



PROCEDURE

Title: **Incident Management & Investigation**

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1.0 PURPOSE

To ensure all incidents are managed and investigated to determine root causes and corrective actions.

To prevent reoccurrence of any incident or undesired event that causes or has the potential to cause injury/illness, property or environmental harm or loss to production or a security issue.

2.0 SCOPE

This procedure covers all incident types and applies to all QAL employees and contractors.

3.0 RESPONSIBILITIES

All Employees

- Put in place immediate temporary controls
- Report all incidents to immediate supervision
- Report to *i* Centre or Security following injury or illness
- Participate in incident investigations as required
- Create the incident record in SAP using Portal> HSEC> Service Map> Enter an Incident
- Complete, document action taken and close actions as required
- Attend training as required

Supervision

- Report Critical and High incidents and potentially notifiable incidents as per Attachment 7.2 to Superintendents, Managers and Health & Safety Team and Environment Team
- Follow Occupational Health Centre directions for injured or ill personnel
- Organise, conduct and document incident investigations in SAP as required
- Ensure personnel are trained within the requirements of this procedure

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- Follow-up progress on subordinate actions resulting from incidents

Person responsible for area or equipment at time of incident

- Organise, conduct and document incident investigations in SAP as required
- Co-ordinate clean-up for Environmental Incidents

Work Area or Equipment Owners

- Forward SAP notifications to person responsible for area or equipment at time of incident.

Superintendents

- Attend incident investigations in their section where the risk is Moderate or greater
- Raise an incident for any exceedance against legal requirements or QAL standards in their section
- Raise Red Banners for all significant and significant potential incidents in area of responsibility
- Review all incident investigations within their section
- Ensure that a Management Review action is created for SI, or SPI Incidents, for Manager of the area to verify effectiveness of corrective actions in eliminating the root cause of the incident
- Ensure personnel are trained within the requirements of this procedure & new supervisors complete SM50
- Follow-up progress on subordinate actions resulting from incidents
- Review and update risk register if necessary

Managers

- Attend incident investigation in their department where the risk is High or greater
- Review all investigations within their department
- Ensure personnel are trained within the requirements of this procedure
- Follow-up progress on subordinate actions resulting from incidents
- Verify actions eliminate the root cause, and that actions have been completed
- Close incidents once all actions have been completed

General Manager

- Follow-up progress on actions resulting from incidents
- Approve release of Red Banners
- Approve release of TapRoot investigations

HSE Manager

- Attend HSE incident investigations where the risk is Critical or incidents are notifiable
- Classify incidents according to the Rio Tinto Risk Matrix for reporting in MSST.

HSEC, Reliability Specialists

- Attend incident investigations on an as needs basis
- Seek legal advice as necessary

Safety Specialist

- Notify relevant statutory bodies as required
- Enter Significant Incidents and Significant Potential Incidents in MSST in area of responsibility
- Publish weekly status of investigations into Significant Incidents and Significant Potential Incidents

Environment Specialist

- Notify relevant statutory bodies as required
- Assist in clean-up of Environmental Incidents where required
- Raise an incident for any exceedance against Environmental Authority or permit conditions

Process Safety Specialist

- Attend Process Safety Incident Investigations where the risk is Moderate or greater
- Enter Process Safety Incidents in MSST in area of responsibility

Occupational Hygiene Specialist

- Enter Occupational Illnesses in MSST in area of responsibility

- Investigate any exceedance against occupational exposure limits or biological test limits (OELs or BTLs)
- Raise an incident where the mean Specific Exposure Group result is greater than 50% of the relevant OEL or BTL and no appropriate controls are in place, i.e. respiratory protection device, hearing protective device etc.
- Raise an incident for any genuine individual exposure result that exceeds the 95% upper confidence limit of the mean exposure result of its relevant Specific Exposure Group
- Update relevant PPM's to include reference to High and Significant rated incidents

Reliability Specialist

- Initiate incident reporting as per Attachment 7.2

Electrical Integrity Superintendent

- Initiate incident reporting as per Attachment 7.2

Plant Protection

- Provide medical attention when required
- Create incidents involving injuries in SAP
- Create security incidents in SAP and investigate
- Initiate incident reporting as per Attachment 7.2

Occupational Health Nurse/Occupational Physician

- Provide medical attention for injuries and illnesses
- Assess injury/illness for clearance to return to work
- Create incidents involving injuries in SAP
- Initiate incident reporting as per Attachment 7.2

First Response Team

- Assist in management and clean-up of incidents where required.

