

**B: RECORDING AND REPORTING**

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**B1. INJURY AND INCIDENT RECORDING AND REPORTING**

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**1.0 Scope**

1.1 This standard sets out:

- The Rio Tinto definitions of injuries, injury rates and incidents; and,
- Requirements for recording and reporting of injuries or incidents involving employees (permanent and temporary) and contractors.

**2.0 Rio Tinto Definitions**

2.1 **Lost time injuries** (LTIs) are the sum of lost day injuries and restricted work duty injuries.

- (a) **A lost day injury** (LDI) is an occupational injury that results in one or more days away from work. A fatal injury is counted as a lost day injury.
- (b) **A restricted work duty injury** (RWDI) is an occupational injury where, as a result, (1) the employee was assigned to another job on a temporary basis, or (2) the employee worked at a permanent job less than full time, or (3) the employee worked at his or her permanently assigned job but could not perform all the duties normally connected with it.

Restricted work activity occurs when the employee, because of the job-related injury, is physically or mentally unable to perform all or any **part** of his or her normal assignment during **all or any part** of the normal workday or shift.

2.2 **A medical treatment case** (MTC) is an occupational injury which is not classified as a lost time injury, but which results in loss of consciousness or medical treatment other than first aid.

2.3 **All injuries** (AI) are the sum of lost time injuries and medical treatment cases.

2.4 **Shifts/days lost** are the ACTUAL number of shifts/days a person was unable to work due to an occupational injury i.e. the sum of days away from work (DAW) and those on restricted work duties (RWD). If a person is unable to return to his normal job after two years, the injury is considered a permanent injury and no further “shifts/days lost” are recorded. The injury is reclassified as Permanent Damage Injury (PDI). There will be no shifts/days lost accumulated for a fatality or PDI.

2.5 A **Permanent Damage Injury (PDI)** is any occupational injury:

- (a) From which there has not been, or is not expected to be, full recovery after two years.
- (b) Which has substantial negative consequences for the individual e.g. prolonged hospitalisation, prolonged inability to work, loss of ability to continue normal social and home life, major damage to body or body function. All amputations are PDIs.

2.6 The **Hours of Exposure** is the total number of hours worked by all employees (permanent or temporary) and contractors in the reporting period.

2.7 **Lost Time Injury Frequency Rate (LTIFR)** is the rate of occurrence of LTIs per 200,000 hours worked:

$$\frac{\text{Number of LTIs} \times 200,000}{\text{Hours of exposure}}$$

2.8 **Lost Time Injury Severity Rate (LTISR)** is the rate at which normal rostered workdays or shifts are lost as a consequence of LTIs per 200,000 hours worked:

$$\frac{\text{Number of lost shifts} \times 200,000}{\text{Hours of exposure}}$$

2.9 **All Injury Frequency Rate (AIR)** is the rate of occurrence of All Injuries per 200,000 hours worked:

$$\frac{\text{Number of All Injuries} \times 200,000}{\text{Hours of exposure}}$$

2.10 A **Significant Incident** is any incident which has actual or potential health, safety (or environmental) consequences that are of a serious nature and have the possibility to cause actual or potential material or reputational damage to the operation or to Rio Tinto.

2.11 **Rio Tinto Injury Statistics** are the monthly returns of:

- (a) Fatalities
- (b) Lost Time Injuries
- (c) Medical Treatment Cases
- (d) Permanent Damage Injuries
- (e) Shifts Lost
- (f) Severity

for all contractors and employees.

### 3.0 **Injury and Incident Reporting and Recording**

3.1 There must be in place a system whereby:

- (a) All injuries are reported to the line manager responsible immediately.
- (b) The line manager must record all material details of the injury or incident as required by local regulation, in a timely manner, in an appropriate log and ensure that the person responsible for HSE record keeping is informed.
- (c) The HSE record-keeper must ensure that all internal and external reporting requirements are satisfied and that the injury or incident is correctly classified for internal and external purposes.
- (d) Significant incidents are reported to the senior site manager as soon as possible and certainly within 12 hours of the occurrence.

3.2 There must be a system for ensuring that **Rio Tinto Injury Statistics** are supplied to Rio Tinto on the forms, in the manner and by the deadline prescribed from time to time.

3.3 There must be in place a system for recording and reporting all incidents involving injury, damage to property or damage to the environment or the potential for such injury or damage. This system must satisfy applicable regulatory requirements.

3.4 There must be in place a system for ensuring that a written report of Significant Incidents are submitted to the Chief Executive of Rio Tinto, with a copy to the Product Group Chief Executive, within 24 hours of their occurrence.

3.5 There must be a system for ensuring that safety incidents of relevance to other Group operations are posted on the Rio Tinto safety web site within seven days of their occurrence.