

**Exhibit U. Complaint Resolution Plan and
Sample Notification Letter**

[DATE]

ADDRESS

Dear Property Owner or Tenant:

Republic Wind, LLC (“Republic”) is preparing to construct a wind farm on leased private land in Adams, Pleasant, Reed, Scipio and Thompson Townships (Seneca County) and Green Creek and York Townships (Sandusky County). The wind farm will consist of up to 58 wind turbine generators, along with access roads, electric collection cables, a substation, lay down yard(s), an operation and maintenance facility, and meteorological tower(s).

Please be assured that during work on the project described above, all applicable federal, state and local laws, regulations and ordinances will be fully adhered to.

Timeline for Construction of the Project

Construction of the Republic wind farm is expected to begin in the ____ quarter of 2018 and is scheduled to be in-service by the ____ quarter of 2019.

Restoration Activities:

Republic will restore any of your property which is disturbed to the state that it was in prior to Republic’s construction activities. Once the work is complete, restoration will begin as soon as weather permits.

Tenants

If you have tenants occupying this parcel, please advise them of this wind energy project.

Questions/Complaints:

Republic has a complaint resolution process. Should you have any questions concerning this project, please contact _____, at XXX-XXX-XXXX or [\[email address\]](#), who will communicate the information to the appropriate person to address the complaint. If you have a complaint during construction or restoration, your call will be returned in a timely manner. Please be aware that Republic will make every best effort to resolve issues pertaining to the project. A full description of the complaint process is found as an attachment to this letter.

Sincerely,

On behalf of Republic Wind, LLC

Republic Wind, LLC
Case No 17-2295-EL-BGN

Draft Complaint Resolution Plan

PURPOSE: To ensure that the wind farm does not make living conditions materially worse for residents of the community by implementing a transparent and effective complaint resolution plan that will address concerns or problems voiced by members of the community.

BACKGROUND: Republic is committed to ensuring that an accessible process is in place for community members to voice concerns and for those concerns to be addressed as quickly and effectively as possible.

Maintaining a detailed record of all complaints and the resolutions that follow is an important aspect of the complaint resolution plan.

POLICY: The policy of Republic is to take all reasonable necessary actions to rectify legitimate interference or disturbances that are a direct result of the wind farm facilities. Where reasonable actions are implemented but do not minimize the interference or disturbance, Republic will compensate the impacted resident by entering into an agreement with the impacted resident that will provide annual compensation for the life of the wind farm project.

PROCEDURE:

- 1.) Republic will establish an 800-phone number prior to the wind farm being commercially operational and will ensure that the phone number is provided to the county commissioners, township trustees, emergency responders, the schools, and public libraries within the project area. A resident who has a complaint about the wind farm may either call the 800# and leave a message 24 hours a day or go to the Operations and Maintenance Facility [or local office ---give address, phone number, e-mail] for the wind farm during regular business hours to register a complaint.
- 2.) Republic will be responsible for keeping a logbook, which registers every complaint that is received. The logbook will contain all pertinent information about the person making the complaint, the issues surrounding the complaint and the date that the complaint was received. The logbook will also contain the resolution that Republic suggests, the date the complaining party agreed to the proposed resolution and the date when the proposed resolution was implemented. Republic personnel will generate a quarterly report based on the information recorded in the log book about the nature and resolution of all complaints received in that quarter and file the report with the Ohio Power Siting Board on the following date of each year (April 15th, July 15th, October. 15th and January 15th).

- 3.) Residents who register a complaint with Republic will receive correspondence from the company no later than 48 hours after registering the complaint. The intent of the initial correspondence is to garner more information from the individual's complaint. Within 30 days of the complaint being received Republic will initiate reasonable action to resolve the legitimate interference or disturbance that is a direct result of the wind farm facility.
- 4.) If Republic and the complaining resident cannot agree to a resolution proposed by Republic or one negotiated with the complaining resident, Republic will provide a summary of the complaint and proposed resolution to the complaining resident so that the resident may bring the complaint to the Ohio Power Siting Board.

DRAFT

Exhibit V. Aviation Correspondence

Michael Matesick
Bandit Field Airdrome
6610 Township Line Road
Green Springs, OH 44836

Dear Sir:

In accordance with the rules of the Ohio Power Siting Board, Ohio Administrative Code Rule 4906-4-07 (E)(1), Republic Wind, LLC (Republic) is sending you this letter as a representative of Bandit Field Airdrome, located within five miles of it proposed project. The wind project will consist of up approximately 58 wind turbine generators, along with access roads, electric collection cables, a substation, a laydown yard for construction staging, an operations and maintenance (O&M) facility, and up to two meteorological towers. It will be located on approximately 35,000 acres of private land in Adams, Pleasant, Reed, Scipio, and Thompson Townships (Seneca County) and Green Creek and York Townships (Sandusky County).

Your airport is located within a 5-mile radius of the project area and thus we notifying you. We do not anticipate that the wind project will have any adverse effect on your airport. The project will comply with all Federal Aviation Administration rules and any applicable state rules.

If you would like additional information, please contact John Arehart, of Apex Clean Energy.

john.arehart@apexcleanenergy.com
434-220-6122

Very truly yours,

A handwritten signature in black ink, appearing to read 'Dalton Carr', with a stylized flourish at the end.

Dalton Carr

Bruce Schrader
Sandusky County Regional Airport
1500 County Road 220
Clyde, OH 43410

Dear Sir:

In accordance with the rules of the Ohio Power Siting Board, Ohio Administrative Code Rule 4906-4-07 (E)(1), Republic Wind, LLC (Republic) is sending you this letter as a representative of Sandusky County Regional Airport, located within five miles of it proposed project. The wind project will consist of up approximately 58 wind turbine generators, along with access roads, electric collection cables, a substation, a laydown yard for construction staging, an operations and maintenance (O&M) facility, and up to two meteorological towers. It will be located on approximately 35,000 acres of private land in Adams, Pleasant, Reed, Scipio, and Thompson Townships (Seneca County) and Green Creek and York Townships (Sandusky County).

Your airport is located within a 5-mile radius of the project area and thus we notifying you. We do not anticipate that the wind project will have any adverse effect on your airport. The project will comply with all Federal Aviation Administration rules and any applicable state rules.

If you would like additional information, please contact John Arehart, of Apex Clean Energy.

john.arehart@apexcleanenergy.com
434-220-6122

Very truly yours,

A handwritten signature in black ink, appearing to read 'D. Carr', with a stylized flourish at the end.

Dalton Carr

Sara Stebbins

From: noreply@faa.gov
Sent: Tuesday, November 21, 2017 2:54 PM
To: Dylan Fraser; John Arehart III
Subject: Status of FAA Filing

Your filing is assigned Aeronautical Study Number(s) (ASN): 2017-WTE-9117-OE, 2017-WTE-9118-OE, 2017-WTE-9119-OE, 2017-WTE-9120-OE, 2017-WTE-9121-OE, 2017-WTE-9122-OE, 2017-WTE-9123-OE, 2017-WTE-9124-OE, 2017-WTE-9125-OE, 2017-WTE-9126-OE, 2017-WTE-9127-OE, 2017-WTE-9128-OE, 2017-WTE-9129-OE, 2017-WTE-9130-OE, 2017-WTE-9131-OE, 2017-WTE-9132-OE, 2017-WTE-9133-OE, 2017-WTE-9134-OE, 2017-WTE-9135-OE, 2017-WTE-9136-OE, 2017-WTE-9137-OE, 2017-WTE-9138-OE, 2017-WTE-9139-OE, 2017-WTE-9140-OE, 2017-WTE-9141-OE, 2017-WTE-9142-OE, 2017-WTE-9143-OE, 2017-WTE-9144-OE, 2017-WTE-9145-OE, 2017-WTE-9146-OE, 2017-WTE-9147-OE, 2017-WTE-9148-OE, 2017-WTE-9149-OE, 2017-WTE-9150-OE, 2017-WTE-9151-OE, 2017-WTE-9152-OE, 2017-WTE-9153-OE, 2017-WTE-9154-OE, 2017-WTE-9155-OE, 2017-WTE-9156-OE, 2017-WTE-9157-OE, 2017-WTE-9158-OE, 2017-WTE-9159-OE, 2017-WTE-9160-OE, 2017-WTE-9161-OE, 2017-WTE-9162-OE, 2017-WTE-9163-OE, 2017-WTE-9164-OE, 2017-WTE-9165-OE, 2017-WTE-9166-OE, 2017-WTE-9167-OE, 2017-WTE-9168-OE, 2017-WTE-9169-OE, 2017-WTE-9170-OE, 2017-WTE-9171-OE, 2017-WTE-9172-OE, 2017-WTE-9173-OE, 2017-WTE-9174-OE.

To review your electronic record, go to our website oeaaa.faa.gov <<http://oeaaa.faa.gov>> and select the Search Archives link to locate your case using the assigned Aeronautical Study Number (ASN). Copies of your letter are available on the website for your convenience.

The FAA verified your filing and an aeronautical study has been initiated. Please allow a minimum 45 days for the FAA to complete the study. Please refer to the assigned ASN on all future inquiries regarding this filing.

For Wind Turbine proposals only, please ensure Wind Turbine Data as described on the project summary page in your registered e-filing account has been uploaded to your filing.

To ensure e-mail notifications are delivered to your inbox please add noreply@faa.gov to your address book. Notifications sent from this address are system generated FAA e-mails and replies to this address will NOT be read or forwarded for review. Each system generated e-mail will contain specific FAA contact information in the text of the message.



Federal Aviation
Administration

The OE/AAA site will be taken down tonight 01/09/18 at 9PM ET for approximately 30 minutes for scheduled maintenance.

<< OE/AAA

My Sponsors Active Cases


Records 1 to 153 of 153

Page 1 of 1

Update Sponsor	Project Name	Structure Name	ASN	Status	Date Accepted	Date Determined	City	State
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**Exhibit X. Health and Safety Policy and
Facility Safety Manual**

	Health and Safety Management System	OHSAS 18001
OHS-001	Date: 6/15/17	Occupational Health and Safety Policy

OCCUPATIONAL HEALTH AND SAFETY POLICY

OH&S POLICY

Apex's Occupational Health and Safety Policy is to prevent injury and ill health to our workforce and to continually improve the performance of the OH&S management system, while complying with applicable legal and other requirements.

To this end:

- All supervisors are responsible for ensuring that their employees are trained in approved work procedures to obtain optimal output without accidents and injuries and to ensure that employees follow safe work methods and related regulations.
- All personnel are required to support the OH&S program and make health and safety a part of their daily routine and to ensure that they are following safe work methods.
- All personnel will be held accountable for implementing the OH&S program.
- All relevant laws and regulations are incorporated into our program.

