

CONTRACTOR MANAGEMENT SYSTEM

Standard Operating Procedure

HSEQ MS Element 7 Compliance Procedure

Supplier and Contractor Management

Effective Date: 1/1/2021

Document Number: HSEQSOP07-001

Rev: 04

PURPOSE

This Standard Operating Procedure expands the requirements outlined in the Rio Tinto management system standard: Element 7 – Supplier and contractor management clauses 7.5 to 7.10 and The Group Procedure – (approved April 2015).

SCOPE

This SOP is triggered by the requirements of the Rio Tinto Group procedure and is mandatory for all managed businesses within the Rio Tinto Group whenever service providers are contracted on Rio Tinto's behalf to perform work at a Rio Tinto site / facility or on Rio Tinto owned, controlled or managed property.

GENERAL DESCRIPTION:

Processes for the management of contractors must follow a consistent approach across the Group that is aligned to *The Way We Work* and *The Procurement Principles*. Such processes must be in conformance with the Rio Tinto management system standard and applicable HSEQ performance standards.

Service providers play a key role in the Rio Tinto organization. HSEQ engagement and expectation setting with service providers are critical activities necessary to align the commitment of service providers and their employees and subcontractors to Rio Tinto's HSEQ vision and values.

This procedure specifies the mandatory requirements that must be met to ensure that effective controls are in place for the management of contractors and the HSEQ risks associated with the use of contractors are effectively managed.

TERMS & Definitions

The definitions for all technical terms within this document are located in the HSEQ definitions database. The HSEQ definitions database is found on the Rio Tinto Health, Safety, Environment and Communities intranet portal page.

- 1.1. Contractors must be classified into one of three relevant category types, based on the work being performed:

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- 1.1.1. **Category 1 contractors:** Individuals engaged on temporary contracts to work within existing operations that may be filling a role on a temporary basis which is normally filled by a Rio Tinto employee.
- 1.1.2. **Category 2 contractors:** Companies or individuals engaged for a discrete project which will be carried out in a designated area separate from existing operations.
- 1.1.3. **Category 3 contractors:** Companies or individuals engaged under contract to carry out specific tasks or provide specified services within existing operations areas.
- 1.1.4. RTK Companies are separated into tiers:
 - 1.1.4.1. Tier 1 – 10,000 man hours/year or costs > \$2M
 - 1.1.4.2. Tier 2 - 1,000-9,999 man hours or costs \$100K-\$2M
 - 1.1.4.3. Tier 3 - < 1,000 man hours or costs < 100K

Process Steps

2. Scope of Work

- 2.1. To ensure work is clearly understood, the task and outcome should be clearly defined.
- 2.2. Scope of work must contain the identified HSEC risks associated with the work to be performed and expected controls must meet the Rio Tinto standards and other requirements both legal and regulatory.
- 2.3. RTK Scope of work must be documented following the CMP guidelines.
 - 1.3.1 Contractor Management Process approved template will be used for all work and RTK.
 - 1.3.2 Short duration jobs under 2 weeks low risk the Pre-job Checklist will be completed and a risk assessment completed by the contractor to show competency.

3. Service provider capability assessment & selection

- 3.1. Businesses must have in place a documented process to support capability assessment of companies proposing to provide services to Rio Tinto. (eg. Pre-bid and or Master Service Agreement).
- 3.2. RTK uses a third party compliance company to collect pre-qualification information. The third party collects and tabulates the required information and provides an online summary report. The contractor's "Safety Approval" status is based on specific requirements defined by RTK.

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- 3.3. The assessment process must detail the extent of the qualification(s) required based on the work and the risk associated including:
- 3.3.1. Verification of the service provider's capabilities to perform the type of work desired through a review of HSEQ performance on projects of similar scale or work scope.
- 3.3.2. Verification that the service provider has a formal HSEQ system aligned to the intent of the Rio Tinto HSEQ standards.
- 3.3.3. Verification that the contractor meets all additional requirements specified by the contracting Rio Tinto product group, business or site.
- 3.4. Where deviations or exceptions from the assessment process are necessary, they must be approved and signed off by the General Manager accountable for the site.
- 3.4.1. The General Manager may authorize a non-approved contractor by completing RTK Safety, Health and Environmental Analysis [Pre-job Checklist](#) document to allow the exception.
- 3.4.2. The following chart is a summary and requirements that apply for each contractor type.

