

Incident management procedure flow – Operations – flow sheet 1 of 2 (OT-14-MAP-0002-E-Incident Management Flowchart V1)

Incident Management Process	When	Who - Actions & Accountability All Incidents (except construction health and safety impacts)	How	Status
<p>Incident Occurs</p> <p>↓</p> <p>Verbally report incident Initial response Make area safe and treat injured people Gather preliminary information</p> <p>↓</p> <p>Emergency</p> <p>↓</p> <p>Initiate response Activate plan</p> <p>↓</p> <p>No</p> <p>↓</p> <p>Record Incident and Notifies</p>	<p>Immediately</p> <p>Within 4hrs</p> <p>By end of shift</p>	<p>All: reports incident to Immediate Leader Leader: reports incident to supt and HSE supt</p> <p>Refer to Injury / Illness Management</p> <p>Leader: calls Operational Control Room or Emergency number</p> <p>Emergency Response plan activated</p> <p>HSE supt: reports incident to all leaders – incidents with injury (medical treatment and above) or damage with potential for injury (medical treatment and above)</p> <p>Leader: documents key incident information</p>	<p>Verbal</p> <p>Verbal</p> <p>Sends Incident first report email via OT site leaders mailing list</p> <p>Initial incident record in RTBS RTBS task notifications triggered including: - Leader of Organisational Unit - Owners of Work Area - Leader of Injured Person (if applicable) - HSE supt, HSE team and other specialists</p>	Created
<p>Determine Significance</p> <p>↓</p> <p>Communicate Incident</p> <p>↓</p> <p>Significant or Significant Potential Incident?</p> <p>Yes</p> <p>↓</p> <p>Refer to Significant Incident Management</p> <p>No</p> <p>↓</p> <p>Conduct Investigation and identify Root Causes</p> <p>↓</p> <p>Update incident documentation</p>	<p>Within 24 hours</p> <p>Weekly End of Day Monday</p> <p>Within 7days</p>	<p>Supt: in consultation with HSE supt</p> <p>HSE supt & HSE central team: coordinates internal and external communication</p> <p>OT Safety manager: consolidates key incident, injury and action information for Weekly Incident Review meeting</p> <p>Refer to Significant Incident Management</p> <p>Supt: appoints <i>Lead investigator</i> (LDI) (typically supervisor)</p> <p>LDI: forms investigation team, conducts investigation, determines casual factors and root cause and identifies recommended actions.</p> <p>LDI: reviews investigation outcomes with leader and documents incident</p> <p>Refer to Injury / Illness Management</p>	<p>Using the Risk Matrix identify Actual Consequence and Maximum Reasonable Outcome (by Consequence &, Likelihood)</p> <p>Verbal reporting or agreed external templates</p> <p>Weekly Incident Summary report template</p> <p>Agree investigation level and methodology</p> <p>1. Appoint investigation team with subject matter experts 2. Agree Investigation method 3. Gather and analyse evidence 4. Determine sequence of events, causal factors and root cause 5. Identify actions</p> <p>Update incident record in RTBS</p>	In Process
<p>Assign and manage actions to closure</p> <p>↓</p> <p>Review and sign off incident</p>	<p>Within 7 days</p> <p>Weekly</p> <p>Within 28 days</p>	<p>LDI: agrees actions with assignees and documents ('SMARTER' – Specific, Measurable, Accountable, Reasonable, Timely, Effective, Reviewed)</p> <p>Refer to Action Management</p> <p>Leaders: reviews action progress to monitor completion to agreed quality</p> <p>Leaders: reviews incident progress to monitor completion</p> <p>Leaders: starts review cycle when all actions are complete and injured person has returned to full duties</p> <p>Leader once removed (LOR): reviews full incident report and related actions to ensure root causes identified and actions control risks. Signs off incident.</p> <p>Manager of LOR: reviews full incident report and related actions to ensure root causes identified and actions controlled risks. Signs off incident as closed</p>	<p>Update incident record with actions (inc. responsible people, dates and action progress comments)</p> <p>Action progress (R2066) and list (R2169) reports to monitor actions</p> <p>Incident progress (R2045) and list (R2144) reports to monitor incidents</p> <p>Receive Incident review worklist item. Review and record sign off in RTBS Automatic notification to next reviewer</p> <p>Receive Incident review worklist item. Review and record sign off in RTBS Automatic closure of incident</p>	Investigation complete