OH&S OBJECTIVE

By continually improving the Occupational Health and Safety Management System, Apex is committed to excellence in health and safety performance that comply consistently with current legislation and regulations, at the best possible cost and delivered on a timely basis.

CORPORATE MISSION

The mission of Apex is to be best-in-class in wind development, construction management, asset management, and operations and maintenance services to the renewable energy industry. We support the empowerment of the workforce and the utilization of a safe workplace—resulting in competitive and innovative quality services for customers—while providing a healthy work environment and creating a positive long-term social, cultural, and economic benefit for the region and its people, employees, customers, suppliers, and stakeholders.

Apex is responsible to the communities in which we work to support and promote a healthy and safe environment. We support the responsible stewardship of human resources in the workplace, where, combined with a continual improvement process, we can make possible sustained economic development and an improved quality of life.

We are committed to “A SAFE AND HEALTHY WORKPLACE”

President and CEO:



Date: 6/15/17




APEX
CLEAN ENERGY

Facility Safety Manual

Date 1/1/2017

Apex Clean Energy, Inc.
310 4th Street NE, Suite 200
Charlottesville, VA 22902

<p align="center">Acknowledgement of Receipt Safety Manual Compliance Statement</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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PLEASE READ, SIGN, and DATE AND RETURN THIS SHEET to the Apex Clean Energy Facility Manager.

This is to acknowledge that I have received a copy of the Apex Clean Energy Facility Safety Manual, which is dated August 6, 2015, and which supersedes all prior documents of its kind. I understand that it contains important information on the general safety policies of the Company and on my privileges and obligations as a person working at this facility.

I will familiarize myself with the material in the Facility Safety Manual and understand that I am governed by its contents. I further understand that the Company may change, rescind or add to any policies, benefits, or practices described in the manual from time to time in its sole and absolute discretion with or without prior notice. I further understand that neither this Facility Safety Manual nor any other communication by a management representative is intended to in any way create a contract of employment, either express or implied.


I agree to keep this document in my possession at my Apex Clean Energy work site at all times, knowing that site personnel may be called into meetings at which revision pages will be issued and must be inserted therein. I further agree that I will not allow any portion of this document to be photocopied by or for anyone without written approval other than Apex Clean Energy site personnel or OSHA or other government personnel. And, I further agree to return the entire document at the time of permanent departure from the facility.

Site Personnel Signature

Date

Print Name

Company and Site Personnel Number

<p align="center">Acknowledgement of Receipt Safety Manual Compliance Statement</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Facility Safety and Health Policy

Site personnel safety and health have always been a number one priority for Apex Clean Energy. We are committed to providing a safe and healthful work environment for all our site personnel. However, safety and health in the workplace needs to be everyone's responsibility, and is accomplished only through the cooperation of all site personnel.

The Facility Safety Manual

In developing our Facility Safety Manual, Apex Clean Energy utilized the guides to workplace safety and Fed OSHA Compliance that were modeled after publications issued by the California Chamber of Commerce (e.g., Fed OSHA Handbook, Hazard Communication Handbook, SB198 Handbook, Community Right-To-Know, Hazardous Waste Management, Proposition 65 Compliance). Apex Clean Energy will always adhere to the most stringent of safety policies and procedures and regulations. In any case where a safety-related policy, procedure, or regulation of a given state where a project is located is found to be more stringent than in this manual, the most stringent policy or procedure will be enforced.

Every person is issued a copy of the Facility Safety Manual for his/her facility. Each Facility Safety Manual includes the following detailed documentation:

- Illness and Injury Prevention Program (IIPP)
- Fire Prevention Program
- Hazard Communication Program
- Emergency Action Plan specific to the individual Apex Clean Energy facility
- Policies and procedures specific to the individual Apex Clean Energy facility


Our Safety-Related Organization

VP of Asset Management/Director of Operations: Under the authority of the Company CEO, this individual implements and has approval authority over the Company safety programs.

Facility Manager: A Facility Manager is established at each facility to maintain and ensure that our safety programs are adhered to. This person also has clerical responsibilities related to safety at each facility. The Facility Manager is someone from middle or upper management.


Safety Manager: The Safety Manager is established to oversee safety procedures and ensure programs are followed and periodically updated to make certain personnel are safe of any potential harmful situation.

Safety Committees: Facilities with sufficient site personnel bases form safety committees, which comprise the Facility Manager, a Safety Administrator and/or Human Resources representative, and a minimum of five site personnel. Smaller facilities utilize their regular periodic safety meetings as the venue for all site personnel to address safety issues.

<p align="center">Acknowledgement of Receipt Safety Manual Compliance Statement</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Revision History

REVISION NO.	DATE	ORIGINATOR	COMMENTS


<p align="center">Acknowledgement of Receipt Safety Manual Compliance Statement</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Management Responsibilities

1. Legally complying with all applicable State/Federal Occupational Safety Health regulations and complying with all other applicable federal, state, and local regulations covering our activities.
2. Being familiar with all applicable legal regulations related to site personnel safety and notify our affected key site personnel of those regulations, while also facilitating the required training to ensure proper compliance of those regulations.
3. Developing and implementing safety rules designated for the protection of our site personnel and facilities.
4. Demonstrating a positive attitude and set the example for accident prevention.
5. Measuring key site personnel for both production and safety achievement, and to recognize personnel accordingly.
6. Developing company safety policies and activities for implementation, and to provide training when such changes are implemented to ensure understanding and compliance of such policies and activities.
7. Providing Site Personnel a Safety Manual and ensure all Site Personnel understand our company safety policies.
8. Monitoring the overall accident prevention activities.

Facility Manager Responsibilities


1. Being held accountable for all accidents on their facility or under their supervision.
2. Setting the proper example for workers to follow by adhering to company safety policies, procedures, and initiatives.
3. Being responsible at all times to see that work is performed in a safe manner and that safety rules, regulations, and instructions are complied with. Good supervision is the art of getting our people to do safe and productive work.
4. Taking disciplinary action when necessary to enforce safety rules and practices.
5. Being responsible for ensuring that service providers are offering orientation to all their new site personnel/subs on all safety aspects of the job and on the proper method of performing their jobs.
6. Being responsible for the inspection of the work areas and all equipment. Site personnel shall give prompt attention to needed repairs and to safety suggestions and will submit a written list of all deficiencies for correction.
7. Not permitting the use of intoxicating beverages on the job or allowing on the job any site personnel under the influence of alcohol, drugs, or barbiturates.

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8. Being responsible for ensuring that all personal injury accidents and property damage accidents are investigated and reported to the office.
9. Determining that needed first-aid, safety equipment, and protective devices are provided wherever necessary.
10. Taking prompt corrective action wherever unsafe conditions and unsafe acts are noted or reported.
11. Seeing that emergency first-aid and hospital phone numbers are readily available at each location.
12. Being aware of emergency action response plans and procedures.

Operations Expectations

1. **Leadership Commitment:** Managers are expected to fully commit to the vision and high ethical standards of the company. By providing a positive, trusting, respectful and disciplined environment for all. Work for the benefit of the company. Managers are expected to maintain a coaching and leading by example environment. Expectations shall be clearly communicated and everyone held accountable. Leaders are good stewards for all the stakeholders (Company, Partners, Employees, Environment, Landowners, Customers and Contractors)
2. **Safety:** Safety will always remain the first priority in the company to protect our most valued resource, our people. Managers shall actively engage and fully support Apex Clean Energy's safety program.
3. **Housekeeping:** Housekeeping is the cornerstone of a highly disciplined and well-managed company. Each site shall have an active housekeeping program at all times.
4. **Procedures and Policies:** Managers shall maintain a procedure driven organization. Managers shall be committed to following, creating and improving policies and procedures for the betterment of the organization. Procedures shall be updated to include lessons learned and continuous improvements. All current Apex Clean Energy Policies shall be posted and referenced on SharePoint.
5. **Regulatory Compliance:** Managers shall proactively manage and support the regulatory compliance process provided by the company.
6. **Open Door Policy:** Managers shall maintain an Open Door Policy and assure this is communicated to all employees. Employees should have assurance that they are working in an environment of fairness and respect for all. Employees should have the opportunity to express grievances and issues without the fear of retaliation.
7. **Disciplined Organization (Procedures, Training and Accountability):** A Disciplined Organization is defined as an organization that has:
 - a) Procedures
 - b) Training

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c) Accountability

Procedures and Training are essential to ensuring employees are accountable.

8. **Equipment Integrity:** Managers shall assure that equipment is operated and maintained as designed and not compromised.
9. **Management of Change:** Changing the design of any operating system shall require the documented approval of a “competent person” including but not limited to Engineering, the equipment manufacturer and the final approval of the VP OF ASSET MANAGEMENT/DIRECTOR OF OPERATIONS of Operations.


Operations Fundamentals

1. **Annual Budget:** Facility Manager is responsible for providing a reasonable estimated cost to manage the wind farm with supporting documentation and take ownership of the budget process. Facility Managers are responsible to bring forward any budget or funding issues.
2. **Computerized Maintenance Management System:** Compliance with the company CMMS is mandatory. Facility Managers shall take ownership of this system and demonstrate compliance.
3. **Annual and Semi-Annual Scheduled Maintenance:** Facility Managers shall develop an annual scheduled maintenance plan for all equipment and systems. OEM procedures, regulatory compliance and industry best practices shall be the basis for this plan. Reporting monthly progress compared to these plans is mandatory.
4. **Daily Work Schedule:** Facility Managers shall assure their plants follow a disciplined consistent work schedule for both planned and unplanned maintenance.
5. **Managing Availability:** Facility Managers are responsible and accountable for controlled wind farm availability. Assuring funds, spare parts, labor and resources are available is the responsibility of the Facility Manager.
6. **Lubrication Plan:** Facility Managers are responsible to assure their wind farm has and actively managed Lubrication Plan and is a part of the scheduled maintenance program.
7. **Site Audits:** Facility Managers shall implement a site audit and quality assurance program to assure safe operations, equipment integrity and regulatory compliance are maintained.

<p style="text-align: center;">Site Personnel Responsibilities</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 9/06/15</p>	
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All site personnel shall give their wholehearted and genuine cooperation to all aspects of safety and health, including compliance with all policies and procedures, and continuously and conscientiously perform their duties in a safe and healthful manner.

All are responsible for inspecting their own workplace, on a daily basis, and for promptly reporting any unsafe or unhealthful condition to their immediate supervisor. If an unsafe or unhealthful condition may be easily corrected by the site personnel without risk of injury, the site personnel may do so and later report such corrective measures to his/her supervisor.