	Cat 1/De Drivers	CAT3	Comments
REQUIREMENTS	Temporary Replaceme Personnel	Contractor(s) inside existing operating areas	
Safety Stats		X	OSHA 300 Summary Logs
Insurance	x	X	General Liability, Workers Comp, Endorsement Waiver of Subrogation
Passport Online Training	x	X	Completed every 2 years
Site Specific Training		X	Completed yearly
MSHA Training	x	X	MSHA part 48 Training Requirements for Minerals Sites
I-9 and Background Checks	x	X	Documents must be signed
Drug Test	X	X	9 Panel
Card purchases	X	X	Contractor must purchase cards from third party

4. Assigned Leadership Roles and Responsibilities

The terms below are Rio Tinto Kennecott (RTK) terminology which rolls up to "Assigned Rio Tinto Leadership." RTK has chosen to utilize the various roles in the RTK organization to assist in managing the Contractor Management Process.

- 4.1. An appropriate business leaders must be identified for key service providers engaged by Rio Tinto. The leader is accountable for ensuring that:

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- 4.1.1. The service provider's HSEQ performance is acceptable with regard to the work to be undertaken.
- 4.1.2. The effectiveness of the service provider's HSEQ systems and processes in relation to the scope of work.
- 4.1.3. Expectations in relation to key performance indicators is defined and managed with the service provider.
- 4.1.4. Issues are documented and escalated as per the Contractor Management Process (Scoping, Planning and Executing Contract Work (CMP guidelines)).
- 4.1.5. Exception are defined as:
- 4.1.5.1. There is an emergency situation (a possible compromise in a safety related system, or there is an imminent shutdown situation which could result in significant loss in production) whereupon a contractor needs to be on-site in relatively short order.
- 4.1.5.2. Logistically because of extensive travel considerations, the contractor has access to all online training through the Third Party administering RTK compliance.
- 4.1.6. Pre-Job Checklist must be signed by the plant GM or designee for variance approvals. When requirements are not compliant for contractor companies the pre-job checklist must be signed by GM or their designee for site access.
- 4.2. **Designated Leader**
- 4.2.1.1. Appointed by the General Manager to provide in-field oversight of the work being undertaken by the contractor.
- 4.2.1.2. Tracks exposure hours/headcount and provides feed back to the Contract Owner on contractor performance.
- 4.2.1.3. Ensures that the Contractor Management Process is followed.
- 4.3. **Contract Sponsor** (must be GM or above for tier 1 contractor company's)
- 4.3.1.1. The person accountable for ensuring the contract/supplier aligns with the Group CM and PU/BU strategies.
- 4.3.1.2. Authorizing approved contractors for emergency work.
- 4.3.1.3. Approval of non-approved contractor(s) when qualified contractor(s) are not available to do the work.
- 4.3.1.4. The Permit to Work system is within compliance at their own facility:
- All personnel who operate or use the PTW are trained and competent.
 - An audit process is in place to ensure the system is functioning effectively.
- 4.4. **Contract Owners** (typically the relevant Manager)

