

A. MANAGEMENT SYSTEMS

A1. GENERAL SAFETY SYSTEMS

1.0 Scope

1.1 In order to satisfy this standard, a system must be:

- (a) Documented in a clear and auditable form;
- (b) Practical; and,
- (c) Working effectively.

And it must also:

- (d) Include procedures for periodic review and revision.

1.2 **Manager** means any person with the authority to assign work to another person.

2.0 Minimum requirements: performance management system

2.1 As part of the annual plan, every business, site and department must have in place a safety improvement action plan for eliminating all injuries in its operations.

2.2 Every employee must have:

- (a) Targets setting out how they are expected to contribute to the safety improvement action plan.
- (b) A formal meeting at least once a year with their managers in which these targets are agreed and documented; and,
- (c) A formal meeting at least once a year with their managers in which their performance against targets is reviewed and an appropriate action plan agreed and documented.

2.3 Safety work behaviour must form part of an employee's performance review. If there is a variable compensation scheme in place, it must be designed so that safety cannot be compromised in order to maximise the financial reward.

2.4 There must be in place a fair and rigorous system for identifying and correcting inadequate safety performance.

3.0 Minimum requirements: safe work systems

- 3.1 There must be a system, based on risk assessment, for ensuring that effective controls and safe work procedures exist for all hazardous activities, including the safe handling and storage of hazardous substances and including emergency procedures.
- 3.2 There must be a system for ensuring that employees are trained and equipped to carry out their work according to the applicable safe work procedures, and that their competence has been tested.
- 3.3 There must be a system for ensuring that activities requiring technical certification are carried out only by suitably certified people.
- 3.4 There must be a system for ensuring the risks associated with aviation operations are controlled in accordance with the Rio Tinto Aviation Safety Guidelines.
- 3.5 There must be a system for practising emergency procedures.
- 3.6 There must be a system of first-party auditing carried out by line management, which verifies that all employees:
- (a) Are competent, trained, equipped and, if required certified, to carry out their work in compliance with safe work procedures; and,
 - (b) Do in fact carry out their work in accordance with the applicable safe work procedures.
- 3.7 The first-party audit system must include:
- (a) The collection, monitoring and analysis of audit data;
 - (b) The identification of the causes of unsafe acts and conditions; and,
 - (c) The implementation of actions to correct these causes.

4.0 Minimum requirements: safety incident investigation

- 4.1 A safety incident is an event or act, which results in an occupational injury, or illness or damage to physical assets or which might have done so. These safety incidents must be reported on the shift on which they occur.
- 4.2 There must be a system for risk evaluation of all safety incidents. Subsequent investigation of incidents must ensure that:
- (a) A manager responsible for the activity or area in which the incident occurred carries out the investigation. S/he will involve other employees to ensure that all causal factors have been identified.
 - (b) The root causes of the incident are identified.
 - (c) The controllable causes are corrected so as to prevent recurrence.
 - (d) Details of the incident and the lessons from it are communicated and learnt.
 - (e) There is a process to confirm that (c) and (d) have been carried out.

5.0 Minimum requirements: safety organisation and communication system

- 5.1 There must be a safety organisation structure with the following elements:
- (a) A safety committee which supports line management in developing and overseeing the safety improvement action plans.
 - (b) A structure of divisional and/or departmental safety committees which ensure coverage of all areas of the operation; and,
 - (c) A system to promote safety awareness and general communication such as a pre-shift safety briefing/huddle.
- 5.2 There must be a system for encouraging, collecting, evaluating, documenting, archiving and (as appropriate) implementing safety suggestions.
- 5.3 There must be a system for ensuring that relevant incidents, which have been reported by other operations on the Rio Tinto Safety Web Site, are communicated internally.