<p align="center">Compliance Standards and Guidelines</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 07/02/15</p>	
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Occupational Safety and Health Administration (OSHA)

1910.38	Emergency Action Plan
1910.39	Fire Prevention Plan
1910.133	Eye and Face protection
1910.135	Head Protection
1910.136	Foot Protection
1910.137	Electrical Protective Equipment
1910.146	Permit Required Confined Space
1910.147	The Control of Hazardous Energy
1910.151	Medical Services and First Aid
1910.176	Material Handling
1910.269	Electrical Power Generation, Transmission, and Distribution
1910 Subpart D	Walking Working Surfaces
1910 Subpart Q	Welding, Cutting, and Brazing
1910.1200	Hazardous Communication
1910.1030	Bloodborne Pathogens
1926.501	Duty to Have Fall Protection

IKEA

IWAY Standard

National Fire Protection Association (NFPA)

NFPA 70E	Standards for Electrical Safety in the Workplace
NFPA 1670	Standards for Technical Rescue


Apex Health and Safety Program

Apex Corporate Health and Safety Program

Apex Forms Index

Apex Operating Procedures

American National Standards Institute (ANSI)

<p align="center">Employee Safety Committee Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Purpose

To enhance Apex Energy's Environmental, Health, and Safety-related program by bringing together a team with various aspects of wind turbine expertise.


Roles and Responsibilities

Health and Safety Manager

- Provide task force leaders with safety issues that need to be enhanced or changed.
- Provide leadership during safety incidents and/or accidents.
- Provide team with regulatory changes, requirements, and challenges.
- Set goals and timelines for team initiatives.

Safety Committee Leaders

- Provide expertise of various wind turbine technology.
- Conduct accident investigation, root cause analysis, and corrective actions.
- Being a safety leader.
- Provide solutions and innovation for Environmental, Health, and Safety Program.


<p style="text-align: center;">Workplace Hazards Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Identification of any workplace hazard is the centerpiece of the Company's IIPP. It is critical that site personnel feel free to raise issues regarding workplace health or safety to any member of management, at any time.

An initial inspection shall be conducted by the Facility Manager at the time the IIPP is initially implemented. Thereafter, inspections shall be conducted promptly upon the occurrence of either of the following:

1. Whenever new substances, processes, procedures, or equipment are introduced to the workplace which represent a new workplace hazard.
2. Whenever the Company is made aware of any new or previously unrecognized hazard.
3. Whenever a person raises an issue regarding workplace health or safety. This may be done using the Safety Suggestion/Report of Unsafe Workplace Condition.
4. Whenever any person is involved in any workplace accident, injury, or illness, the site personnel supervisor and the Facility Manager shall fully investigate the accident or injury, which investigation shall include an inspection of the site personnel's work area. (Refer to §H – ACCIDENTS.)

The Facility Manager shall schedule periodic inspections for each of the various work areas of our facility. The frequency of these inspections depends upon the potential health or safety risk to the site personnel; at a minimum, inspections will be performed on the periodic basis that is listed on the facility's IIPP Written Confirmation Form. The Facility Manager shall coordinate and schedule all inspections. Periodic inspections and corrective action shall be documented on the Safety Inspection and Correction Report (and maintained by the Facility Manager). Any site personnel may review these forms upon request to the Facility Manager.

<p style="text-align: center;">Safety Inspections Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Formal periodic safety inspections are part of a mandatory accident prevention program. Safety inspections are a formal review of the work environment conducted to identify physical conditions or site personnel actions that may result in site personnel injuries or illness. Safety inspections are documented on a Safety Inspection and Correction Report. The desired result is to make changes in the work environment or site personnel behavior prior to an accident occurring.

1. The inspection process provides a means to review the work processes performed by the site personnel to determine if the workers are effectively following the safety requirements of their work.
2. Inspections are performed to assist in the effective control of loss producing activity. The more likelihood of a severe injury occurring or probability of a high frequency of minor injuries occurring would require a higher frequency of inspection.
3. When the inspection process identifies substandard items, corrective action must be forthcoming or the credibility of the safety effort may come into question.
4. Inspections allow for the general review of operations to determine the effectiveness of the overall safety system. High numbers of substandard conditions or practices may be symptomatic of the need for management action.


Upon the identification of any workplace hazard, corrective action is generally taken in one or more of the following areas:

- *Physical Redesign of the Work Station:* This is the preferred method, since it is designed to quickly, efficiently, and permanently remove the hazard from the workplace.
- *Training:* Once a safety job procedure has been established, site personnel shall be trained in the safe and proper method to perform the job. This method shall also be used whenever the personnel's supervisor or the Facility Manager determines that common, repetitive, or serious workplace hazards require special site personnel training. Supervisors have the responsibility to monitor site personnel compliance with the training methods provided to the site personnel.
- *Administrative Control:* This method is designed to minimize the amount of time an site personnel is exposed to a workplace hazard, either through job rotation or other means.
- *Safety Equipment and Apparel:* It is vital that site personnel use all appropriate safety equipment, when required by management. Such equipment includes, but is not limited to, hearing protection devices, hardened or steel toed safety shoes, hard hats, safety glasses, or other protective safety equipment or apparel. Not all such equipment or apparel is appropriate for each and every job. All site personnel will receive instructions from their supervisor regarding the safety apparel appropriate to the site personnel's particular job assignments.

Any corrective action shall be taken as quickly as possible. In this regard, special consideration shall be given to the severity of the hazard, the severity of any illness or injury which may have arisen as a result of the hazard, and the potential risk of future illness or injury to site personnel.

<p align="center">Safety Inspections Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Management, working through its project and regional managers, has the overall authority to direct corrective action under this IIPP. No person has any authority to alter, modify, or deviate from any of the Company's established policies, procedures, or practices without the express prior approval of management.

<p style="text-align: center;">Safety Training Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 09/06/15</p>	
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Safety

It is the Company's policy to provide or to have provided by our contractors training in the following areas:

1. General safety training and orientation to all site personnel at the time the IIPP is initially implemented.
2. General safety training and orientation to all new site personnel, prior to the commencement of job assignments.
3. Special training on safe methods to perform particular job assignments.
4. Special training for site personnel who may work with hazardous materials, machinery, or equipment.
5. Special training on the use of any safety equipment or apparel specific to the site personnel job assignments.
6. Special training for site personnel transferred or reassigned to new job assignments which require working with hazardous materials, machinery or equipment.
7. Periodic training on specific hazard topics in the form of company safety meetings (monthly for field personnel or quarterly for office personnel).
8. An explanation of the company's IIPP and general safety policies and procedures.
9. The requirement that all site personnel must immediately report all injuries or illnesses relating to the job.
10. The requirement that site personnel immediately report all workplace hazards to their supervisor and the Facility Manager.
11. The availability of procedures to anonymously report any workplace hazards.
12. A clear statement that no person should attempt to do a job that appears to be unsafe.

<p style="text-align: center;">Accident Reporting Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 9/06/15</p>	
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General Requirements

Failure of any site personnel to adhere to the following procedures may result in immediate or progressive disciplinary action, up to and including termination of employment and permanent removal from site.

Definition of “Accident”: Any unplanned occurrence resulting in illness, injury, or material damage.


Notes

At facilities where there are no “Supervisors” per se, then the Facility Manager assumes the Supervisor’s responsibilities listed below.

- Any accident must be reported immediately to an appropriate supervisor by the involved site personnel(s). In turn, the supervisor must immediately notify the Apex Facility Manager, Safety Manager, and VP of Asset Management/Director of Operations.
- An initial Accident Report must be completed and submitted to the Facility Manager on the day of the accident, without regard to nature of illness or injury, need for medical treatment, or extent of material damage.
- All involved site personnel and witnesses must each complete a on the day of the incident. If any site personnel is physically or mentally unable to complete the form at the time of the incident, he will be required to complete the form as soon as he is able to do so. The site personnel’s work partner or witness will still be required to complete the form at the time of the incident.
- In the event that an accident results in an injury requiring medical treatment, or causes material damage reasonably estimated by Apex Clean Energy to cost in excess of \$500.00 to repair or replace, all site personnel involved in the accident will be required to submit to a post-accident urine drug screen and a breath alcohol test.
- Throughout this document, the terms “he,” “his,” or “him” are used generically and are not to be construed as being gender-specific.

Accidents Involving Personal Injury

Notifications to the supervisor and Safety Manager John Boyle must be made immediately: (219) 771-9534.

<p style="text-align: center;">Safety Communications Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 8/03/15</p>	
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A copy of this IIPP shall be issued to all current and newly hired site personnel. If they have any questions or comments regarding this IIPP, site personnel should feel free to speak to their supervisor, the Facility Manager or any member of management.

It is our Company's policy that there be open, two-way communication between management and site personnel regarding all issues relating to workplace health or safety. The Facility Manager serves as a liaison between site personnel and management by: (1) bringing to the attention of management all identified workplace hazards and recommended corrective action; and, (2) bringing to the attention of site personnel all recognized workplace hazards an appropriate corrective action. The Facility Manager shall periodically issue written bulletins to site personnel pertaining to workplace health and safety issues which may, from time to time, arise.

Site personnel are encouraged to communicate any issues relating to workplace health or safety using any of the means described in this IIPP. No personnel shall suffer any retaliation by reason of the site personnel raising any health or safety issue under the procedures outline in this IIPP. However, nothing contained in this IIPP shall limit, in any way, Apex Clean Energy's right to take disciplinary action, up to and including possible termination, permanent removal from site, for job performance reasons, or for any violation of the Company's policies, procedures, or practices, including any violation of the general safety rules of the Company, or any other reason which the Company may deem appropriate

Safety and health information will be communicated to site personnel through the following methods:

- Site personnel orientations, conducted at the time of hire, will stress the importance of safety and will encourage all personnel to report all hazards to their supervisor or to top management. The "Individual Site personnel Safety Orientation" form shall document this type of training.
- General safety meetings
 - a) Site personnel safety meetings will be held at least once a month for non-office site personnel and once per quarter for office site personnel to keep site personnel informed of safety and health matters. Site personnel are required to attend safety meetings as directed by their supervisors.
 - b) Site personnel safety meetings will cover specific topics of job safety and as an open forum for site personnel to voice their opinions, suggestions about company safety.
 - c) Site personnel safety meetings will be documented on a Safety Meeting form.

<p align="center">Safety Communications Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 8/03/15</p>	
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Unless an Apex Clean Energy facility holds other regularly scheduled group meetings (e.g., an established safety committee), the site personnel safety meetings will additionally function as the ad hoc committee to review results of inspections, accident and hazard mitigation investigations, and site personnel safety suggestions.

