification, The Contractor shall also submit the following documents for evaluation in support of/ alternatively to the Health and Safety Management Plan (HSMP).

### **9.1 HSES Self-Assessment Questionnaire (100-QE-CT-0001)**

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The Questionnaire allows the Contractor to assess and ensure that the Health and Safety Management Plan (HSMP) submitted for endorsement meets or exceeds Fortescue's Health and Safety requirements. The Contractor shall include descriptions and references to their Health and Safety Management System when completing the responses in the Questionnaire.

All section of the self-assessment must be completed. With areas of NA a comment must be available for assessment.

It is expected that the contractors HSEMP aligns with the minimum requirements and where required statements are made within the plan to reflect this procedure.

## **9.2 Contractor's Demonstrated Safety Performance Record (recorded in the HSES Questions for Contractors document)**

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Managed Onsite Contractors shall provide the current and past year's safety statistics in the HSES Questions for Contractors (100-FR-CT-00073). If the contractor has worked with Fortescue previously, the safety statistics will be validated against those recorded in BMS.

## **9.3 Contractor's Employee Turnover Record**

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Provide information on your company's employee turnover over. The turnover is declared by the contractor in the HSES Questions for Contractors (100-FR-CT-00073).

## **9.4 Contractor's HSE Support, Capability and Experience**

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The Contractor shall have a structure in place to ensure sufficient Health, Safety, Environment & Training support, and resources for the scope of work taking into consideration the size of the work group and complexity of work to be done. This may include Supervision, Health, Safety and/or Training resources. The Contractor will be asked to provide candidate CV's and evidence that contractor resources are suitably qualified and experienced in the provision of:

- Adequate onsite safety guidance, mentoring and supervision,
- Risk Management,
- Conducting audits and inspections,
- Incident reporting,
- Leading or participating in incident investigation,
- Leading Toolbox Talks and HSE meetings, etc.,

Information should also be provided on how a contracting company supports further training and competency for safety, health, and environment related topics, for example, Safety Leadership courses.

## **9.5 Risk Register**

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The Contractor shall have an up-to-date Risk Register as part of their Risk Management framework. The Risk Register shall be used for recording identified risks in work activities, unwanted events, relevant controls, and risk ranking associated with the scope of works. The document is to be developed by key personnel and signed off appropriately. We would consider for review a version that has been used for a previous similar work scope for another company. Upon award the documentation would need to be updated for Fortescue scope prior to mobilisation.

The Contractor shall ensure the Risk Register is reviewed and updated with information on new risks throughout the life of the Contract.

## **9.6 Training Needs Analysis or Matrix**

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The Contractor shall submit their training documentation as a minimum deliverable for approval in the Contractor Pre-qualification verification and evaluation. This documentation shall include either of the following:

- Training Needs Analysis – Identifying the necessary training, licenses and competencies required for specific roles within the organisation.

- Training Matrix – A complement to the training Needs Analysis and includes specific details of an individual's training (outlines mandatory and desirable requirements), licenses, competencies completed, or outstanding, Internal, and external training identified, and the Training Matrix should also be used to track validity and expiry periods
- A training matrix must be developed for the scope of works upon mobilisation of all site personnel.

We would consider for review a version that has been used for a previous similar work scope for another company. Upon award the documentation would need to be updated for Fortescue scope prior to mobilisation.

## **9.7 Contractor's Onboarding and Training Process**

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The Contractor shall have a documented program in place that details how a new worker is onboarded, trained and/ or mentored. This document should ideally provide information on how the Contractor shall track if a worker has completed the onboarding requirements such as.

- Medicals
- Training
- Verification of competency.

## **9.8 Assurance Plan**

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The Assurance Plan shall include an audit and inspection schedule, identified areas of assessment and the means for recording of significant audit findings.

We would consider for review a version that has been used for a previous similar work scope for another company. Upon award the documentation would need to be updated for Fortescue scope prior to mobilisation.