<p>Close incident</p>	<p>Within 28 days</p>	<p>All incidents managed by operational leaders. Except security and business integrity incidents which are managed by specialist groups. Note: Supt = superintendent. LDI = lead investigator. LOR = leader once removed. Key users: support leaders in process and RTBS steps.</p>	<p>Incident automatically closed on Manager sign off</p>	Closed

Incident management procedure flow – operations – flow sheet 2 of 2 – Significant incident (OT-14-MAP-0002-E-Incident Management Flowchart V1)

Incident Management Process	When	Who - Actions & Accountability All Incidents (except construction health and safety impacts)	How	Status
<p>Significant Incident has occurred</p> <p>↓</p> <p>Is Actual consequence Major or Catastrophic?</p> <p>↓</p> <p>No</p>		<p>Refer to WC1401-01 24 Hour Reporting Requirements for Major and Catastrophic Incidents</p>		
<p>Commence initial fact finding</p>	<p>Within the shift</p>	<p>Supt: conducts fact finding to identify chain of events and potential contributing factors (with leader and HSE superintendent)</p>	<p>Visit the scene and collect evidence (e.g. photos, interviews)</p>	
<p>Prepare and distribute Preliminary HSE Alert</p>	<p>Within 48 hours</p>	<p>Supt and HSE supt: prepares Preliminary HSE Alert (what and where and immediate actions)</p> <p>Operational Area GM: approves Preliminary HSE Alert and immediate actions. Determines if stopwork required for their area and recommendation for site.</p> <p>HSE General Manager: distributes Preliminary HSE Alert to all OT</p> <p>Leaders: discuss HSE Alert with teams and apply any immediate actions HSE supt: monitor immediate actions and communications</p>	<p>Generate Preliminary HSE Alert</p> <p>Draft Preliminary HSE Alert Implement stopwork</p> <p>Approved Preliminary HSE Alert Distribute to all OT personnel mailing list and VP HSE Copper Group</p> <p>Pre-shift meetings, work area notice boards</p>	
<p>Appoint lead investigator</p>		<p>Manager: appoints <i>Lead investigator</i> (LDI) (typically superintendent)</p>	<p>Agree investigation level and methodology TapRoot for actual consequence = Serious, Major and Catastrophic.</p>	
<p>Conduct investigation to identify root causes and actions</p>		<p>LDI – forms investigation team, conducts investigation, determines casual factors and root cause and identifies recommended actions.</p>	<p>1. Appoint investigation team with subject matter experts 2. Agree Investigation method 3. Gather and analyse evidence 4. Determine sequence of events, causal factors and root cause 5. Identify actions</p>	<p>In Process</p>
<p>Update incident documentation</p>		<p>LDI: Documents incident investigation. Conducts Incident Investigation Review meeting.</p> <p>Refer to Injury / Illness Management</p>	<p>Updated Incident record in RTBS Completes Incident Investigation Report and Summary Incident Investigation review meeting attended by senior leaders to review investigation and agree action plans.</p>	
<p>Assign and manage actions to closure</p>	<p>Within 21 days</p>	<p>LDI: agrees actions with assignees and documents ('SMARTER' – Specific, Measurable, Accountable, Reasonable, Timely, Effective, Reviewed)</p> <p>Refer to Action Management</p>	<p>Update incident record with actions (inc. responsible people, dates and action progress comments)</p>	
<p>Additional Incident communication Prepare and distribute Final HSE Alert</p>	<p>Weekly</p>	<p>Leaders: reviews action progress to monitor completion to agreed quality</p> <p>Leaders: reviews incident progress to monitor completion</p> <p>OT safety manager: includes progress information about incident in Weekly Incident Review meeting slides. Contacts LDI for any information required</p>	<p>Action progress (R2066) and list (R2169) reports to monitor actions</p> <p>Incident progress (R2045) and list (R2144) reports to monitor incidents</p> <p>Weekly Incident Summary report template</p>	<p>Investigation complete</p>