Tailgate: Site Personnel Safety Meetings (Project Facilities)

Tailgate meetings should be referenced as meetings when heavy equipment will be put in use or the need for a special safety meeting is needed before a job is started

Tailgate meetings will be documented on a “Tailgate Meeting” form

A bulletin board will be maintained to inform site personnel on matters of workers’ safety and health. It will include at least the following:


- Emergency telephone numbers
- Workers’ Compensation insurance carrier information
- Workers’ Compensation insurance carrier doctor/clinic information
- OSHA Form #300 “Log & Summary of Occupational Injuries and Illnesses” must be posted no later than February 1st of the year following the year covered by the records and remain posted until April 30th.
- If an OSHA citation is received for a violation of a safety order, it must be posted at or near each place where a violation occurred for a period of three days or until the hazard has been abated.

Responses to Site Personnel or Anonymous Submitters of Safety Suggestions

Facilities with safety committees will post the meeting minutes.

Safety Data Sheets (SDSs) and other hazard communications materials will be readily accessible to all site personnel.

If any site personnel feels uncomfortable in speaking to his or her supervisor, the Facility Manager, or other member of management, regarding any workplace hazard which the site personnel believes exists, the site personnel may use the Site Personnel Safety Suggestion/Report of Unsafe Workplace Condition form for this purpose or may simply submit the perceived hazard, and any recommended corrective action, on a blank piece of paper. In either case, the site personnel need not identify his name, department, or job title. Management, the Facility Manager, and/or the safety committee will review all suggestions and determine if any corrective action is necessary. A written response to the person submitting the suggestion (or to the anonymous submitter) will be posted. If a hazard (imminent danger) has been reported, management will respond to the reported hazard within 24 hours of its receipt.

<p style="text-align: center;">Disciplinary Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 8/06/15</p>	
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The orderly and efficient operation of the Company requires that site personnel adhere to rules and proper personal standards of conduct at all times. These rules and standards are necessary to protect the health and safety of all site personnel, to maintain uninterrupted work, and to protect the Company's goodwill and property.

The Company applies corrective discipline in a progressive manner, whereby increasingly severe penalties are given each time the site personnel is disciplined. With the exception of a very serious offense, site personnel are rarely discharged for a first offense.

Minor Offenses

The sequences of penalties for non-life-threatening types of offenses are as follows:

First Offense: Documented Verbal Warning: A documented verbal warning is considered a clear indication that repetition of the offense may eventually call for discipline. The supervisor who delivers the warning should concentrate on helping site personnel figure out ways to prevent the incident from recurring. This becomes part of the site personnel's permanent record.


Second Offense: Written Warning: A written warning is considered much more serious, and becomes a part of the site personnel's permanent record. A copy is given to both the site personnel and the supervisor. This warning should describe the offense and corrective action and/or training required to help prevent the incident from recurring.

Third Offense: Suspension: This is a 3-day suspension from the project. The suspension days are normally executed so that they fall mid-workweek, rather than contiguous with a weekend or holiday. This time period allows both the company and the site personnel time to think over the seriousness of the offense and make a commitment to better behavior or performance in the future. A written record, which is permanently entered into the site personnel's employment file, will describe the offense and corrective action and/or training required to help prevent the incident from recurring; a copy is given to both the site personnel and the supervisor.

Fourth Offense: Discharge: Termination of employment or permanent removal from project. A record will be placed into the site personnel's employment file stating the offense and reason for termination.

Major Offenses

These are dangerous, life threatening types of offenses that may be considered adequate justification for termination of employment or permanent removal from the project for the first offense.

<p align="center">OSHA/Government Inspection Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/07/2015</p>	
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Operating Policies

Introduction

The operation of vehicles is indispensable in conducting company business. The way in which each vehicle is handled will directly affect the losses of the entire company. Fleet losses are potentially one of the most costly types of losses that an operation can incur.

The types of exposures that involve the fleet program include: property damage, bodily injury, fatalities, liability suits, and Worker's Compensation cases.

The claims cost that would result from losses incurred can mount to dollars that will adversely affect our efforts to accomplish company objectives. To help prevent vehicle accidents and the type of loss exposures associated with them, the following guidelines have been established:

Policy

Apex Clean Energy is committed to protecting its employees and the vehicles owned, leased, or rented (hereafter referred to as "company vehicles") by Apex Clean Energy. The success and the safety of our employees depend on the mutual cooperation of each employee who has been entrusted with the responsibility of driving a company vehicle or their own vehicle while conducting company business.

In order to reduce vehicle accidents and to limit the Company's liability because of driver negligence, the company has adopted a Fleet Safety Program.


Responsibility

The management of Apex Clean Energy recognizes its primary responsibility to provide a safe environment for its employees, its clients, and the public. In an effort to meet this responsibility, we have implemented a comprehensive Vehicle Loss Control Program. This program is designed to manage all phases of our fleet safety. The cooperation of all employees is expected and required.

There may come a time when an Apex Clean Energy facility will be visited by a State or Federal OSHA inspector or other type of government inspection agency. This policy has been developed to enable the inspection process to work as smooth and constructive as possible for both the inspector and Apex Clean Energy.


If at any time a person working on site is approached by an OSHA inspector or any other type of government inspection agency, the person will treat this official in a respectful and considerate manner. However, if the official is unescorted by a management figure, it is the site person's responsibility to advise the official that he/she must notify Apex Clean Energy management of his/her presence on site prior to initiating the inspection.

At an Apex Energy facility, the proper person to be notified and to assist the official in the inspection is the Facility Manager. At the Apex Clean Energy headquarters office, the proper persons are the Director of Operations or the VP of Asset Management/Director of Operations

<p align="center">OSHA/Government Inspection Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/07/2015</p>	
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of Asset Management. In the event an appropriate an Apex Clean Energy person is not obtainable, the official will be informed of such and be requested to schedule an appointment or return at a later date.

When the proper Apex Clean Energy person has been notified, that person and the inspector will commence with the investigation. All Apex Clean Energy site personnel are asked to fully cooperate with the inspector and answer all questions to the best of their knowledge. Your cooperation will be greatly appreciated by all parties involved.

<p style="text-align: center;">Visitor Safety Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/07/2015</p>	
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Purpose


The purpose of this policy is to inform all Apex Clean Energy personnel that responsibility for the safety of visitors is primarily internal, and to instruct Apex personnel in the procedures for ensuring it.

Policy

In general, it is the responsibility of all Apex Clean Energy site personnel to make every attempt to ensure the safety of all persons who visit our warehouse, shop and/or field sites.

Specifically, it is the responsibility of the Apex Clean Energy site personnel who is escorting a visitor to take steps to ensure the safety of that visitor by personally demonstrating compliance with all Apex Energy Codes of Safe Practice and by respectfully insisting that the visitor does likewise.

Any Apex Clean Energy site personnel who fails to act according to this policy may be subject to disciplinary action up to and including termination, regardless of whether or not an accident or injury occurs as a result of his/her negligence.

<p style="text-align: center;">Lifting Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Scope

The use of cranes is common in our industry and personnel engaged in lifting shall be trained in lifting operations and the hazards associated.

Policy

A minimum of four competent people must be involved prior to conducting any lift.

Person in Charge, or “PIC”:


- Reviews the lift plan (Are required controls in place?)
- Ensures that the lift follows the lift plan.
- Ensures everyone understands their roles & responsibilities.
- Ensures that everyone involved has tested and understands radio communication.
- Ensures people are kept clear of overhead loads, swing areas, areas of potential impact.
- Designates an area for setting down the load.
- Selects or designates the “Signaler.”
- Verifies crane and loose lifting gear is within its certification date.

Signalman:

- Shall be trained and certified.
- Shall be the only source of communication with crane operator.
- Ensure the signals are discernible (audible or visual) between Signaler and Crane Operator across the entire lift area.
- Make sure all personnel are clear of lift area prior to starting the lift and during the lift.
- Provide clear signals for starting, moving, and stopping the lift.
- Do not handle any rigging duties during signaling for the lift.

Rigger:


- Works under the direction of the PIC to rig and handle the load.
- Rigger is skilled in performing the following tasks when necessary:
 - a. Assembles rigging to lift and move equipment or material.
 - b. Makes sure that rigging of wire ropes is in accordance with procedures and job orders
 - c. Sets up bracing and attaches load to rigging with grappling tools
 - d. Places equipment out of service that would compromise any lift

<p style="text-align: center;">Lifting Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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- e. Tilts, tips, and turns suspended loads
- f. Maneuvers loads over, under, or around obstacles
- g. Uses multi-point suspension techniques
- h. Ensures a tag line is included on each load

Crane Operator:


- Certified in the operation of the crane selected for the lift.
- Responsible for the pre-use inspection of the crane and ensures crane controls are in proper functioning order.
- Only accepts direction from the “Signaler” during a lift.
- Assists with planning the lift.
- Observes rigging operations.

<p style="text-align: center;">Hand Protection Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/05/2015</p>	
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Apex Clean Energy shall select and require employees to use appropriate hand protection at all times. Apex shall base the selection of the appropriate hand protection on an evaluation of the performance characteristics of the hand protection relative to the task(s) to be performed, conditions present, and the hazards and potential hazards identified.

Gloves are often relied upon to prevent cuts, abrasions, burns, and skin contact with chemicals that are capable of causing local or systemic effects following dermal exposure. OSHA is unaware of any gloves that provide protection against all potential hand hazards, and commonly available glove materials provide only limited protection against many chemicals. Therefore, it is important to select the most appropriate glove for a particular application and to determine how long it can be worn, and whether it can be reused.

It is also important to know the performance characteristics of gloves relative to the specific hazard anticipated (e.g. chemical hazards, cut hazards, flame hazards, etc.). These performance characteristics should be assessed by using standard test procedures. Before purchasing gloves, the employer should request documentation from the manufacturer that the gloves meet the appropriate test standard(s) for the hazard(s) anticipated.

<p style="text-align: center;">Fire Prevention Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 06/07/2015</p>	
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Introduction

Apex Clean Energy recognizes that its site personnel have the right and need to know the potential fire hazards that exist in our workplace. It is also essential that we take all necessary precautions to protect our workplace from fire damage, and most importantly, to protect our site personnel from injury or loss of life as a result of a fire. With this policy, Apex Clean Energy intends to ensure the transmission of necessary information to site personnel regarding fire prevention in the workplace.

This policy is established to:

- Identify potential fire hazards and their proper handling and storage procedures and potential ignition sources.
- Identify housekeeping procedures for controlling the accumulation of flammable and combustible waste materials.
- Identify procedures for ensuring regular and proper maintenance of equipment and installed systems are carried out to prevent accidental ignition of combustible materials.
- Identify persons responsible for maintenance of equipment and systems installed to prevent or control ignition of fires.
- Identify persons responsible for control and accumulation of flammable or combustible waste materials.
- Ensure that site personnel are trained on the elements of this program.

