



HSSE INCIDENT INVESTIGATION AND LEARNING MANUAL

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HSSE Incident Investigation and Learning Manual

1. Purpose

This Manual defines the minimum requirements for timely and effective notification of all work-related Health, Safety, Security and Environmental (HSSE) incidents to appropriate levels inside and outside of AIMC and the minimum requirements for the investigation, reporting and review of all such incidents, plus the sharing of learning both inside and outside of the company. It meets or exceeds the requirements of the Incident Investigation and Learning manual section of the Shell HSSE & SP Control Framework.

2. Scope

This Manual specifies the process for the notification, investigation and review of all HSSE incidents associated with work-related activities that are under the management system control of AIMC. It thus covers injuries (including instances of non-accidental death), illnesses, incidents resulting in asset damage, environmental impact and/or impact on company reputation, near misses and potential incidents.

It includes references to the use of Fountain Incident Management, FIM, based on Shell Group system used within Downstream to aid the overall incident management process. It does not cover incident/emergency or crisis response, which are covered by separate documents. It does not cover any notification requirements specified in local regulations. HSSE performance reporting is also outside the scope of this document.

3. Notification, Investigation and Review Requirements

3.1 Process Overview

The steps for the overall process of incident management are:

Step 1 – Report the incident. Personnel must report any incident they become aware of as soon as possible and no later than the end of the same working day or shift. All company and contractor personnel have the responsibility to report work-related incidents, both potential incidents as well as those with actual consequences, in which they are involved, which they witness or that are reported to them by third parties. Incidents shall be reported to the person's own line manager and, where different, the manager of the facility that is being visited. All incidents shall be recorded in Fountain Incident Management, FIM. Reporting in FIM shall be carried out either by a person who was involved in or witnessed the incident or by a designated '1st Reporter', in accordance with the locally-agreed practice. Submission of the 1st Report in FIM to the designated Responsible Supervisor shall occur as soon as is practical after the incident has occurred. **Step 2 - Notification.** The Responsible

Supervisor shall ensure that the incident is notified to the appropriate parties. The parties to be notified are determined by the actual and potential Severity and Likelihood of the incident. The Responsible Supervisor shall either accept the role of Incident Owner or assign it to a more appropriate person. See Section 3.2 below.

Step 3 – Investigation. All incidents shall be investigated so that lessons may be learned and corrective action taken that will minimize the risk of a recurrence. Investigation shall take place as soon as possible after the incident has occurred. The nature of the investigation depends on its actual and potential Severity and Likelihood. The Incident Owner and Incident Team Leader shall record all necessary information about the incident in FIM and, where necessary, prepare an investigation report. See Section 3.2 below.

Step 4 - Review. Incidents are reviewed in order to ensure that all possible lessons have been learned and that comprehensive and sustainable corrective actions have been identified that will minimize the risk of a recurrence. As for other steps of the process, the nature of the review depends on the actual and potential Severity and Likelihood. See Section 3.2 below.

Step 5 - Follow-Up. Lessons learned from incident investigation and review shall be circulated to all AIMC contract sites. Actions to address areas for improvement – and their implementation - shall be recorded in FIM. Progress with the implementation of the corrective actions shall be monitored by the Incident Owner. The details of this process step again depend on the actual and potential Severity and Likelihood of the incident. See Section 3.2 below.

3.2 Specific Requirements

The requirements for incident notification, investigation, review and follow-up depend on the actual or potential Severity and Likelihood of the incident, determined by use of the Risk Assessment Matrix of Shell, RAM:

Process for a Significant Incident (Incident of actual Severity Rating 4 or 5) or a High Potential Incident (Incident of Potential Risk lying in the Red Zone of the RAM) - Refer to Appendix A.

Process for an incident of actual Severity Rating 3 unless it is a High Potential Incident - Refer to Appendix B.

Process for an incident of actual Severity Rating 0 to 2 unless it is a High Potential Incident - Refer to Appendix C.