<p>Review and sign-off incident</p>	<p>Within 35 Days</p>	<p>Supt and HSE supt prepare Final HSE Alert</p> <p>Operational Area GM: approves Final HSE Alert</p> <p>HSE General Manager distributes Final HSE Alert to all OT</p> <p>Relevant HSSEC Manager reviews Incident record for internal, Rio Tinto and external reporting requirements</p> <p>Leaders: starts review cycle when all actions are complete and injured person has returned to full duties</p> <p>Review and Sign-off Sequence: Level 1 - LOR Level 2 – Manager of LOR Level 3 – GM HSE Level 4 – Operational GM</p> <p>Level1, 2 & 3: reviews full incident report and related actions to ensure root causes identified and actions control risks. Signs off incident.</p> <p>Operational GM – reviews full incident report and related actions to ensure root causes identified and actions controlled risks. Signs off incident as closed</p>	<p>Generate Final HSE Alert from RTBS and adjust content</p> <p>Draft Final HSE Alert</p> <p>Approve Final HSE Alert Distribute to all OT personnel mailing list</p> <p>Review and update RTBS Incident Record - Release for Communication and approve Knowledge Sharing communication</p> <p>Receive Incident review worklist item. Review and record sign off in RTBS Automatic notification to next reviewer</p> <p>Receive Incident review worklist item. Review and record sign off in RTBS Automatic closure of incident</p>	<p>Conference</p>
<p>Close Incident</p>	<p>Within 35 Days</p>	<p>Incident automatically closed on Manager sign off</p>	<p>Incident automatically closed on Manager sign off</p>	<p>Closed</p>
<p>All incidents managed by operational leaders. Except security and business integrity incidents which are managed by specialist groups. Note: Supt = superintendent. LDI = lead investigator. LOR = leader once removed. Key users: support leaders in process and RTBS steps.</p>				

Incident management procedure flow – construction – flow sheet 1 of 2 (OT-14-MAP-0002-E-Incident Management Flowchart V1)

Incident Management Process	When	Who - Actions & Accountability Construction health and safety incidents	How	Status
<p>Incident Occurs</p> <p>↓</p> <p>Verbally report incident Initial response Make area safe and treat injured people Gather preliminary information</p> <p>↓</p> <p>Emergency → Initiate response Activate plan</p> <p>No ↓</p>	Immediately	<p>All: Incident reported to Immediate Leader Leader: reports incident to PMC safety team</p> <p>Refer to Injury / Illness Management</p> <p>Leader: for emergency call Site Emergency Number and Safety PMC Manager</p> <p>Emergency Response plan activated</p>	<p>Verbal</p> <p>Verbal</p>	Created
Record Incident and notifies	By end of shift	Leader: documents key incident information	Complete OT incident Form and forward to Safety PMC Team	
Determine Significance	Within 24 hours	Safety PMC Investigation team (with leader of contracting company) and OT Safety Manager	Using the Risk Matrix identify Actual Consequence and Maximum Reasonable Outcome (by Consequence &, Likelihood)	
<p>Communicate Incident</p> <p>↓</p> <p>Significant or Significant Potential Incident?</p> <p>Yes → Refer to Significant Incident Management</p> <p>No ↓</p>	Weekly End of Day Monday	<p>Safety PMC team with OT Central HSE team – coordinate additional internal and external communication</p> <p>Safety PMC Investigation team documents incident summary Send to OT Safety Manager</p>	<p>Verbal reporting or agreed templates</p> <p>Weekly Incident Summary report template</p>	In Process