It is the responsibility of the Apex Clean Energy Facility Manager to maintain this Fire Prevention Program. A copy is provided to each site personnel.

<p style="text-align: center;">Hazard Communication Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1</p> <p>Effective Date: 08/10/2015</p>	
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Introduction

Apex Clean Energy recognizes that its site personnel have the right and need to know the properties and potential safety and health problems of substances to which they may be exposed in the workplace. With this policy, Apex Clean Energy intends to ensure the transmission of necessary information to site personnel regarding substances in the workplace, pursuant to:

Applicable regulations of other states in which Apex Clean Energy may conduct business.

A hazardous substance is defined as any substance that is a physical hazard or a health hazard. Hazardous substances generally have a Safety Data Sheet (SDS) provided by the manufacturer.


This policy is established to:

- Ensure compliance with the applicable state and federal standard.
- Safeguard the health and safety of site personnel.
- Create guidelines to follow for implementation and maintenance of a hazard communication program.

A written copy of this Hazard Communication Program is provided to each site personnel and is to be made available at all times for all site personnel to review.

Note that hereinafter, the terms “Apex Clean Energy” and “Facility Manager” shall all denote those persons who then hold those or analogous positions at each individual Apex Energy facility.

- The Hazard Communication Program is written and implemented;
- An inventory of all hazardous substances is conducted and that a Hazardous Substances List is developed and kept up to date;
- Safety Data Sheets (“SDS”) are on file for each hazardous substance listed on the Hazardous Substance List;

<p style="text-align: center;">Hazard Communication Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1</p> <p>Effective Date: 08/10/2015</p>	
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- All site personnel have access to the SDS's and understand how to use them; All hazardous substances are properly labeled;
- Proposition 65 (California) measures regarding carcinogens and chemicals that pose reproductive hazards are covered;
- Hazards associated with non-routine tasks are properly considered; A site personnel training program is implemented;
- Site personnel in shared work areas and outside contractors are made aware of all hazardous substances to which they may be exposed and that they have the information needed to protect themselves; and
- Outside contractors provide information on all hazardous substances which they bring into the Apex Clean Energy work place.

Responsibilities of All Site Personnel

All site personnel are expected to comply with the provisions of this program and its intent, which is to minimize injuries to site personnel.

It is the responsibility of the site personnel to report to Apex Clean Energy management or their supervisor if he thinks that he has been over-exposed to a hazardous substance.

All site personnel shall give their wholehearted and genuine cooperation to all aspects of safety and health, including compliance with all policies and procedures, and continuously and conscientiously perform their duties in a safe and healthful manner.


Hazardous Substance List

Under the authority of the Director of Plant Operations, the Facility Manager who oversees the purchasing and/or warehouse areas shall be responsible for compiling and maintaining a Hazardous Substance List of all hazardous substances present.

Concurrently, all Managers and Supervisors are responsible for notifying the above named person whenever a hazardous substance is introduced to the workplace via other than the normal purchasing process.

Availability

The Hazardous Substance List will be made readily accessible to all site personnel.

<p style="text-align: center;">Emergency Action Plan Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/07/2015</p>	
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Apex Clean Energy recognizes that site personnel have the right and need to know the procedures to follow in the event of an emergency.

This Emergency Action Plan (“EAP”) is maintained to ensure the safety of all site personnel at an Apex Clean Energy facility in the event of a major emergency which could occur within our facility or at the fields in which we work. The EAP includes provisions for:

- Medical emergency
- Building evacuation
- Building utility
- Failure fire
- Earthquake
- Adverse weather
- Hazardous material spill
- Crime/violent behavior/civil disturbance/bomb threat

The EAP is established to:

- Identify alarm and emergency evacuation procedures.
- Identify procedures to be followed by site personnel who remain to operate critical business operations before they evacuate.
- Identify rescue and medical duties for all site personnel following emergency evacuation.
- Identify persons who can be contacted for further information or explanation of duties under this plan.
- Establish training guidelines for site personnel regarding this plan and what they need to know in order to protect themselves.

<p style="text-align: center;">Electrical Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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Purpose

This procedure provides the minimum requirements to be followed when performing work on new or existing electrical systems and should be used in conjunction with Energy Isolation (Lockout/Tagout).

Scope

This Policy applies to all employees and on-site contractors engaged in operations covered by Apex Clean Energy procedures.

These Electrical Safety requirements apply to all operations involving work on or near an energized installation. Only qualified personnel may work on exposed electrical equipment.

Policy


Testing Equipment

1. Rated test equipment shall be checked before and after a test to confirm reliability of such equipment/instrument used for testing, including visual inspection of all associated connections, cables, and cords for free external defects and mechanical damages.
2. All electrical test equipment, including Digital Voltmeters, Ohmmeters, etc., shall be recalibrated annually in accordance with industry best practices.
3. When working on motor control centers (MCC), panel distribution, pad-mount transformer cabinets, and high voltage switchgears, a non-contact voltage proximity meter with warning light indicator and audible alarm that is rated for the voltage being tested shall be used.

Verification of Electrical Isolation When Performing Lockout/Tagout

1. When exposed parts are de-energized and locked and tagged out, only a qualified person shall be permitted to use test equipment on exposed circuit elements and electrical parts of equipment to verify complete de-energization. Thus, verification of “zero state
2. This test also determines if any energized condition exists due to inadvertently induced voltage or unrelated voltage back-feed.

**For full applicability of Energy Isolation/LOTO procedures, refer to the document
“Apex Clean Energy Lockout Procedure.”**

<p style="text-align: center;">Electrical Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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De-Energizing Live Parts

Whenever possible and practical, live parts shall be de-energized and locked and tagged out before they can be worked on.

In order to verify that the electrical equipment has been de-energized authorized personnel shall use rated voltage detectors to test each phase conductor.


Applicable permit to work (PTW) to de-energize any electrical equipment, and live parts shall be in accordance with the PTW procedure document.

Examples of impossibility or impracticability include the following situations:

- Re-energizing would introduce additional or increased hazards (such as deactivation of emergency alarm systems, shutdown of hazardous location ventilation equipment, or removal of critical illumination from an area).
- It is not feasible due to equipment design or operational limitations (i.e., testing of electrical circuits that can only be performed when energized or working on circuits that form an integral part of a continuous industrial process that otherwise requires a complete shutdown in order to permit work on one circuit or piece of equipment).

If the exposed live parts are not de-energized, the following practices shall be used to protect exposed personnel:

- Only qualified persons may perform the work.
- Proper electrical PPE shall be worn.
- When overhead lines are involved, guarding, isolating, or insulating materials shall be used to protect the individual from direct body contact or indirect body contact via tools, equipment, and other conductive materials.
- Sufficient illumination shall be provided.
- When confined spaces such as manholes or vaults are involved, protective shields, barriers, or insulating materials shall be used to avoid inadvertent contact with energized parts.
- All doors, hinged panels, etc. shall be secured to prevent their swinging into personnel.
- Handle conducting materials in contact with the employee appropriately to prevent them from contacting energized parts.
- Use only portable ladders with non-conducting side rails (fiberglass).
- Conductive clothing or jewelry (e.g., watch bands, bracelets, rings, keychains, necklaces, metallic aprons, or metal headgear) shall not be worn.
- Conductive cleaning materials (e.g., steel wool, metallic cloth, silicon carbide, or any conductive liquid solutions) shall not be used in proximity to energized parts unless processes or procedures are put in place and followed to prevent contact with energized parts.

<p style="text-align: center;">Electrical Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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Only load-rated switches, circuit breakers, or other devices specifically designed for the purpose of disconnecting energy sources may be used for opening, reversing, or closing circuits under load conditions.

After a circuit is automatically de-energized by a fuse or circuit breaker, it shall not be re-energized until the equipment and circuit have been identified as safe for energizing. Manual re-closing of circuit breakers or re-energizing circuits by replacing a fuse more than once is prohibited until the underlying problem is identified and corrected.

Bypassing protective devices or using a fuse or circuit breaker with a rating too high to protect the circuit or equipment involved is prohibited.


The following procedures shall be followed when working at electrical control panels:

- Proper PPE designed to provide thermal protection from arcing shall be worn (see Protective Equipment section).
- Before operating switches or breakers, confirm all protective panels are closed and fastened.
- To disconnect the electrical power from the equipment, always move the control switch to the off position before moving the main switch to the off position.
- To connect the electrical power, always confirm all control switches are off before engaging the master switch.

When operating the control or main switch, **NEVER STAND IN FRONT** of the electrical panel. Always stand to the side of the panel to operate the switch. Never look at the control panel. Should the panel explode, your eyes and body must not be in a direct line with the explosion.

Protective Equipment

- Thermal protection from electrical arc flash must be used when qualified persons are working on live overhead transmission lines or other exposed live energy. When wearing an arc flash suit, the entire arc flash suit, including the hood's face shield, shall have an arc rating that is suitable for the arc flash exposure.
- An electrical flash suit made of 10 ounce, 50 percent Nomex/50 percent Kevlar brand fabric equipped with hood and polycarbonate view plate shall be worn even if other electrical protective equipment, such as rubber insulating aprons and leather gloves, are worn. The flash suit must conform to current NFPA standards.
- Only rubber insulating protective equipment, such as fiberglass test equipment, insulating blankets, matting, covers, line hoses, gloves, and sleeves that are manufactured and tested per the specifications in the applicable American Society for Testing and Materials (ASTM) standard shall be used.
- Refer to OSHA Standard 29 CFR 1910.137 for additional guidance.

<p style="text-align: center;">Qualified Electrical Worker Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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Scope Qualified Electrical Worker (QEW)

Apex employees must receive training in avoiding the electrical hazards associated with working on or near exposed energized parts prior to performing energized electrical work. The following items will be included in the training of Qualified Electrical Workers (QEWs):

- Skills and techniques necessary to distinguish exposed live parts from other parts of electric equipment.
- Performing on-the-job training with a skilled technician
- Skills and techniques necessary to determine the nominal voltage of exposed live parts
- Clearance distances corresponding to the voltage of exposed live parts
- Selection and use of personal protective equipment, tools, insulating and shielding materials and equipment for working on or near energized parts
- Selection and use of proper work practices for working on or near energized parts

QEWs must also be trained in recognizing sign and symptoms of electrical shock, heart fibrillation, electric burns, and proper first aid protocols for these conditions. They must have training in:

- Basic Cardio Pulmonary Resuscitation (CPR)
- Automatic External Defibrillator (AED)
- Contacting emergency personnel


QEW Level I and QEW Level II

QEW Level I

- Persons trained in the safe operation of electrical systems 1,000 volts and below including turbine and substation components. These persons can work on or around energized electrical systems in this voltage range.
- QEW Level I personnel shall not operate any electrical equipment above 1,000 volts.