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- 3.4.1 Compliance and implementation of the CMS requirements.
 - 3.4.2 Decision-maker on the agreement/scope of work for defining the external services requirements, scope quality and fit for purpose nature, assessing risks, approving budgets.
 - 3.4.3 Interacts closely with the CM Lead. Designated Leaders and Procurement.
 - 3.4.4 Acts as the escalation point for issues relating to the contract.
 - 3.4.5 Accountable for safe and effective of the work as per contract (walk the contract).
 - 3.4.6 Responsible for contract implementation
 - 3.4.7 Support of Designated Leaders across the end to end contractor management process.
- 4.5. **Designated Leader Support** (typically the relevant Superintendent)
- 4.5.1.1. Ensuring that the contractor an audit process that will ensure that the contractor carries out all safety duties in accordance with the contract and CMP guidelines.
 - 4.5.1.2. Where practical the work area is clearly demarcated.
 - 4.5.1.3. Ensuring a Permit to Work system is in compliance.
 - 4.5.1.4. Verify that the permits are available for inspection at the workplace.
 - 4.5.1.5. Monitoring the work to check compliance with the permit conditions
 - 4.5.1.6. Reporting and recording all contractor safety incidents, accidents, injuries and near miss incidents
 - 4.5.1.7. A copy of the contractor's accident investigation report must be submitted by the end of the shift.
 - 4.5.1.8. Reviewing the contractor's accident investigation report and completing a follow-up investigation. A copy of the completed accident investigation must be sent to the RTK Safety Department.
 - 4.5.1.9. Providing total man-hours worked for each contractor under his / her jurisdiction to the RTK Safety Department by the last day of each month.
- 4.6. **Rio Tinto Procurement**
- 4.6.1.1. Engaged by the PG/BU to utilize the groups buying power and manage risk in delivering commercial aspects of the CM process.
 - 4.6.1.2. Develops and executes sourcing strategy.
 - 4.6.1.3. Sources and recommends suppliers as per SoW and executes the contract.

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- 4.6.1.4. Implements the contract in partnership with the contract owners.
- 4.6.1.5. Ongoing administration of the P.O. process.

4.7. **The RTK Qualified Person (Permit to work)**

- 4.7.1 Must understand the area daily activities and hazards of the area.
- 4.7.2 Must be trained in the work permit process and permits.

4.8. **The Contractor** is responsible for running a safe job-site and for compliance with all provisions of this standard. The contractor is responsible for:

- 4.8.1.1. Preparing a Safety, Health, and Environmental Action Plan (SHEAP) addressing all issues identified in the Safety, Health, and Environmental Analysis (SHEA).
- 4.8.1.2. Require each employee to prepare Lifesaving commitments.
- 4.8.1.3. Conducting job specific training prior to beginning work that will include a review of the SHEAP and pre-job checklist. Verification that the training has been completed must be provided to the designated leaders.
- 4.8.1.4. Reporting immediately all accidents / injuries to the appropriate plant Communications / Control Center and to the RTK Supervisor, completing an accident investigation report and submitting a copy by the end of the shift.
- 4.8.1.5. Fully implementing the requirements of the Permit to Work System and ensuring that all employees receive and understand the Permit to Work training.
- 4.8.1.6. The contractor is responsible for maintaining all required regulatory records including hazard training, site-specific orientation, emergency procedure drills, all required medical examinations, substance abuse tests; respirator fit test, and all other MSHA / OSHA training as appropriate.

5. Mobilization & Engagement

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- 4.1 There must be agreement and purchase order confirmation by the service provider prior to mobilization that addresses the following elements:
- 4.1.1 HSEQ risk management details relevant to the scope of work e.g. SHEA / SHEAP and Risk Assessments.
 - 4.1.2 Approved Contractor Management Process book (CMP Process).
 - 4.1.3 Low Risk & short duration SoW's must complete the Pre-Job Checklist and risk assessment approval.
 - 4.1.4 Clearly define the resources needed to complete the scope of work and qualifications
 - 4.1.5 Details and confirmation of training and competencies required.
 - 4.1.5.1 The contractor has performed all required regulatory medical examinations and substance abuse tests and documents will be on-site for verification. Each employee listed has where required received a respirator fit test and all other MSHA / OSHA training. Documentation of this training must be available for verification.
 - 4.1.6 Where contractors are working in OSHA regulated areas (designated areas in the Smelter and Refinery) there must be a provision for medical surveillance and a written Compliance Plan (See OSHA Standards CFR 1910.1018 and 1910.1025). The Plan must:
 - 4.1.6.1** Establish a written program that includes engineering controls to reduce exposures.
 - 4.1.6.2** Contain monitoring data and be updated at least every 6 months.
- 4.2 Prior to the commencement of the scope of works on site the hazards and associated controls must be documented. The contractor(s) performing work must confirm their understanding and agreement to the following:
- 4.2.1 Review and signed copies of the CMP process
 - 4.2.2 Signatures acknowledging that all contractor personnel have reviewed the CMP completed template and understand the controls.
 - 4.2.3 Consideration made to:
 - 4.2.3.1 Critical Risk Management Process
 - 4.2.3.2 Process Safety hazards
 - 4.2.3.3 Contractor SHEAP and Risk Assessments reviewed and approved
- 4.3 During the execution of work a competent designated leader must be assigned to manage the contractor's work for conformance.