Section Training Officer

- Update relevant PPM's to include reference to Critical and High rated incidents.

Community Relations Specialist

- Update Business Resilience Manual contact numbers annually
- Raise Community concerns in the incident system in SAP

4.0 REFERENCES

P003.004 – Risk Evaluator
 P003.011 – Incident Notification
 P312.501 – Injury Management
 P314.106 – Asbestos Management and Control
 P314.608 – Reporting of Serious Electrical Incidents or Dangerous Electrical Events
 P314.963 – Oil Spill Management
 P314.976 – First Response Team
 P703.045 – Corrective Action
 W745.100.04 – Communication with the Environmental Authorities
 Queensland Work Health & Safety Act
 Queensland Work Health & Safety Regulation
 Queensland Petroleum and Gas (Production and Safety) Act Section 706
 Queensland Petroleum and Gas (Production and Safety) Regulation Schedule 2
 Environmental Protection Act
 Environmental Protection Regulation
 Maritime Transport & Offshore Facilities Security Regulation
 Workers' Compensation and Rehabilitation Act S133
 Radiation Safety Act
 Electrical Safety Regulation
 AS1885.1 Workplace Injury and Disease Recording Standard

QAL Maritime Security Plan
 QAL Environmental Authority EPPR00494413
 Training Module SAP100 Entry of Incident Details in SAP
 Training Module SM50 –Incident Management & Investigation
 Business Resilience Manual

5.0 DEFINITIONS

Dangerous Electrical Event

A dangerous electrical event is one involving:

- the coming into existence of circumstances in which a person was not electrically safe, if the circumstances involve high voltage electrical equipment; and despite the coming into existence of the circumstances, the person does not receive a shock or injury (high voltage means a voltage above 1000 V AC or 1500 V ripple-free DC)
- the coming into existence of both of the following circumstances (1) if a person had been at a particular place at a particular time, the person would not have been electrically safe and (2) the person would not have been electrically safe because of circumstances involving high voltage electrical equipment (high voltage means a voltage above 1000 V AC or 1500 V ripple-free DC)
- electrical equipment and in which significant property damage was caused directly by electricity or originating from electricity
- the performance of electrical work by a person not authorised under an electrical work licence to perform the work
- the performance of electrical work by a person if, as a result of the performance of the work, a person or property was not electrically safe
- the discovery by a licensed electrical worker of electrical equipment that has not been marked as required under the Electrical Safety Act

Dangerous Incident

As defined under the Work Health & Safety Regulation, a dangerous incident is an incident in relation to a workplace that exposes a worker or any other person to a serious risk to a person's health or safety emanating from an immediate or imminent exposure to:

- an uncontrolled escape, spillage or leakage of a substance
- an uncontrolled implosion, explosion or fire
- an uncontrolled escape of gas or steam
- an uncontrolled escape of a pressurised substance
- electric shock
- the fall or release from a height of any plant, substance or thing
- the collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with the Regulations
- the collapse or partial collapse of a structure
- the collapse or failure of an excavation or of any shoring supporting an excavation
- the inrush of water, mud or gas in workings, in an underground excavation or tunnel
- the interruption of the main system of ventilation in an underground excavation or tunnel

Environmental Harm

Any adverse effect or potential adverse effect (whether temporary or permanent and of whatever magnitude, duration or frequency) on an environmental value including environmental nuisance.

Incident

Any event that has the potential to cause injury, illness, health impact, property loss, asset damage, environmental harm, significant loss of production or material financial loss. This includes safety, environment, health and combinations therein, security, equipment failure and process incidents. Examples of environmental incidents are shown in Attachment 7.3. Examples of health incidents are shown in Attachment 7.4.

An incident is also an exceedance of an occupational exposure limit, legal requirement or a QAL standard.

Maximum Reasonable Outcome (MRO)

The maximum reasonable outcome for an incident or risk, is based on its consequence potential and likelihood. In determining MRO, the assessor should first evaluate the maximum reasonable consequence and then the likelihood of this impact considering the failure of a combination of controls. The maximum reasonable outcome is based on the risk assessment applying the Rio Tinto HSEQ Qualitative Risk Matrix. The Maximum Reasonable Outcome is classified as either low, moderate, high or critical.

MSST

Rio Tinto's reporting database

Notifiable Incidents

Those incidents that require statutory reporting as a result of the nature of the incident. For example an object falling from height, a breach of Environmental Authority (licence), breach of an Act or security breach of land or water side restricted zones at the Wharf.