Conduct Investigation and identify Root Causes	Within 7days	<p>Safety PMC: appoints <i>Lead investigator</i> (LDI) (typically contractor manager)</p> <p>LDI: forms investigation team, conducts investigation, determines casual factors and root cause and identifies recommended actions.</p> <p>LDI: reviews investigation outcomes with OMC safety and documents incident</p> <p>Refer to Injury / Illness Management</p>	<p>Agree investigation level and methodology</p> <p>1. Appoint investigation team with subject matter experts 2. Agree Investigation method 3. Gather and analyse evidence 4. Determine sequence of events, causal factors and root cause 5. Identify actions</p> <p>OT incident Form</p>	
Update incident documentation				
Assign and manage actions to closure	Within 7 days	Leader (LDI): agrees actions with assignees and documents ('SMARTER' – Specific, Measurable, Accountable, Reasonable, Timely, Effective, Reviewed)	Update OT incident Form with actions (inc. responsible people, dates and action progress comments)	Investigation complete
	Weekly	Safety PMC investigation team: reviews action and incident progress to monitor completion to agree quality	OT incident Form and internal PMC procedures used to monitor incidents	
Review and sign off incident	Within 28 days	<p>Safety PMC investigation teams: starts review cycle when all actions are complete and injured person has returned to full duties</p> <p>Safety PMC Investigation team: reviews full incident report and related actions to ensure root causes identified and actions control risks. Signs off incident</p> <p>Safety PMC manager: reviews full incident report and related actions to ensure root causes identified and actions controlled risks. Signs off incident as closed</p>	<p>Submitted for review. Review and record sign off on incident form</p> <p>Submitted for review. Review and record sign off on incident form</p>	Conference
Close incident	Within 28 days		Incident form filed for future reference	Closed
<p>All incidents managed by operational leaders. Except security and business integrity incidents which are managed by specialist groups. Note: Supt = superintendent. LDI = lead investigator. LOR = leader once removed. Key users: support leaders in process and RTBS steps.</p>				

Incident management procedure flow – construction – flow sheet 2 of 2 – Significant incident (OT-14-MAP-0002-E-Incident Management Flowchart V1)

Incident Management Process	When	Who - Actions & Accountability Construction health and safety incidents	How	Status
<p>Significant Incident has occurred</p> <p>↓</p> <p>Is Actual consequence Major or Catastrophic?</p> <p>↓</p> <p>Commence initial fact finding</p> <p>↓</p> <p>Prepare and distribute Preliminary HSE Alert</p> <p>↓</p> <p>Appoint lead investigator</p> <p>↓</p> <p>Conduct investigation to identify root causes and actions</p> <p>↓</p> <p>Update incident documentation</p>	<p>Within 24 hours</p> <p>Yes</p> <p>Within the shift</p> <p>Within 48 hours</p> <p>Within 21 days</p>	<p>Safety PMC investigation team: documents key incident information</p> <p>Refer to WC1401-01 24 Hour Reporting Requirements for Major and Catastrophic Incidents</p> <p>Safety PMC investigation team: conducts fact finding to identify chain of events and potential contributing factors. (with leader and HSE superintendent)</p> <p>Safety PMC investigation team: prepares Preliminary HSE Alert and include information detailing when, what and where and identify any immediate actions.</p> <p>OT Safety manager: approves Preliminary HSE Alert and immediate actions. Determine if stopwork required for their area and recommendation for site.</p> <p>HSE GM: reviews and issues Preliminary HSE Alert to all OT.</p> <p>Leaders: discuss HSE Alert with teams and apply any immediate actions HSE teams: monitor immediate actions and communications</p> <p>Safety PMC Investigation team: appoints lead investigator</p> <p>Safety PMC investigation team: conducts investigation, determines casual factors and root cause and identifies recommended actions.</p> <p>Safety PMC investigation team with Lead Investigator (LDI): Documents incident investigation. Conducts Incident Investigation Review meeting.