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- 4.4 The responsibility of the contractor leader must be defined and documented to include:
- 4.4.1 Contractor work is appropriately authorized in accordance with the scope of works e.g.: permit to work.
 - 4.4.2 Contractors receive appropriate training and induction.
 - 4.4.3 Contractor work areas are clearly defined (and where practicable demarcated).
 - 4.4.4 Contractor work is monitored for conformance.
 - 4.4.5 HSEQ incidents are reported, recorded and investigated.
 - 4.4.6 Accurate collection and reporting of contractor hours and headcount occurs in a timely manner as set by the business.
 - 4.4.7 Contractors receive feedback on their performance and this feedback is recorded in accordance Contractor MOS (5.1) and engagement plans.
- 4.5 There must be a process for reviewing and recording service provider HSEQ performance which includes:
- 4.5.1 HSEQ Compliance
 - 4.5.2 Quality of Work
 - 4.5.3 Schedule Conformance
 - 4.5.4 Communication
 - 4.5.5 Commercial Accuracy
 - 4.5.6 Business Improvement
 - 4.5.7 Provision for regular feedback to the service provider which recognizes good performance and highlights areas for improvement.
- 4.6 For service providers with contract(s) which exceed 12 continuous months HSEQ performance reviews must be conducted on an agreed basis annually
- 4.6.1 Documented review of updated CMP book
- 4.7 For contracts with less than a 12 month engagement or project specific agreements HSEQ performance reviews are to be conducted upon completion of the work or project.
- 4.7.1 Engagement Plan
- 4.8 HSEQ performance review information must be maintained and used in future qualification and selection processes within the business.

5 Service provider HSEC performance review

- 5.1 Contractor Management Operating System (MOS)
- 5.1.1 In-field verification evaluation of contractor behaviors.

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- 5.1.2 Mini-Kennecott One Page Analysis (KOPA) is a discussion of past and present performance and process to close gaps. Required are Contract Owner and Designated Leaders.
- 5.1.3 Expanded KOPA has 5 categories that will improve partnerships.
- 5.1.3.1 Safety
 - 5.1.3.2 Cost
 - 5.1.3.3 KPI Results
 - 5.1.3.4 Site Behavior
 - 5.1.3.5 System Behavior
- 5.1.4 Contractor MOS will be implemented with Tier 1 companies.

6 DELIVERY PERSONS

- 6.1 Individuals who are briefly on property to pick up or deliver materials. The extent of delivery persons' exposure to facility hazards varies. Comprehensive training is not required if there is no exposure to facility hazards. Delivery persons must receive hazard training commensurate to their exposure to hazards. In addition, they must be trained in the health and safety aspects and safe operating procedures of any machinery or equipment that they are required or allowed to operate while on mine property. (See RTK Delivery Driver Unloading Standard 14.4).

7 PURCHASING PROCEDURES

- 7.1 There must be a process to identify and evaluate risks associated with the planned procurement of materials, equipment, services, and labor. This must include an analysis of any downstream implications which may be impacted by the selection.
- 7.2 There must be a procedure, commensurate with the evaluated risk, for receiving, storing, dispatching and transporting of all equipment and materials and a process for evaluating a supplier's ability to provide material, equipment and/or services which meet defined specifications or design criteria. (RTK Safety and Health Standard 14.2 Purchasing Procedures)
- 7.3 This process must be supported by a procedure that specifies the criteria for supplier selection, evaluation and re-evaluation and the rejection of product(s) or material(s).
- 7.4 All materials, equipment, services and labor procured or supplied must meet the required specifications for the control of HSEQ risks associated with their intended use or activity. (Further detail on the procurement process is defined in Rio Tinto