Person Responsible for Area or Equipment

The person who is responsible and in control of the area or equipment where the incident occurred at the time of the incident.

Process Safety Incident

A process safety incident is an incident or condition that:

- results in or has the potential to result in a collapse, fire, explosion or release of toxic, reactive, flammable, or explosive material or energy; and
- is directly associated with a process system (a process circuit, and/or piece of safety critical plant designed specifically as the primary containment for safe transportation of process medium) and
- has a maximum reasonable outcome (MRO) of Moderate or higher as classified under the Rio Tinto HSEQ risk matrix (Attachment 7.5).

Process System

A process system is "a process, plant and/or piece of equipment that has the inherent potential to lead a process safety incident." Process systems include:

- pressure vessels (including digesters, flash vessels, heat exchangers, air receivers, etc),
- fired appliances, boilers, calciners and associated ducting,
- pressure piping systems
- tanks
- main process pumps

Note: All engineered technology based or engineered external risk reduction critical plant safe guards specifically designed to interrupt the propagation of a hazardous event thus preventing or mitigating a HSE type consequence, including instrumented protective functions (i.e. level/pressure alarm systems) and physical relief devices (i.e. bursting discs, and pressure relief valves) shall be included as a sub component of the plant. Process Safety Incidents directly associated at the sub component equipment level shall be included in process safety reporting. Electrical power systems are specifically excluded.

Recordable Injury

An injury classified as Medical Treatment, Restricted Work Day or Lost Day.

Reportable Incident - Environment

An Environmental incident which requires external notification, these maybe serious or technical breaches of the sites licence to operate or other legal requirements (TEPs, DMPs, permits etc) Depending on the severity/impact of the incident reporting timeframes to the department vary in accordance with the Environmental Authority.

- ***3-hour alkali report generation as per 12 – alkali model***
- ***12-hour reporting as per G4 – incident with the potential to cause material or serious environmental harm.***

Note: After hours the pollution hotline is the most appropriate contact. 1300 130 372

- **24-hour (or the next business day) reporting as per G5 breaches not in accordance with, or reasonably expected not to be in accordance, with the conditions of the Environmental Authority & A12 Community visible dust emission reports.**

NOTE: ONLY the Manager– Tailing and Environment (or delegate) is authorised to contact the Department of Environment and Science (DES) to notify of incidents. The Environmental team is the first point of contact to determine which category an Environmental incident falls into and the appropriate notification tier.

Serious Electrical Incident

A serious electrical incident is one involving electrical equipment where:

- a person was killed by electricity
- a person received a shock or injury from electricity, and was treated for the shock or injury by or under the supervision of a doctor
- a person received a shock or injury from electricity at high voltage, whether or not the person was treated for the shock or injury by or under the supervision of a doctor (high voltage means a voltage above 1000 V AC or 1500 V ripple-free DC)

Significant Incident (SI)

An incident where the Actual Consequence is classified as Catastrophic, Major or Serious or the Maximum Reasonable Outcome is Critical or High under the Rio risk matrix in Attachment 7.5.

Significant Potential Incident (SPI)

Any Health, Safety or Environment incident with a Maximum Reasonable Consequence of Major or Catastrophic as defined by the Rio risk matrix in Attachment 7.5. A Potentially Fatal Incident (PFI) is a safety related SPI.

Supervision

The leader of a team of people accountable for the output, the productivity and sustained effectiveness of the team. This person may be a QAL person leading a team of QAL people, a contractor responsible for the contract and/or the QAL person responsible for a contract.

Work Area or Equipment Owner

The work area owner is the owner of a work area and in most cases will be a Superintendent. The equipment owner is the owner or person responsible for equipment in an area or section.

6.0 ACTIONS

6.1 Initial Incident

- 6.1.1 The process for managing an incident is shown in the flow chart in Attachment 7.1. Incidents managed by the Business Resilience Management Team are covered in the Business Resilience Manual.
- 6.1.2 For all incidents put in place immediate temporary controls to stop re-exposure to the risk in the short term.
- 6.1.3 For critical or high risk incidents, recordable injuries and potentially notifiable incidents, the incident scene shall be secured to stop interference with plant or other things connected with the incident and to preserve evidence.
- 6.1.4 All incidents shall be reported to immediate supervision. The escalation process for incident notification 24 hours a day is detailed in Procedure P003.011 – Incident Notification.
- 6.1.5 Incidents of an unlawful or suspicious nature which may impact on Wharf Security must be reported immediately to Plant Protection on (4976) 2222. On receipt of a call or becoming aware of an incident through closed circuit TV monitoring, the Plant Protection Officer at the main gate shall activate an incident response as detailed in the QAL Maritime Security Plan.
- 6.1.6 For notifiable incidents, the appropriate statutory bodies shall be informed as outlined in Attachment 7.2. For notifiable incidents involving contractors where the contractor is in control of the workplace area, the contractor is responsible for notification to the relevant statutory

body. A copy of the notification shall be provided to the QAL responsible person in Attachment 7.2.