QEW Level II

- Persons trained in the safe operation of electrical systems, low and high voltages, including turbine and substation components. These persons can work on or around energized electrical systems. Qualified personnel who are permitted to perform energized electrical work on equipment or systems operating at greater than 1,000 volts.
- The scope of work for a QEW Level II person would be the electrical systems associated with a wind turbine and its associated substation.
- QEW Level II may operate high voltage electrical equipment under abnormal conditions. This includes troubleshooting substation relays, breakers, transformers, or any other equipment rated above 1,000 volts.

<p align="center">Qualified Electrical Worker Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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- Conducting any abnormal switching on equipment is not allowed until a discussion with the subject matter experts has taken place. At that point, further direction will be given by the subject matter experts.

Observers

During the time that work is being performed on any exposed conductors or exposed parts of equipment connected to high voltage systems, a QEW or any other employee trained in First Aid/CPR/AED, must be in close proximity without impacting either individual's safety at each work location to:

- Act primarily as an observer for the purpose of preventing an accident
- Render immediate assistance in the event of an accident

Training Requirements and Competency Assessment

- See training matrix with applicable course titles


Documentation of Training and Experience

- All training must be documented which is necessary to demonstrate that individuals have met the training and experience requirements for the types of work being performed. Experience is measured and documented by use of the Job Performance Measure.

QEWs who have obtained the required training must demonstrate their knowledge prior to performing energized electrical work on both high and low voltage circuits.

Prior to contractors performing work within the high voltage infrastructure, their training records must be validated by the Facility Manager to ensure that contracted employees have the documented skills, knowledge, training, and experience to perform the work.

For full applicability of Apex's Qualified Electrical Program and procedure, refer to the document "Apex Clean Energy Lockout Procedure."

<p style="text-align: center;">Turbine Climbing Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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Scope and Purpose

The purpose of this document is to ensure that all field employees understand how to safely climb, navigate, and recognize hazards associated with a specific wind turbine.

This document is valid for all turbine types; however, training and testing must be performed for each turbine type employee has contact with.

Prerequisites

This training is performed and monitored by a Site Representative who has been authorized and trained to do so.

This training may only be performed after reviewing:

- Site Orientation
- Safety Manual
- Emergency Action Plan


Once training is complete, the evaluation form at the end of this document should be completed, one per trainee, and submitted Apex Clean Energy along with a completed “Technical Training” form for the group. A copy of these documents should be retained by HR in each employee’s personnel file; original will be maintained by Facility Manager.

Orientation

Climbing Safety

Explain the following:

1. Why hard hats must be worn while in turbine areas or where other overhead hazards exist.
2. Why only issued or authorized fall arrest equipment may be used during tower or nacelle work. Remind site personnel that equipment must not be altered for any reason and must be inspected every time the equipment are used; faulty equipment will not be used at anytime.
3. That when personnel are four feet (4') above the ground or higher, fall arrest equipment must be used and a minimum of one lanyard must be attached to an approved anchor point of the tower, nacelle or hub at all times. Approved scaffolds are exempt.
4. That fall protection equipment which has sustained a fall or impact must be inspected by safety personnel before being reused.
5. Why serviceable lanyards or climbing belts will not be used for other than fall arrest purposes.
6. That unless pre-authorized, Site personnel are not allowed to work at elevated locations exposed to winds over 40 mph (17.8 m/s) over an average time of 10 minutes or based on manufacture recommended. (Authorization must be obtained from Facility Manager)


<p style="text-align: center;">Turbine Climbing Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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7. That unless pre-authorized, no climbing or crane work will be permitted on icy or snow covered towers. (Authorization must be obtained from Facility Manager)
8. That no climbing is allowed when lightning is within a 50 mile radius.
9. That hands must be free of any item and shoes must be cleaned of excessive dirt before climbing.
10. Why climbing a turbine only when it is offline is safest unless otherwise trained and authorized by Facility Manager.
11. That unless their presence is absolutely necessary, they should stay clear of turbine runaway areas or any other hazardous zone.
12. That anyone who is observed using the winch line for anything other than their intended purpose will result in immediate removal of the entire crew from the project site and a ban from working on an Apex Clean Energy managed site in the future, pending investigation.
13. Why it is prohibited to climb or work on a turbine **alone**. A second site personnel must be present and at a minimum at the base of the turbine tower. The only exception to working alone is when it can be proven that other procedures can be put in place that demonstrate to be as safe as the current procedure. A work-alone approval shall be provided at the sole discretion of the Facility Manager.

Tower Safety

Explain the following:

1. Tower approach and parking procedures, especially how wind speed, direction, and weather may affect choices. Vehicles shall not be parked directly under the wind turbine while work is being performed above, the vehicle must be a minimum of half the rotor diameter from the turbine and shall be parked with the front of the vehicle facing the wind direction when possible unless this creates a hazard or requires driving off road. The vehicles parking brake will be set and if parked on uneven surfaces the wheels will be chocked.
2. The importance of tower safety, especially the importance of 100% Tie off and 3 point contact
3. On calling the OCC and the Site Turbine Shut Down/Startup Training Procedure. Radio or cell phone contact with OCC must happen before and after climb.
4. How to recognize any hazardous energy sources
5. That a ladder safety device (cable grab or glider) must be used to climb tower ladders. If there is not a safety cable in tower Site personnel must lanyard climb maintaining 3 point contact.
6. How to connect and disconnect from ladder safely and effectively. Climbing wet tower ladders is permitted, but only if the tower ladder is equipped with a safety cable from ground to nacelle.

<p style="text-align: center;">Turbine Climbing Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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7. The use of the climb assist, if applicable.
8. Never stand or climb below any other climber, only one person allowed on ladder and safety cable at any given time.
9. The requirements of reporting and correcting any loose parts found on a tower or nacelle. The first person to climb the tower ladder should wipe any grease or oil from the ladder.

Note: Ensure site personnel is able to perform all steps of tower safety.

Climbing Safety

1. Have Site personnel climb ladder to the top of tower, while constantly monitoring employee(s) progress. If any difficulties or safety issues arise, climb test must be aborted.

Nacelle Safety

Explain the following:

1. The importance of nacelle safety, especially regarding hand and foot placement along with any PPE or Tie off requirements which may be applicable
2. Specific danger zones in the nacelle and demonstrate ways to mitigate the hazards
3. Any Lock out-Tag out (LOTO) procedures which may be applicable. Note: Ensure personnel is able to perform all steps of nacelle entry.

Hub Safety

Explain the following:


1. The importance of hub safety, especially the requirements of 100% tie off, if applicable
2. How to perform proper hub LOTO
3. Any specific danger zones in the hub or transition to the hub and demonstrate any ways to mitigate the hazards

Note: Ensure site personnel is able to perform all steps of hub entry.

Hazard Assessment

Explain the following:

1. Any specific danger zones present in the turbine and how to mitigate hazards
2. How to recognize any hazardous energy sources
3. When and where PPE is to be utilized
4. Applicable communication methods

<p style="text-align: center;">Foot Protection Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/10/2015</p>	
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Scope

This procedure covers the foot protection requirements for site personnel working in all areas at risk for foot injury.


Visitors will generally not need special foot protection, unless there is a perceived risk of exposure in which Apex Clean Energy may require needed protection to alleviate such risk. In this instance this protection will need to be provided by such visitors. Apex Clean Energy will not provide foot protection.

Purpose

The purpose of this procedure is to ensure that site personnel will have adequate foot protection.

Policy

1. Safety footwear, meeting ANSI requirements shall be worn by all personnel that are assigned to shop and field work, including managers. Open toed shoes are not considered adequate foot protection for those environments.
2. Foot protection is required in all areas where a risk of foot injuries is present.
3. All site personnel that are assigned for fieldwork shall wear safety boots that provide adequate ankle support. Tennis shoes of any kind are not acceptable.
4. All site personnel required to climb towers shall wear safety shoes with a distinct heel of approximately one inch (1").
5. Footwear shall be of leather material.
6. Provide an oil/slip resistant sole.
7. Provide ankle support.
8. Have steel or composite shank.
9. All site personnel assigned for work in the shop areas shall wear safety shoes.
10. Footwear that is defective or inappropriate to the extent that its ordinary use creates a possibility for foot injuries shall not be worn.

<p style="text-align: center;">Fall Prevention Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Purpose

This plan has been designed to ensure that our site personnel recognize workplace fall hazards and undertake all necessary safety measures to prevent them. The plan addresses both conventional and non-conventional fall protection measures.

Definitions

Personnel shall be trained in fall prevention practices for the following job duties:

1. Climbing and working on wind turbines
2. Climbing ladders, both fixed and portable
3. Working at elevations above six feet from the ground or other elevated platforms more than six feet above sub levels

Training and Enforcement

All site personnel exposed to fall hazards, will be thoroughly trained in these procedures at the time of their initial job assignments. Additional training will be provided whenever the company:

1. Becomes aware of a new or previously unrecognized hazard; or
2. Develops new or improved safety procedures.

Work operations will be continually monitored to ensure enforcement of these safety policies and procedures. Each site personnel must strictly follow these policies and procedures, except in the extraordinary circumstance when doing so would expose the site personnel to a greater hazard. If site personnel believes that such an extraordinary circumstance exists, the site personnel must first:

1. Notify his or her supervisor of a concern that the safety procedure creates a greater hazard; and
2. Have the concern addressed and resolved before proceeding.


Compliance with these safety rules is a condition of employment. Supervisors and managers have the responsibility to immediately correct any unsafe practice and to discipline site personnel, up to and including termination, for failure to follow any procedure in this program.

Site personnel are also required to immediately notify management of any unsafe or hazardous conditions or practices.

Safety Procedures

Personnel shall be trained and familiar with the selection, inspection and effective use, as described from the manufacturer for the following personal protective equipment:

- Full body harness

<p style="text-align: center;">Fall Prevention Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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- Lanyard
- Rope grab or cable glider
- Lifelines
- A Self Rescue Kit

Personnel responsible for working on wind turbines shall abide by the following procedures:

Climbing

When climbing ladders with rope lifeline, personnel shall wear a full body harness with a rope grab or glider attached to the back D-ring of the harness, limiting fall to no more than six feet. When climbing turbines with steel wire lifelines, a lad safe or glider should be attached to the front D-Ring on harness, with connection point from lifeline to D-Ring being no greater than nine inches. If unable to connect to front D- ring, site personnel may connect to back D-ring with soft stop lanyard as short in length as possible to limit fall potential. Turbines without lifelines shall be ascended and descended while using two lanyards equipped with rebar hooks on one end which will be used to keep the site personnel attached to the ladder at all times.