</p> <p>Refer to Injury / Illness Management</p>	<p>Initial incident record in RTBS RTBS task notifications triggered including: - Leader of Organisational Unit - Owners of Work Area - Leader of Injured Person (if applicable) - HSE supt, HSE team and other specialists</p> <p>Visits the scene, takes photos, preliminary interviews</p> <p>Generate Preliminary HSE Alert</p> <p>Draft Preliminary HSE Alert Implement stopwork</p> <p>Approved Preliminary HSE Alert Distributed to all OT personnel mailing list and VP HSE Copper Group</p> <p>Pre-shift meetings, work area notice boards</p> <p>Agree investigation level and methodology TapRoot for actual consequence = Serious, Major and Catastrophic.</p> <p>1. Appoint investigation team with subject matter experts 2. Agree Investigation method 3. Gather and analyse evidence 4. Determine sequence of events, causal factors and root cause 5. Identify actions</p> <p>Updated Incident record in RTBS Completes Incident Investigation Report and Summary Incident Investigation review meeting attended by senior leaders to review investigation and agree action plans.</p>	<p>In Process</p>
<p>Assign and manage actions to closure</p> <p>↓</p> <p>Additional Incident communication Prepare and distribute Final HSE Alert</p>	<p>Weekly</p> <p>Within 35 Days</p>	<p>Safety PMC investigation team: agrees actions with assignees and documents ('SMARTER' – Specific, Measurable, Accountable, Reasonable, Timely, Effective, Reviewed)</p> <p>Refer to Action Management</p> <p>Safety PMC investigation team: reviews action progress to monitor completion to agree quality</p> <p>Safety PMC investigation team: reviews incident progress to monitor completion</p> <p>OT safety manager: includes progress information about incident in Weekly Incident Review meeting slides. Contacts LDI for any information required</p> <p>Safety PMC investigation team: prepare approves Final HSE Alert</p> <p>OT safety manager: approves Final HSE Alert</p> <p>HSE GM: distributes Final HSE Alert to all OT</p> <p>OT HSE systems manger: reviews Incident record for internal, Rio Tinto and external reporting requirements</p>	<p>Update incident record with actions (inc. responsible people, dates and action progress comments)</p> <p>Action progress (R2066) and list (R2169) reports to monitor actions</p> <p>Incident progress (R2045) and list (R2144) reports to monitor incidents</p> <p>Weekly Incident Summary report template</p> <p>Generate Final HSE Alert from RTBS and adjust content</p> <p>Draft Final HSE Alert</p> <p>Approve Final HSE Alert Distribute to all OT personnel mailing list</p> <p>Review and update Incident Record in RTBS - Release for Communication and approve Knowledge Sharing communication</p>	<p>Investigation complete</p>
<p>Review and sign-off incident</p> <p>↓</p> <p>Close Incident</p>	<p>Within 35 Days</p>	<p>Leaders: starts review cycle when all actions are complete and injured person has returned to full duties</p> <p>Review and Sign-off Sequence: Level 1 – Safety PMC manager Level 2 – OT Safety Manager Level 3 – GM HSE Level 4 – COO or delegate</p> <p>Level 1,2 & 3: reviews full incident report and related actions to ensure root causes identified and actions control risks. Signs off incident.</p> <p>COO – reviews full incident report and related actions to ensure root causes identified and actions controlled risks. Signs off incident as closed</p>	<p>Receive Incident review worklist item. Review and record sign off in RTBS Automatic notification to next reviewer</p> <p>Receive Incident review worklist item. Review and record sign off in RTBS Automatic closure of incident</p>	<p>Conference</p>
	<p>Within 35 Days</p>	<p>All incidents managed by operational leaders. Except security and business integrity incidents which are managed by specialist groups. Note: Supt = superintendent. LDI = lead investigator. LOR = leader once removed.</p>	<p>Incident automatically closed on Manager sign off</p> <p>Key users: support leaders in process and RTBS steps.</p>	<p>Closed</p>