- 6.1.7 For incidents involving work related injury/illness, the affected person shall report immediately to the Occupational Health Centre. If outside normal business hours, report immediately to Plant Protection and then report to the Occupational Health Centre on the next workday. The Occupational Health Nurse or Plant Protection personnel shall provide immediate medical attention. The Occupational Health Nurse/Occupational Physician shall determine extent of work-related injury/illness and ability to return to work.
- 6.1.8 For incidents involving ongoing injury management refer to Injury Management Procedure P312.501.
- 6.1.9 For incidents involving serious electrical incidents or dangerous electrical events refer to Procedure P314.608.
- 6.1.10 All incident types can be created in SAP through the Portal> HSEC> Service Map> Incidents> Enter an Incident. The Occupational Health Nurse or Plant Protection Officer shall create incident records for any work related injury/illness, including travelling injuries. Injuries that are an aggravation of an existing work injury are not recorded as a new injury. The Occupational Health Nurse shall attach documentation to the original injury report.
- 6.1.11 Non-work related injuries are not recorded in SAP. The Occupational Health Nurse shall make entries in the person's medical file only.
- 6.1.12 On incident creation in SAP, automatic SAP notifications will be sent to the Supervision of any injured or involved employees, Work Area Owners where the incident occurred and HSEC specialists.
- 6.1.13 Bauxite Shipping Incidents occurring at sea are investigated by Rio Tinto Marine.
- 6.1.14 All Electronic Process Safety Systems (BMS, HIMA etc) safety interlock trips shall be investigated by the relevant Workplace Area Owner. Any high or significant risk incident (eg. failure to operate or unusual event) shall be investigated immediately as a Process Safety Incident and recorded in SAP. All other trips shall be formally reviewed at least quarterly by the Workplace Area Owner. The output of this review shall be recorded as an incident in SAP.
- 6.1.15 For serious work related injury/illness refer to Injury Management Procedure P312.501 for post incident actions.
- 6.1.16 For all Significant Incidents, Significant Potential Incidents and recordable injuries a preliminary Red Banner shall be published to the site within 1 day of the incident. The process for raising a Red Banner is described in Attachment 7.6. The Red Banner template is located on Portal>Site Document Access>Forms>Health & Safety>HSE>HSE-019 QAL Red Banner.
- 6.1.17 ***For Reportable (or potentially reportable) Environmental incidents contact the Environmental Superintendent or Specialist as soon as possible to determine the appropriate clean up methodology and reporting requirements. Any offsite release (air, water or land) is highly likely to be a reportable incident and very tight external reporting timeframes can apply.***
- 6.1.18 For environmental incidents, the section Superintendent shall coordinate clean up with assistance from the Environment Specialists and Plant Protection where required, as soon as reasonably practicable.
- 6.1.19 For incidents involving asbestos spills refer to procedure P314.106 – Asbestos Management and Control.

6.2 Incident Investigation

- 6.2.1 All incident types shall be investigated to determine root causes and actions to prevent reoccurrence. For some incidents with a Maximum Reasonable Outcome of Low, the Department Manager may elect not to investigate the incident. In that case the incident can be closed in SAP with a comment added to the incident by the Manager as to why the incident was not investigated. Attachment 7.8 is a guide for collecting information required for an investigation.