## **9.9 Injury Management Process**

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The Contractor shall have a documented process to follow in the event one of their employees is injured while working on a Fortescue site. As a minimum it should include:

- On and off-site management of an injured person (e.g., Supervisor escorts injured person to the medical facility or if offsite managed by injury coordinator).
- Details of the injury management coordinator or responsible injury management provider.
- Contact numbers on who to contact in a medical emergency.

## 10. MONITORING AND REVIEW

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**Table 2: Programmes and Schedules**

Monitor (Audit) and Review	Frequency	Responsibility
Procedure Review	3 yearly (or as and when required)	Health & Safety Specialist for Contractor Management

## 11. DOCUMENTATION AND RECORDS MANAGEMENT

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This Procedure and all supporting documents will be managed as per Fortescue Document Governance Standards.

The Health and Safety Specialist for Contractor Management is responsible for all records as described above are forwarded to Fortescue Document Control Department for retention and archive in accordance with the Fortescue Records Retention Manual.

The following documents should be read in conjunction with this procedure:

**Table 3: Policy, Standard, Work Instructions, Forms (Templates)**

Document ID	Title of Document
100-MA-SA-0004	Health and Safety Management System Manual
100-PR-CT-0001	HSES Contractor Management Procedure
100-QE-CT-0001	Contractor Management
100-FR-CT-0003	Vendor Tender HSES Assessment
100-FR- CT-0073	Questions for Contractors

## Appendix A: Key Performance Indicators

Where required to report on KPIs to Fortescue, the contractor shall include the following as applicable to their scope of works and Contract Agreement. Other KPIs may be specified for the Contract Agreement, and these shall also be reported on as required by the contract.

The below KPI are in the BMS KPI reporting module which is to be completed by the close of business on the 1<sup>st</sup> day of every month. Additional reporting fields are included in the BMS reporting module, these do not currently have a target, and this will be indicated in the module. The below targets are the minimum requirement for contractors however, sites may specify stretch targets.

Contractual Targets are set using 100-AU-CT-0011 and will vary according to negotiated terms and conditions.

# 2 – Leadership and Accountability	Target
Number of field leadership activities completed for the month per leader	8
Number of visits to a Fortescue Site from your senior management for the month per contractor	2
# 5 – Risk and Change Management	
How many hazards reports were submitted for the month per person	1
How many personal risk assessments completed during the month per person	1
How many new JSEA/ JHAs formulated	As required
How many JSEA/ JHAs reviewed/ updated	As required
How many SWIs reviewed/ updated for the month	As required
# 8 – HSES Communications, Consultation and Reporting	
Number of total workforces including sub-contractors that were included in toolbox talks for the month	100%
For the month the number of personnel working by role. <ul style="list-style-type: none"> <li>• Employees</li> <li>• Supervisors</li> <li>• Safety Representatives</li> <li>• Contractors</li> </ul>	
Number of employee turnover for the month (voluntary/ employer initiated)	
Number of Toolbox talks	Weekly
Number of Pre-start meetings	Daily
Number of Handover meetings	Daily
Number of Lessons Learnt shared with workforce	At least one weekly
# 14 – HSES Auditing & Inspections	
Number of corrective actions arising from inspections, meetings, hazard reports, audits etc. were completed within your scheduled timeframe during the month.	100%
Number of corrective actions arising from inspections, meetings, hazard reports, audits etc. were open at the end of the month.	
Number of corrective actions arising from inspections, meetings, hazard reports, audits etc. were overdue at the end of the month.	0%
Number of workplace inspection completed for the month per contractor	4
Number of Hygiene Surveys completed	As per site requirements
Number of Internal Audits completed for the month	As per Assurance Plan
Number of External Audits completed for the month	As per Assurance Plan

<b>KPI for Land and State Access Agreements</b>	
Number of Aboriginal Businesses involved in the Fortescue Agreement for the month	Refer to Contract
Number of Aboriginal employees directly involved in the Fortescue Agreement for the month	Refer to Contract
Number of Local Businesses involved in the Fortescue Agreement for the month (Local Business Definition; Has a permanent office and staff based in the local region)	Refer to Contract