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Procurement Principles)

- 7.5 An implemented approval system for purchasing materials will require generation of a material number. Materials which do not have an existing material number are considered to be unapproved and purchase of these materials must follow all requirements of RTK Safety and Health Standard 14.2 Purchasing Procedures.
- 7.6 There must be a register of hazardous materials that are approved for use onsite. This register must be maintained to control the purchase and introduction of new materials. All hazardous materials introduced by contractors or visitors must also be included on or evaluated against this register.
- 7.7 Vendors are prohibited from bringing trial or demonstration products which can compromise employee health and safety and / or generate any hazardous waste without the written approval from the RTK Health, Safety and Environmental departments. Trial product testing must only commence upon completion of a Health & Safety Risk Assessment and a MOC. Procurement personnel are not to issue material stock codes for test chemicals. Under no other circumstances is a chemical substance to be brought onsite without prior approval via this process. (See RTK Safety and Health Standard 14.2 Purchasing Procedures)

8 TRAINING

- 8.1 Before work begins on any contract, all contractor personnel must pass all online training; Passport every 2 years and site specific annually.
- 8.2 All contractor companies must assure RTK that they are in compliance with all regulatory training requirements for each worker by certifying that the training has been completed and that the required documentation is available upon demand.
- 8.3 **English Language Requirements** – All Contractor employees must be able to read and speak the English language sufficiently to allow them to:
- 8.3.1 Understand and comply with verbal and / or written safety requirements and instructions, and warning signs and labels.
- 8.3.2 Understand and be capable of executing emergency notification and emergency management procedures.
- 8.3.3 Bring to the attention of English speaking employees any unsafe conditions or actions.
- 8.3.4 Participate in and understand pre-task risk assessments and effectively participate in a RTK Quality Safety Interaction. (explain in English the work they are performing; the risks associated with the tasks and how those risks are being controlled)
- 8.4 **Exemption to English Language Requirement** – Non-English speaking (NES) Contractors may be allowed to perform work at RTK if they receive an exemption in accordance with the requirements of this paragraph. Exemptions may be

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requested when English speaking workers with the required skill set are not available through normal channels and the use of non-English speaking workers will not compromise HSE requirements.

- 8.5 **NES exemption request** - The RTK Designated Leader is responsible for requesting the exemption by completing a RTK Level 1 on-line Risk Assessment including all HSE aspects (i.e. number of people involved, number of bi-lingual employees required, exposures, safety controls etc.)
- 8.5.1 The NES exemption request must include the following:
- 8.5.1.1 Date / Plant / Location / Scope of Work
 - 8.5.1.2 Name of Contracting Company
 - 8.5.1.3 Name of NES Contractor/s
 - 8.5.1.4 Relevant language
 - 8.5.1.5 Proposed date / duration of tasks
 - 8.5.1.6 Verification of Minimum NES Safety Controls (attach documentation)
 - 8.5.1.7 Risk Assessment (Level 1)
- 8.6 **Minimum Non English Speaking (NES) Safety Controls.** As a minimum, the following NES safety controls must be applied to any NES Contractor working at RTK.
- 8.6.1 Training - The contractor must provide training to the NES contractor in the relevant non-English language including:
- 8.6.1.1 RTK Orientation information and all plant and task specific RTK and / or regulatory training.
 - 8.6.1.2 Validation of participant's knowledge will be demonstrated by achieving passing score on required test.
 - 8.6.1.3 Documentation to verify training must be available.
- 8.7 **Bi-lingual contractor employees** - There will be an adequate number of bi-lingual contractor employees assigned with the non-English speaking workers at all times, also bi-lingual HSE representatives may be a required full-time position depending on the job scope and Risk Assessment.
- 8.8 The exemption must be:
- 8.8.1 Completed and signed by the RTK Designated Leader;
 - 8.8.2 Reviewed and signed by a Plant Safety Advisor;
 - 8.8.3 Reviewed and approved by the Plant GM/M.