- 6.2.2 The Incident Investigation Leader shall be responsible for ensuring the incident is fully investigated. That person shall be:
- Incident involving a First Aid Treatment injury – Immediate Supervision
 - Incident involving a Recordable Injury or a Significant Potential Incident – Department Manager
 - Security incidents – Plant Protection Supervisor
 - All other incidents – Person Responsible for area or equipment at the time of incident
- 6.2.3 An initial investigation shall be held within the current shift of the incident to determine the risk rating before controls. The risk rating before controls determines the level of involvement as described by the risk evaluator located in Portal>Site Document Access>Forms>Health & Safety>Safety>S-051 Risk Evaluator. Use of the Risk Evaluator is described in Procedure P003.004.
- 6.2.4 The Investigation Leader shall determine the make-up of the investigation team to ensure all relevant facts are presented during the investigation. The investigation team must include at least one team member who is independent of the operation for incidents where the actual consequence is either Major or Catastrophic (by the Rio Tinto Risk Matrix). The following people shall be invited to an incident investigation:

The Incident is a:	Invite
Critical risk	HSE Manager, Department Manager, Superintendent
High risk	Department Manager, Superintendent
Moderate risk	Superintendent
Low risk	Supervisor/Team Leader
Environmental Incident	Environment Specialist or delegate
Safety Incident	Safety Superintendent or delegate
Notifiable incident	HSE Manager, Department Manager
Asbestos or Health incident	Occupational Hygiene Specialist or delegate
Electrical Incident	Electrical/Instrument Maintenance Engineer
Equipment Failure Incident	Asset Management Engineer
Process Safety Incident	Process Safety Superintendent
Process Incident	Technical Superintendent, Area Superintendent

- 6.2.5 The form in Portal>Site Document Access>Forms>Health & Safety>HSE-002 Incident Investigation may be used to record information from the investigation. This information is required to be entered into the SAP incident.
- 6.2.6 All incident investigations shall include a root cause analysis using tools such as the 'Fish bone' and 'Why Why' and 'TapRoot'.
- 6.2.7 TapRoot shall be used as the investigation tool for all incidents with a risk rating of Critical and High as well as all recordable injuries and all Significant Incidents and Significant Potential incidents. Asbestos and hearing loss incidents classified as significant may be exempt from the TapRoot process at the discretion of the HSE Manager.

- 6.2.8 The Investigation Leader may select a TapRoot facilitator from the list of people trained in the TapRoot process located in Portal>QNet>HSEQ>TapRoot Facilitators. A flowchart for the process is in Attachment 7.7.
- 6.2.9 All incident investigations shall identify corrective actions to eliminate root causes and prevent re-occurrence.
- 6.2.10 At all investigations where a person was involved in a task or action where an incident occurred, the following two questions must be asked by the Investigation Leader during the investigation:
- Was a risk assessment conducted prior to commencing the task?
 - Was the person competent to perform the task?
- 6.2.11 All incident investigations shall have attached to the incident record in SAP (under Tab Reports/Documents) any photos or other documentation critical to the incident investigation (eg procedures, JSPs, PPMs, pre-task hazard assessments, training records, reports). The Red Banner, approved TapRoot Summary & regulatory notification shall also be attached to the incident record in SAP where applicable.
- 6.2.12 The full incident investigation results shall be entered into SAP for review by the Superintendent as follows:
- Equipment Failure/Process incidents within 30 days
 - All other incident types within 7 days
- 6.2.13 The appropriate Superintendent shall review the incident investigation to ensure root causes and corrective actions have been identified to prevent re-occurrence. All efforts should be made to determine actions that will reduce the after control risk to acceptable/low by considering the hierarchy of controls. If the risk is unable to be reduced to low after controls, then following sign off is required. Ensure that HSE Risks are covered in the Risk Register with appropriate controls.

Residual Risk Assessment	Sign-off required
Moderate	Superintendent
High	Department Manager
Critical	General Manager

- 6.2.14 If during the investigation it is determined that the incident is notifiable and it hasn't previously been, then the appropriate statutory body shall be informed as outlined in Attachment 7.2.
- 6.2.15 On completion of an investigation into a recordable injury or Significant Potential Incident, the investigation findings shall be presented in a PowerPoint format using the template on Portal/Site Document Access/Forms/Health & Safety/HSE-020 Incident Investigation Summary PPT Template in addition to being recorded in SAP.
- 6.2.16 The presentation shall be approved by the Manager responsible for the investigation who will then forward this to the Safety Specialist or HSE Manager for review. This review may require legal advice to ensure legal commitments are met.
- 6.2.17 The Safety Specialist or HSE Manager shall then forward the presentation to the General Manager for final approval before publishing internally and into MSST and releasing to the relevant authorities if required.

6.3 Incident Actions Management

- 6.3.1 Only employees present at the incident investigation shall be assigned actions. If actions need to be assigned to employees not at the investigation, the employee shall be spoken to prior to assigning the action.