ONLY ONE PERSON ON A LIFELINE AT A TIME.

Personnel shall keep one hand on the ladder at all times when climbing. For duties requiring site personnel to work while positioned on the ladder, a separate lanyard must be used to secure to the ladder and the back D-ring of the full body harness. The lifeline shall not be used for fall restraint or positioning.

Site personnel shall not carry items in their hands. Hands will be kept free for climbing only.

Nacelle Work

Personnel working in the nacelle of wind turbines shall, at all times, wear a full body harness if there is a fall potential. They must be secured to an acceptable anchorage through means of a lanyard. This lanyard shall be connected to the back D-ring of the full body harness and prevent the site personnel from falling no more than six feet or contacting a lower level from any position. Lanyard will at all times be kept away from moving machinery at all times.


Working in the nacelle of a turbine which has excess oil or grease present, must be performed after the slip hazard is removed.

Working in the nacelle of a turbine where ice is present on the surface where one must stand, is prohibited.

Prior to moving from one level to another, site personnel shall attach a lanyard to prevent a fall of more than six feet or a fall from the adjacent level.

Working in weather that poses a serious risk shall be avoided.

Site personnel are prohibited from climbing or working on a turbine alone. A second site personnel must be present; whose distance is at a minimum the base of the turbine tower. However, this requirement may be modified if a JSA is performed, and it is proven that other procedures can be put in place that demonstrate to be as safe (at a minimum, as the current


<p style="text-align: center;">Fall Prevention Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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procedure). This decision shall be at the Sole Discretion of the project Owners site representative. Site personnel must also be in radio or cell phone contact before and after climb. Working alone, or working on a turbine that they have not been trained on is strictly prohibited.

Ladders (Portable and Non-Turbine)

Personnel required to climb portable or fixed ladders that are not used in conjunction with servicing turbines shall follow the procedures below to prevent injury from falls.

1. Portable ladders shall be used in accordance with manufacturer's recommendations and requirements. Personnel shall be familiar with the selection and use of portable ladders.
2. The use of ladders with broken or missing rungs or steps, broken or split side rails, or other faulty or defective construction is prohibited. When ladders with such defects are discovered they shall be immediately taken out of service and red tagged.
3. Both hands shall be kept free for gripping the side rails while climbing. Items shall not be carried in hands while climbing.
4. Proper placement of the ladder feet is critical; the feet shall be of the non- skid type to prevent slipping. Ladders used outside shall have appropriate feet for the terrain. Portable ladders shall be used at such a pitch that the horizontal distance from the top support to the foot of the ladder is about one-quarter of the working length of the ladder, (the length along the ladder between the foot and the top support). Ladders shall not be used in a horizontal position as platforms, runways or scaffolds.
5. No one shall be permitted to stand and work on the top three rungs or cleats of a ladder unless they are members of the structure that provide a firm handhold or the site personnel is protected by a personal fall protection system.
6. Site personnel shall not climb ladders if they are injured, ill, feeling nauseated or dizzy.

<p style="text-align: center;">Work on Elevated Platforms</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Elevated Platforms and Man-Baskets

Engineering shall be implemented as the first means of correcting fall hazards from elevated platforms or work levels. The procedures below are to be followed when engineering and design cannot be implemented in order to remove the hazards. Personnel working on elevated platforms shall follow the procedures below for reducing the risk of falls from elevated platforms or work levels.

Site personnel will not climb over railings or walls to get on or off platforms. Ladders shall be used or stairwells where applicable. Do not work on elevated platforms, decks or roofs that are not designed to hold personnel or that have loose or damaged surfaces.

Man-baskets shall be designed and approved for lifting personnel. Manbaskets shall be equipped with approved personnel attachment eyes for attaching safety lanyards.

Site personnel shall wear a full body harness and lanyard with soft stop which limits the fall distance to six feet, the lanyard shall be attached to the back D-ring.

Site personnel shall not use the side rails to position themselves higher while working in the manbasket. The manbasket shall be equipped with a brake or other means to prevent it from tipping while occupied. The manbasket shall be equipped with side rails and a toe board.


Site personnel in manbasket shall remain in continuous sight or in communication with the operator.

Site personnel in manbasket must be limited in number, depending on work being performed, man basket design and hoisting equipment limitations.

Have materials and equipment evenly distributed and secured while the man basket is lifted.

Not enter or exit a suspended man basket while it is raised unless the man basket has an installed gate and the man basket is physically secured to the structure to which the site personnel are entering or exiting.

Keep all parts of their body inside the man basket during raising, lowering and positioning unless they are performing the duties of a designated signalperson.

<p style="text-align: center;">Tower Emergency Rescue Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/01/2015</p>	
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Purpose

This policy is to protect the health and safety of its site personnel's. In the area of tower evacuations this is very important, for any emergency occurring up tower the Tower Rescue Team members will be notified immediately.

Definitions

Serious Injury: An injury to a person that involves any of the following conditions (but not limited to):

1. Chest pain or discomfort
2. Respiratory arrest (not breathing) or breathing difficulties
3. Chest injuries
4. Obvious signs of shock
5. Head, neck, and or spine injuries
6. Loss of or altered levels of consciousness
7. Amputation
8. Electrocution

Life Threatening: An injury to a person that involves any of the following conditions:

1. No pulse: Cardiac arrest (heart attack)
2. Not breathing: Respiratory arrest
3. Uncontrollable bleeding


Equipment Rules

1. The rescue equipment shall be stored in a clean dry place out of the direct sun.
2. The equipment shall be accessible at all times by any site personnel.
3. After every practice drill the equipment shall be inspected and logged and put back in its proper storage place.

If any piece of equipment becomes damaged or unsafe for any reason, turn it in to the safety officer and notify corporate safety officer of equipment replacement.

Typical Rescue Equipment Includes

1. Sked extrication device
2. First aid equipment with universal bloodborne pathogen protection
3. Back board with spyder straps and head immobilization blocks

<p style="text-align: center;">Tower Emergency Rescue Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/01/2015</p>	
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4. Swiss roll with load line, carabineers, and ascender
5. Two (2) anchor straps

All applicable PPE worn by the rescuer(s) including any for EMS personnel.

Personnel

Ideal rescue teams include four (4) to six (6) rescuers:

1. Trained and qualified site personnel to perform tower rescue
2. CPR/First Aid trained site personnel

There shall be one person at each designated location that is in charge of maintaining all equipment used, which includes but not limited to:

1. Inspecting
2. Cleaning
3. Ordering replacements if necessary


Training

Initial training will be held with all affected site personnel, and after the initial training session there shall be refresher training held no less than every three (3) months. At least once annually, an unscheduled, “live and spontaneous” rescue will be implemented. A practice mannequin is to be used as the injured personnel. Test will be administered and kept in personnel file.

The team leader and or the area manager can schedule the exercise at any time.

Rescue Procedure

1. ALL practice exercises will be done with a mannequin in the backboard/sked. Never practice using a live person.
2. When a serious injury is called into the supervisor or manager, 911 shall be called immediately.
3. All team members shall be notified by the manager/supervisor and directed to the accident site. At that point all team members shall radio back to let the manager know that they have responded.
4. The first responder to the injury site should take a look around the vicinity and take care of any unsafe conditions.
5. Either the first or second responder, preferably an EMT, climbs to access the injury(s) and start any treatment for life threatening emergencies.

<p style="text-align: center;">Tower Emergency Rescue Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/01/2015</p>	
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Getting the victim ready to go down to the ground (packing them up) consists of:

1. Immobilizing the spine on backboard if determined to be needed by EMTs; if not sure, package victim on backboard/sked
2. Placing the victim in the backboard
3. Placing the victim securely in the sked litter
4. Attaching a tag line to the sked litter that is controlled from the ground

Attachment Points

For lowering victim in harness, attach load line to front D-ring and belay line to back D-ring or for lowering victim in backboard/sked attach load line to sked and belay line to victims front D-ring.

1. Lower the victim to the ground in the safest and smoothest manner possibly using a tag line to keep control of the victim. Someone shall be waiting on the ground for the victim.
2. At this point EMS will be ready to take over care of the victim. Be ready to help in any way that they may need.
3. Within a 4-to-6-hour period the equipment shall be retrieved from the hospital, if applicable, and properly inspected, cleaned, and replaced (if needed).


Conclusion

The team leader and the manager shall make sure that all rescuers are accounted for on debriefed on operation.

Have all the rescuers report to the corporate safety officer, in writing, what happened before the accident (if known) and during the rescue.

The Corporate Safety Officer shall make a follow up investigation and report.

The report shall be forwarded to the vice-president, area managers, and human resources.

<p style="text-align: center;">Confined Space Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 01/21/2015</p>	
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Purpose

The purpose of this procedure is to describe methods of identifying confined spaces and actions necessary to protect Apex Clean Energy and subcontractors' workers from uncontrolled hazards when entering confined spaces.

Scope of Application and Validity

This procedure is developed to be able to counteract potential hazard arising from work performed in confined spaces.

The procedure is a guideline that set's up minimum requirements regarding work in confined spaces. A confined space is any space that contains all three of the following:

- Is large enough and so configured that an employee can bodily enter and perform assigned work;
- Has limited or restricted entries and exits which would make escape or rescue difficult (e.g. tank, furnace, vessel, vat, silo, sewer, hopper, bin, vault, boiler, pit, ditch, pipe, well, enclosed generators, enclosed turbines, MSRs, etc.); and
- Is not designed for continuous employee occupancy.


Permit-required confined space means a confined space that has one or more of the following characteristics:

1. Contains or has a potential to contain a hazardous atmosphere;
2. Contains a material that has the potential for engulfing an entrant;
3. Has an internal configuration such that an entrant could be trapped or asphyxiated by inwardly converging walls or by a floor which slopes downward and tapers to a smaller cross-section;
4. Contains any other recognized serious safety or health hazard; or
5. Does not have the Confined Space Reclassification Form posted at the entryway.

Lead Authorized Person means the person responsible to ensure the requirements of the confined space permit are maintained for the duration of the work and to ensure the personnel under his/her direction abide by the requirements of the Confined Space Permit. The Lead Authorized Person is also responsible to ensure all of their personnel and their equipment are out of the Confined Space and it is safe to close up, before closing the Confined Space.

Permit-Required Confined Space Program

- Potentially hazardous confined spaces on Apex Clean Energy/U.S. jobsites must be identified and the hazards evaluated before work begins. Some examples of confined spaces are enclosed generators, hubs, yaw section, etc.

