

## Standard

# RIO TINTO HSEQ MANAGEMENT SYSTEM

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## FOREWORD

Rio Tinto is a leader in finding, mining and processing the earth's mineral resources. The Group's worldwide operations supply essential minerals and metals that help to meet global needs and contribute to improvements in living standards.

In order to deliver superior returns to shareholders over time, Rio Tinto takes a long term and responsible approach to the Group's business. We concentrate on the development of first class ore bodies into large, long life and efficient operations, capable of sustaining competitive advantage through business cycles.

Major products include aluminium, copper, diamonds, energy products (coal and uranium), gold, industrial minerals (borates, titanium dioxide, salt and talc), and iron ore. The Group's activities span the world but are strongly represented in Australia and North America with significant businesses in South America, Asia, Europe and southern Africa.

Wherever Rio Tinto operates, the health and safety of our employees is our first priority. We seek to contribute to sustainable development. We work as closely as possible with our host countries and communities, respecting their laws and customs. We minimise adverse effects and strive to improve every aspect of our performance. We employ local people at all levels and ensure fair and equitable transfer of benefits and enhancement of opportunities.

## 0.0 INTRODUCTION

The Health, Safety, Environment and Quality management system (HSEQ MS) supports Rio Tinto Group-wide initiatives of horizontal integration across the business. It offers opportunities to standardise corporate and business HSEQ management processes.

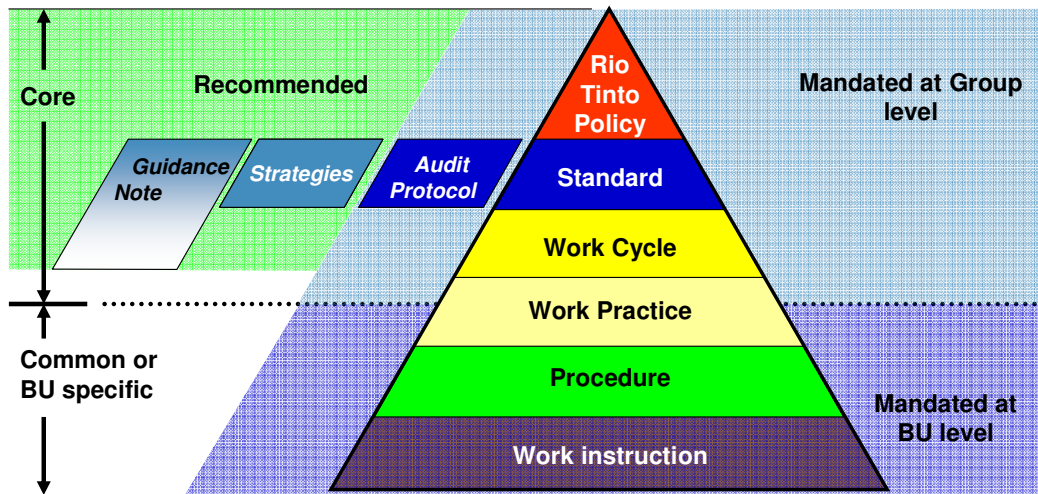
The HSEQ management system is designed on the principles of continuous improvement and generally follows the layout of common international standards such as ISO14001:2004, ISO9001:2001 and the Plan, Do, Check and Review cycle.



**Fig 1: Continuous improvement cycle of the HSEQ management system elements**

A strict document naming convention and hierarchy is utilised. The HSEQ management system is comprised of this document, 'the standard' – which defines the core requirements of the system, and reference to other standards mandated throughout the

Group. The position of this standard in the hierarchy, its relevant position against Group policies, such as *The way we work*, and the use of mandated work cycles and audit protocols is outlined in Figure 2. Work cycles provide a second level of mandated detailed requirements expanding upon the requirements of a standard and provide detailed process steps on how the requirements are achieved or met. Audit protocols outline the standard's verification and conformance requirements of the management system for a Rio Tinto business.