REFERENCES

KUC Safety and Health Standard 10.1, Hazard Communications
 KUC Safety and Health Standard 12.1 Visitors Policy
 KUC Safety and Health Standard 14.2 Purchasing Procedures
 KUC Safety and Health Standard 14.4 Delivery Driver Standard

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KUC Safety and Health Standard 16.2 Confined Space Entry
 KUC Safety and Health Standard 16.4 Cranes and Hoists
 KUC Safety and Health Standard 16.5 Aerial Lifts and Platforms
 KUC Safety and Health Standard 16.7 Scaffolds
 KUC Safety and Health Standard 16.12 Isolation
 KUC Safety and Health Standard 16.20 Fall Protection,
 KUC HSEC MS Element 11 Management of Change
 OSHA Standards CFR 1910.1018 and 1910.1025
 Rio Tinto HSEC MS Element 7 Supplier and Contractor Management
 RTK Contractor Management System (CMS) – Located on the RTK Intranet Website
 RTK SOP CMSSOP10018 Contractor Orientation Training

 Rio Tinto Contractor Management Work Cycle
 RTK Records Retention Schedule <http://RTKsites/RTKim/>

REVISION HISTORY

MOC#	Description of Change	Prepared By	Date
19753	Document creation to align with Rio Tinto HSEQ MS Element 7. The changes incorporate requirements from the existing KUC H&S Standard 14.1 which will be eliminated.	HSEQ MS Element 7 Champion and Custodians KUC Safety and Health Standards Committee	08 / 12
30409	RTK HSEQ Element 7 - Compliance Procedure Supplier and Contractor Management updated to meet Group Procedure Contractor Management (HSEC-C-02)	Contractor Management	10 / 15
30409	Requirement for Tool Check list has been removed to align with RTK Standard and Audit protocol	Contractor Management	10 / 15

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Exhibit A

RIO TINTO KENNECOTT

PERMIT TO WORK

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Originated By: (Print Name Below)	Qualified Person: (Print Name Below)	Qualified Person: (Signature Below)	Date and Time Issued:	AM PM
Equipment Number / Description:	Work Area / Specific Location:			
Lockout Box / Board:	Work Order / PO Number:			
Work Description:				
Contractor Name and Phone #:		Contractor Supervisor:		

PRE-JOB REVIEW

1. Has a visual inspection of the worksite been performed by a Qualified Person and the contractor or designated RTK maintenance personnel? NOTE: A visual inspection may be omitted based on the judgment of the Qualified Person if: - There is a formal risk assessment which shows that a visual inspection is not necessary, or - An initial visual worksite inspection was conducted with the personnel performing the work and the Qualified Person, there have been no significant changes in the worksite, and the job is routine or repetitive in nature.	<input type="checkbox"/> Yes	Not Required <input type="checkbox"/>
2. Has a conversation taken place about the hazards associated with the work prior to starting the work?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3. Did the Qualified Person and contractor personnel review the TRACK CARD prior to beginning the work?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4. Should a safety, health, and / or environmental representative be involved in this work?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If items 2 or 3 are marked "No" do not proceed with the work. Consult the appropriate Area Supervisor.

EMERGENCY NUMBERS (All incidents must be reported through the Plant emergency notification system)

<input type="checkbox"/> Mine 569-6211	<input type="checkbox"/> Copperton 569-6911	<input type="checkbox"/> Smelter 569-6499	<input type="checkbox"/> Refinery / MAP 569-6722	<input type="checkbox"/> Power Plant 569-6622	<input type="checkbox"/> Tailings 569-7911
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AREA – Check those that apply (Required to be completed before work begins)