<p style="text-align: center;">Confined Space Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 01/21/2015</p>	
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- Known hazards, such as a toxic atmosphere or mechanical hazards, within a confined space must be identified and controlled before entry may be made into a confined space.
- A permit must be issued by the Site Manager or his designee before entry can be made.
- Signs shall be posted near permit spaces to notify employees of hazards that may be present and that only authorized personnel may enter the permit spaces.
- Entrance into a confined space by unauthorized employees shall be prevented through such measures as training, posting signs, barriers, etc
- Confined space entrants, attendants, rescue personnel, and supervisors shall be trained to perform respective assignments involving confined spaces.
- Equipment used during a confined space entry must be inspected and suited for the type of environment that may be encountered.
- Procedures and equipment must be available and in good working condition for emergency rescue.
- The owner (or host employer) is responsible for providing contract or subcontract employees with all available information on permit spaces at the jobsite.

Permit Systems


A written permit is required to identify all conditions that must be evaluated to ensure safe entry.

The entry permit:

- a) Defines the conditions under which the permit space may be entered.
- b) States the reason(s) for entering the space.
- c) Identifies the anticipated hazards of the entry.
- d) Identifies entries where the individual authorizing the entry does not assume direct charge of the entry.
- e) List the eligible attendants.
- f) List the eligible entrants.
- g) Lists the individuals in charge of the entry.
- h) States the length of time for which the permit may remain Valid.

The following information must be included on the permit:

- a) Hazards within the permit space.
- b) Measures for isolation of the permit space.
- c) Measures such as lockout/tag out, equipment and procedures for purging, inserting, ventilating, and flushing used to remove or control potential hazards.

<p style="text-align: center;">Confined Space Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 01/21/2015</p>	
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- d) Acceptable environmental conditions quantified with regard to the hazards identified in the permit space, which must be maintained during entry.
- e) Types of testing and monitoring equipment used to verify acceptable entry conditions.
- f) Rescue and other services which would be summoned in case of emergency and the means of communication with those services.
- g) The communication procedures and equipment used by authorized entrants and attendants to maintain contact.
- h) Personal protective equipment, such as clothing and retrieval lines, provided to ensure employee safety.
- i) Signature, together with the name printed or otherwise legible, of the individual authorizing the entry and verifying that all actions and conditions necessary for providing safe entry have been performed.

Rescue Team


The Site Manager or his designee shall ensure availability of a rescue team, in-plant rescue team, an outside rescue team services or site specific arrangements. The following requirements apply:

- The rescue teams must practice making permit space rescues at least once every twelve (12) months, by means of simulated rescue operations in which they remove dummies, mannequins or personnel through representative openings and portals whose size, configuration, and accessibility closely approximate those of the permit spaces from which rescues may be required.
- At least one member of each rescue team must maintain current certification in basic first- aid and cardiopulmonary resuscitation (CPR) skills.
- Designated rescuers from outside rescue teams must be made aware of the hazards which may be encountered when called on to perform rescues within a controlled permit space.
- Non trained personnel shall only attempt non-entry rescue to When a non-permit confined space has been exited because unacceptable conditions have arisen, any subsequent entry may not be made until the space is restored to permit confined space conditions.

Site Staffing

A minimum staffing level of three (3) personnel must be on site when performing confined space work.

- To be described by site Emergency Action Plan (EAP) to facilitate rescue

<p style="text-align: center;">Hot Work Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Guideline for Site Personnel

The purpose of this document is to outline safety procedures when working with an open flame in the nacelle of a wind turbine.

Policy

Occasionally it is necessary to use a propane torch or cutting torch in the nacelle of a wind turbine. If any other method is available to achieve the task, it should be used. Working with an open flame should be avoided unless necessary. Careful planning is essential before working with an open flame in the nacelle due to flammable materials, restrictive spaces and limited escape paths in a wind turbine. In these instances a hot work permit must be filled out.


Preparation

The personnel involved in the work must obtain a Hot Work Permit before starting. The Hot Work Permit will outline items to be considered before, during and after the task is completed. All equipment must be inspected before leaving for the work site and again before the work is begun. This includes gas hoses, flame tips, bottles, regulators, PPE, communication equipment and firefighting equipment. Special escape or rescue equipment may also be required. At the work location one person must remain on fire watch during the time open flame is used. For example, if the task requires two people to complete a third will have to stand by with firefighting equipment. If the work is being completed in the nacelle an additional person will be required for fire watch on the ground. The number of people on fire watch stationed on the ground is wind dependent; however, at least one person is required. No other work will be allowed in the turbine until the open flame work is complete. This will help avoid any obstructions to an escape route from the turbine. All personnel involved must review and understand the procedure to be used and the Hot Work Permit. All standard safety procedures including clearances, Lockout/Tagout and PPE also apply.

If rescue or escape equipment is required is must be in place before starting work. All technicians must be wearing their fall protection equipment to aid in escape or rescue. If any equipment is found to be defective the task must be stopped immediately. The work must not be started again until the defective equipment has been properly repaired or replaced.

Open Flame Work

During work with an open flame the technicians must always be conscious of the proximity of other materials to the heat source. The technician assigned to fire watch must have an extinguisher ready and watch for sparks, hot debris or other signs that the heat is not controlled. If unsafe conditions are observed, the flame must be extinguished and work must stop until the conditions are safe again. Once work is completed, hot material and equipment must be placed in a safe position until cooled. Ensure that all materials are cooled before leaving the work area.

<p align="center">Bloodborne Pathogens Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/28/2015</p>	
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Scope

All employees who have or may have the potential for exposure to blood or other potentially infectious materials in the workplace.

Key Responsibilities

Apex Safety Manager has overall responsibility for developing and implementing the Exposure Control Procedure for all facilities.

Site Manager and Supervisors are responsible for exposure control in their respective areas.

Employees

- Know what tasks they perform that have occupational exposure
- Plan and conduct all operations in accordance with our work practice controls
- Develop good personal hygiene habits

Policy

Employees with reasonable anticipated occupational exposure to bloodborne pathogens shall participate in training before their initial assignment and within one year of any previous training.

Training shall include:

- What bloodborne pathogens are; how to protect themselves from exposure
- Methods of warnings (signs, labels, etc.)
- The OSHA requirements of bloodborne pathogens
- Availability of the Hepatitis B vaccine that have occupational exposure at no cost

Reviews and Update of the Procedure


The procedure is reviewed annually and updated whenever we establish new functional positions within our facility that may involve exposure to biohazards.

Exposure Determination

There are no job classifications in which some or all employees have occupational exposure to bloodborne pathogens that may result from the performance of their routine duties.

Designated employees are trained to render first aid and basic life support. Rendering first aid or basic life support will expose employees to bloodborne pathogens and will require them to adhere to this program.

This exposure determination has been made without regards to the Personal Protective Equipment that may be used by employees.

<p style="text-align: center;">Bend and Stretch Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Purpose

To establish an on-site stretch and flex program to prevent injuries by removing their causes. For ergonomic hazards, this can be achieved through taking steps to eliminate or reduce worker exposure to conditions that lead to cumulative trauma disorders and related injuries.


Ergonomic injury risks include forceful movements, repetitive motions, awkward positions, and lack of rest.

Stretching helps prevent muscle soreness and injury. Tight muscles have a tendency to tear easily causing injury. Muscle groups should also be stretched and strengthened. Balanced and strong stretched muscles are important for joint health.

The stretches described below can prepare the body for everyday work stresses while strengthening the specific muscles that are commonly associated with strains and sprains. Stretching should not exceed 10 minutes. During any of the stretch and flex exercises, you should never bounce or have quick movements; only stretch to a point of mild tension. The stretch and flex program should be conducted prior to any work being performed.

Scope

Conduct stretching prior to performing work and/or as needed throughout the day. Performing this initiative is optimized when done after the site's Plan of the Day (POD) as a group.

<p style="text-align: center;">Work Zone Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Purpose

To establish an area of protection known as a “work zone” to prevent unauthorized personnel from entering into an area of potential danger, injuries caused by dropped objects from heights, and providing a means of controlling the work site. Apex requires employees to protect worker’s health and safety on the job.

Defining the Work Zone

The work zone must be discussed and established during the JSA meeting. During the JSA meeting, the width of the work zone must be assessed. Factors such as wind, type of work, area in which dropped objects are probable, and approach distances shall be considered.

Turbines: It is understood that the topography and design of each wind project is different, therefore, prior to undertaking of any regular maintenance work on the wind turbine. As a general rule when working on or around a wind turbine the work zone will be identified as the area associated as the turbine pad. The work zone can vary depending upon the height at which personnel are working, the size of the turbine pad and the topography of the surrounding area, however; it shall be of sufficient size to protect personnel from hazards.

Setting Up the Work Zone


Work zones shall be created by using orange traffic cones with signs denoting “Danger Authorized Personnel Only.” Setting up a work zone should be accomplished by securing the area. After determining the width of the work zone, cones should be placed along the work space depending on factors such as wind, type of work, area in which dropped objects are probable, and approach distances. They must be set up in a way that prevents un-authorized access by blocking entry to the affected area.

Turbines: Work Zones around turbine shall be created by using orange traffic cones with signs denoting “Danger Authorized Personnel Only.” Setting up a work zone for a wind turbine should be accomplished by securing the turbine pad. After determining the width of the work zones, cones shall be set up in a way that prevents un-authorized access by blocking entry to the affected area. Examples of how to accomplish this are;

- Setting the cones up across the access of the turbine pad
- Setting up the cones to block the access road on each side of the wind turbine.

Crane Operations: When determining the radius of the drop zone, the area must accommodate all equipment used for lifting operations. This area is considered “sterile” and is exclusive to personnel associated with lifting operations.

Substation: While working within or around substations and collection systems, approach boundaries must be adhered to. When determining the work zone, the minimum distance of 10 feet must be utilized.

<p style="text-align: center;">Work Zone Policy</p> <p>Prepared By: Safety</p> <p>Approved by: VP of Asset Management/Director of Operations</p>	<p>Version: 1.0</p> <p>Effective Date: 08/08/2015</p>	
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Maintaining Security of the Work Zone and Drop Zone

Once the work zone/drop zone is set up and secured any personnel needing to enter into the work zone for either work purposes or pass through are required to get clearance from the personnel who have established the drop zone before entering. Communication can be established via communications media, or verbally if possible as long as it's done without sacrificing the integrity of the zone. The security of the zone is to be maintained until the work zone is rescinded.

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Summary: Application Exhibit U, Exhibit V, and Exhibit X electronically filed by Teresa Orahod on behalf of Sally W. Bloomfield