- 6.3.2 All actions shall be added to the incident record in SAP. Sufficient detail needs to be added to the Action description so people responsible know what they need to do to complete the action and what the auditable result will be eg. 'Investigate and produce report on the use of....' or 'Review JSP/PPMxxxx with team at the next toolbox meeting and record date and attendance of review'.
- 6.3.3 Actions shall not be completed until the action has been tasked, implemented and is in place as a control to prevent re-occurrence. Creating a work order, purchase order or project does not mean the action has been completed.
- 6.3.4 On completing an action, the person responsible shall add a comment which details evidence of completion to the action description for auditing purposes eg. work order, purchase order, project, report numbers etc. Evidence of completion can also be recorded as attachments.
- 6.3.5 SAP manages action and overdue action notifications, the reporting of overdue actions and who can access actions for closure. In the event that an action date is extended, a reason shall be added detailing the reason for the extension.
- 6.3.6 The SAP Incident Investigation can only be closed once all actions have been completed and can only be closed by Managers.

6.4 Incident Action Review

- 6.4.1 For Incidents categorized as Significant Potential Incident (SPI), or Significant Incident (SI), the Area Manager shall add an additional action to review the effectiveness of the actions in addressing the root cause, and therefore reducing risk of a repeat SPI, or SI. The action shall be allocated to a member of the department that the incident occurred in. This person shall undertake the review with the assistance of a HSE team member (depending on H, S or E classification). The review shall be completed 3 months after the completion of all other incident actions.

6.5 Incident Closure

Once all incident actions are closed, the Department Manager shall check all incident actions have been completed and any action taken is documented. A review for effectiveness must then be completed for all SI or SPI Incidents. On completion, the incident can be closed off.

6.6 Records & Reporting

- 6.6.1 All incident investigation records, including attachments, shall be kept and maintained in SAP.
- 6.6.2 The procedure for reporting incidents in the Rio Tinto MSST system is covered in Attachment 7.5.
- 6.6.3 The procedure for publishing a Red Banner Alert in the Rio Tinto MSST and Knowledge Sharing systems is covered in Attachment 7.6.
- 6.6.4 The First Response Team Leader shall fill out a report for all incidents where the First Response Team has been called to a fire. This shall be on the Rio Tinto Alcan Fire Report located in template Portal>Site Document Access>Forms>Health & Safety>HSE>HSE-038 Rio Tinto Alcan Fire Report. The completed report shall be sent electronically to the HSE Manager for forwarding to Rio Tinto at arlene.roter@riotinto.com.
- 6.6.5 Section Training Officers will update PPM's to include reference to Critical or High rated incidents, recordable injuries or Significant Potential incidents as required.

6.7 Training & Management Controls

- 6.7.1 All employees shall receive training regarding their responsibilities relating to this procedure via the Plant Orientation.
- 6.7.2 Supervisors shall receive training in SM50 Incident Management & Investigation, SAP100 Entry of Incident Details in SAP on appointment to Supervisor role. Follow-up training as determined by PER.

- 6.7.3 Investigation Leaders utilising the FishBone/5Why's methodology shall be trained in SM50 Incident Management & Investigation & SAP100 Entry of Incident Details in SAP before facilitating investigations.
- 6.7.4 TapRoot Facilitators shall be trained in SM50, SAP100 as well as successful completion of the 5-day TapRoot training.
- 6.7.5 It is recommended that Superintendents, Project Leaders and similar roles undertake the 2-day TapRoot Lite training.
- 6.7.6 A training exercise for the Business Resilience Management Team and First Response Team will be led by the Incident Controller and conducted annually unless real events have occurred during the year.
- 6.7.7 Members of the Business Resilience Management Team will be appointed by the Business Resilience Management Team Incident Controller.
- 6.7.8 Records shall be kept in SAP against the individual's training records.

7.0 ATTACHMENTS

- 7.1 Incident Management Flow Chart
- 7.2 Incident Reporting for Notifiable Incidents
- 7.3 Examples of Environmental Incidents
- 7.4 Examples of Health Incidents
- 7.5 Incidents to be entered in the Rio Tinto MSST system
- 7.6 Red Banner Publishing in the Rio Tinto system
- 7.7 TapRoot Investigation Process
- 7.8 Investigation Guidelines

8.0 REVISION HISTORY

Issue	Revision	Revision date	Change Reason
2	4	11/02/2021	Update as per the KPMG audit section 3.2 to include environmental reporting timeframes
2	3	04/11/2016	Updated Red Banner reporting requirements and role titles
2	2	09/03/2016	To reflect update to SAP Incident Management system, risk terminology, requirements for verifying effectiveness of SI or SPI, and closing incident investigations.