Equipment Condition	Pressurization	Isolation	Electric Power	Preparation
<input type="checkbox"/> In service	<input type="checkbox"/> Pressurized	<input type="checkbox"/> Lock and Tag	<input type="checkbox"/> Breaker Locked Out	<input type="checkbox"/> Water Washed
<input type="checkbox"/> Out of Service	<input type="checkbox"/> Bleeds Open	<input type="checkbox"/> Block / Blind	<input type="checkbox"/> Fuses Removed	<input type="checkbox"/> N ₂ Purged
<input type="checkbox"/> Product in Line	<input type="checkbox"/> Vented	<input type="checkbox"/> Valve	<input type="checkbox"/> Grounded	<input type="checkbox"/> Steam Purged
<input type="checkbox"/> Drained	<input type="checkbox"/> Ventilation Required	<input type="checkbox"/> Other	<input type="checkbox"/> Other	<input type="checkbox"/> No Purge Required
<input type="checkbox"/> Other:	<input type="checkbox"/> Other or non-applicable	<input type="checkbox"/> Not Required	<input type="checkbox"/> Not Required	<input type="checkbox"/> Other:

POSSIBLE HAZARDS and PRECAUTIONS (Required precautions must be reviewed with workers before work begins)

<input type="checkbox"/> Hot Surfaces / Burns	<input type="checkbox"/> Carbon Dioxide	<input type="checkbox"/> Oxygen Depletion	<input type="checkbox"/> Barricade Area
<input type="checkbox"/> Toxic gases	<input type="checkbox"/> Hydrogen Sulfide Gas	<input type="checkbox"/> Oxygen Enrichment	<input type="checkbox"/> Proper Warning Signage
<input type="checkbox"/> Caustics	<input type="checkbox"/> Sulfur Dioxide Gas	<input type="checkbox"/> Radiation Device	<input type="checkbox"/> Fire Protection
<input type="checkbox"/> Acid	<input type="checkbox"/> Sulfur Trioxide Gas	<input type="checkbox"/> Pinch Points	<input type="checkbox"/> GFCI
<input type="checkbox"/> Regulated Process Dust	<input type="checkbox"/> Arsine Gas	<input type="checkbox"/> Avoid Skin Contact	<input type="checkbox"/> Arc Flash / Shock / Electrocution
<input type="checkbox"/> Trips / Falls / Slippery Surfaces	<input type="checkbox"/> Carbon Monoxide	<input type="checkbox"/> Steam	<input type="checkbox"/> Blasting
<input type="checkbox"/> Haul Roads Kress / Mine	<input type="checkbox"/> Ammonia Gas	<input type="checkbox"/> Access Road Condition	<input type="checkbox"/> High Voltage Trail Cable

Other known potential hazards not identified above: (describe)

REQUIRED PERMITS (To be completed before work begins)

<input type="checkbox"/> Confined Space	<input type="checkbox"/> Excavation	<input type="checkbox"/> Hot Work	<input type="checkbox"/> Personnel Hoisting
<input type="checkbox"/> Working at Heights	<input type="checkbox"/> Close Proximity	<input type="checkbox"/> Fire Protection Impairment	<input type="checkbox"/> Jumper
<input type="checkbox"/> Scaffold	<input type="checkbox"/> Crane Critical Lift	<input type="checkbox"/> Line Break	<input type="checkbox"/> Permit to Unload

ADDITIONAL PERSONAL PROTECTION EQUIPMENT REQUIREMENTS

<input type="checkbox"/> Chemical Resistant Clothing	<input type="checkbox"/> Heat Resistant Clothing	<input type="checkbox"/> Gloves	<input type="checkbox"/> Fall Protection
<input type="checkbox"/> Hearing Protection	<input type="checkbox"/> Goggles / Face Shields	<input type="checkbox"/> Respirator	<input type="checkbox"/> Coveralls, Sleeves / Hoods
<input type="checkbox"/> Other:			

WORKER REVIEW and ACCEPTANCE - I have been instructed as to the conditions of this permit and I am adequately trained to perform this work.

	Print Name	Signature	Date
1			
2			
3			
4			
5			

Note: If additional space is required for authorized personnel, an additional roster sheet may be attached to the permit.