4. Assessment of Incident Potential Risk

Incident Potential Risk is assessed using the Risk Assessment Matrix of the Shell Group HSSE & SP Control Framework by combining the worst-case consequences

(Severity) of an incident that could have occurred under slightly different credible circumstances and the Likelihood of such an incident occurring. For example, the worst-case consequences of a road tanker rollover will always be at least 4 no matter what the actual Severity Rating was, since the complete loss of control of the vehicle that occurs or the possibility that vehicle occupants were not wearing seat belts means that there could always be loss of life. When assessing the Likelihood, the following definitions shall be used:

'Location' means the Shell Specialities Line of Business

'Organisation' means = the B2B Class of Business

'Industry' means the oil industry

Refer to the Risk Assessment Matrix Guide of the Group HSSE & SP Control Framework for guidance and examples of how to assess Incident Potential.

5. References and Supporting Tools

Additional guidance on incident classification, investigation and reporting will be found in the Shell Group's Incident Investigation and Learning manual section of the Group HSSE & SP Control Framework.

The Risk Assessment Matrix can be found in the Risk Assessment Matrix manual section of the Shell Group HSSE & SP Control Framework.

Consequence Severity Rating definitions and guidance on assessment of both Severity and Likelihood can be found in the Risk Assessment Matrix Guide of the Shell Group HSSE & SP Control Framework.

6. Glossary

AIMC GM – Company General Manager

First Reporter – The person who creates the initial record of an incident in the Fountain Incident Management system.

High Potential Incident - A High Potential Incident is an Incident for which the combination of potential Consequences and Likelihood is assessed to be in the red area of the RAM. A High Potential Risk Incident can result in injury, illness or damage to Assets, the environment or company reputation, or it can be a Near Miss.

Incident Owner – The person responsible for ensuring that the requirements of this manual are fulfilled and that all necessary information is recorded in FIM in line with the requirements of the FIM workflow. This role can only be assigned to designated people. Regional HSSE managers maintain the lists of people in their region who can fulfil this role within FIM itself.

Shell Representative - Local Senior Downstream Representative

Near Miss - An incident that could have caused illness, injury or damage to assets, the environment or company reputation, or consequential business loss, but did not.

Potential Incident - An unsafe practice or a hazardous situation that could result in an incident (incident has not occurred).

Responsible Supervisor – The person responsible for reviewing the initial (draft) record of an incident in FIM, completing necessary information in line with the requirements of the FIM workflow and forwarding the incident record to the designated Incident Owner. This role can only be assigned to designated people. Regional HSSE managers maintain the lists of people in their region who can fulfill this role within FIM itself.

Significant Incident - A Significant Incident is an Incident that has a Consequence with a Severity rating to people, the environment, Assets or reputation of 4 or 5 on the RAM.

Appendix A: Process for Significant and High Potential Incidents

Notification	Investigation	Submission	Publish
<p>Notify the local Shell manager Such notification shall be face-to-face or by phone as soon as possible after the incident.</p> <p>Action Party: Person involved in or witnessing the incident or the person that is notified of the incident by a third party as soon as possible.</p> <p>Notify Relevant AIMC GM AIMC GM to assign a FIM 1st reporter</p> <p>Action Party: Person involved in or witnessing the incident / activity within 12 hours of incident.</p>	<p>Appoint Investigation Team Team members shall be drawn from local site supervisors, GM, contractor representatives (where relevant), supported by the local Shell Representatives, The GM shall appoint one of the team members as Incident Investigation Team Leader. The team leader shall be an Incident Investigation Facilitator, who shall give a written report to the GM. The GM or his representative who shall be competent in the methodology to be used. The GM shall act as Tripod Facilitator.</p> <p>Action Party: AIMC GM</p> <p>Conduct Investigation The investigation shall use the Tripod analysis.</p> <p>Action Party: AIMC GM</p>	<p>Submission to Shell for Incident Review The incident investigation report, any supporting documentation and challenge exercise document will be submitted to local Shell manager for Review.</p> <p>Action Party: AIMC GM.</p>	<p>Finalise and Publish the LFI Alert Create final report circulate to all contract areas</p> <p>Action Party: AIMC GM.</p>