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SHIFT CHANGE INSPECTION/ACCEPTANCE - Work conditions are at the date and time of issue. Contractor personnel must verify the conditions and apply designated safe guards for their own protection. RTK shall monitor the work site on a regular basis. If the permit extends to the next shift, it must be reevaluated at the work site for accuracy at the beginning of each shift. This permit is <u>void</u> if work or scope conditions change.						
Date	Shift	Time	Any Change in Conditions or Work Scope? ⁽¹⁾	Checklist	Contractor Acceptance <i>(Print Name and Sign)</i>	RTK Acceptance <i>(Print Name and Sign)</i>
		AM		<input type="checkbox"/> Area Demarcated <input type="checkbox"/> Permit Posted <input type="checkbox"/> Permit Compliance <input type="checkbox"/> No Incidents <input type="checkbox"/> Safety Improvements		
		PM				
		AM		<input type="checkbox"/> Area Demarcated <input type="checkbox"/> Permit Posted <input type="checkbox"/> Permit Compliance <input type="checkbox"/> No Incidents <input type="checkbox"/> Safety Improvements		
		PM				
WORK COMPLETION or CANCELLATION Have all isolation devices used for the work, including locks, tags, blanks, blocks, and other mechanisms of energy control been removed? YES <input type="checkbox"/> Have all materials and equipment used for the work been removed, and acceptable levels of housekeeping restored? YES <input type="checkbox"/>						
Completion or Cancellation Date:					Completion or Cancellation Time:	
If cancelled, provide reason:						
Contractor Acceptance Signature:						
Qualified Person Acceptance Signature:						

(Back of Permit)

Permit will be posted at work site until work is complete or a new permit is issued. This permit must be reviewed every shift or if a change in conditions or work scope has occurred. Expired permit must be sent to the Contract Administrator. The maximum duration of the permit is 24 hours.

If changes in conditions or work scope exist, then a permit must be reissued. A modified **SHEAP** and **Management of Change** may be applicable.

The purpose of the Permit to Work System is to:

- Provide for the proper authorization of contractor work and the identification of responsible personnel.
- Provide for a dialogue between the Qualified Person and contractor to make clear to the person(s) carrying out the job the hazards and risks involved and precautions to be taken to control the hazards and minimize risks.
- Ensure that the person responsible for an area of the facility is aware of all work being undertaken in their workplace.
- Assure that the equipment or system has been properly prepared for the corresponding task.
- Assure that operating personnel understand when the work is complete, the extent and effect of repairs, and that the repair is acceptable and safe for operation.

The Qualified Person who issues the permit will:

- Understand the scope of work and facilitate a dialogue to make clear to the person(s) carrying out the job, the hazards and risks involved and precautions to be taken to control the hazards and minimize their risks.
- Conduct a visual inspection of the work site with the contractor personnel unless there is a formal risk assessment in place which shows that a visual inspection is not necessary, or if an initial visual worksite inspection was conducted with the personnel performing the work and the Qualified Person, there have been no significant changes in the worksite, and the job is routine or repetitive in nature.
- Stress the requirement that the necessary precautions need to be implemented, including isolations, before the work begins.

CONTRACTOR MANAGEMENT SYSTEM

Standard Operating Procedure

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- Be trained and properly listed as a Qualified Person.
- Ensure all people who may be affected by the work are informed before the work begins, when the work is suspended and when the work is complete.
- Ensure effective arrangements are made for the worksite to be examined on completion of work and as appropriate when work is suspended.
- Ensure that communications are made to discuss all ongoing or suspended permits with the oncoming permit issuer.

Contractor Supervisors will ensure that:

- They have received training in the Permit to Work System and the people working for them have received adequate instruction on the system.
- Permit precautions are maintained throughout the work activity so that the worker understands that if circumstances change work must be stopped and advice sought.
- The workgroup stays within limitations set on the permit (physical boundaries, type of work and duration of permit).

Individuals working within the permit to Work System will ensure that:

- They do not start any work requiring a permit, until it has been properly authorized and issued.
- They have received instruction and have a good understanding of the permit to Work System at the workplace where the work is occurring.
- They do not start any work they suspect requires a permit, until it has been properly authorized and issued or confirmation gained that a permit is not required for the planned scope of work.
- They receive a briefing from the Qualified Person on the particular task and they understand the hazards and the precautions to be undertaken.
- On completion or suspension of work the site is left in a safe condition and the Qualified Person is informed.