**Fig 2: Rio Tinto document naming convention and hierarchy.**

## 0.1 APPLICATION

This standard, which supports and defines further the key requirements of Rio Tinto's policy of business practice, *The way we work* are applicable to all managed businesses in the Rio Tinto Group. They include:

- (a) Rio Tinto managed businesses – sites and operations, controlled facilities and activities defined from exploration and administration through to rehabilitation and closure
- (b) development projects, mergers, acquisitions and divestments
- (c) contractor activities undertaken on Rio Tinto sites or under Rio Tinto management

Rio Tinto expects business partners, such as associate companies or joint ventures where we do not have operating responsibility, as well as principal contractors, suppliers and others with whom it has a substantial involvement, to conform to comparable HSEQ management standards. Rio Tinto informs them of these standards, its principles and policies and works with them where appropriate to support their adoption of practices consistent with our own.

Rio Tinto managed businesses must conform to the requirements established in the Rio Tinto Health, Safety, Environment and Quality management system (HSEQ MS) standard. They must define and document the scope of their management system including details of, and any justification for, exclusions in accordance with established procedures for variance and non implementation. The HSE component of the HSEQ MS is mandatory for all Rio Tinto managed businesses. The Quality (Q) component of “HSEQ” is applicable only for those businesses with, or seeking certified quality programmes. Standalone Quality management system requirements are identified by the symbol [Q] at the beginning of the clauses.

Where the requirement for a *documented procedure* appears in this standard, this means that a procedure is established, documented, implemented and maintained.

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**Process Step: Plan**

**1 – POLICY**

Objective: To state the intentions, commitment and principles of the Rio Tinto Group in relation to the management of health, safety, environment and quality.  
To periodically review the policy and make sure it provides direction for the Business.

1.1 Rio Tinto managed businesses must have policies (including Quality standard requirements where applicable) consistent with the intent of *The way we work* and the Rio Tinto Group’s health, safety and environment policies relevant to the nature, scale, risks/impacts and purpose of the business and products, and specifically related to their business activities, including:

- (a) compliance with legal and other requirements, including international accords and external requirements to which the company subscribes
- (b) commitment to providing and developing required resources
- (c) commitment to adopting leading practice in key HSEQ areas through continuous improvement.
- (d) commitment to establishing measurable objectives and targets<sup>1</sup>
- (e) prevention of incidents, including injuries, illnesses, pollution, property damage, process losses and business interruption
- (f) provision of a risk and impact management framework for the setting of HSEQ objectives and targets
- (g) the importance of meeting customer requirements is communicated throughout the business
- (h) encouragement of effective employee participation
- (i) recognition of the business value of effective HSEQ performance.

1.2 The HSEQ policy/ies must be:

- (a) approved at the operation’s appropriate business unit or product group level and endorsed by the operations management
- (b) effectively communicated and made available to all stakeholders (including employees and contractors)
- (c) regularly updated based on the results of annual management reviews.

1.3 Rio Tinto managed businesses must establish, implement and maintain a documented procedure(s):

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<sup>1</sup> Refer to Element 4 – HSEQ management improvement planning

- (a) to identify HSEQ hazards / aspects of the operation's specific activities, products and services that can be controlled and those the operation can influence
  - (b) the procedure(s) must take into account any planned, new or modified developments or activities<sup>ii</sup>.
  - (c) [Q] to identify the business process streams required for the quality management system and their application throughout the operation.<sup>iii</sup>
- 1.4 [Q] Businesses with quality programmes must ensure that the applicable scope of the HSEQ management system in relation to product realisation is documented and maintained.

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<sup>ii</sup> Refer to Element 3 – Hazard identification and risk management and Element 4 – HSEQ management improvement planning.

<sup>iii</sup> Refer to Element 10 – Operational control – clause 10.19

## 2 – LEGAL AND OTHER REQUIREMENTS

- Objective : To establish, implement and maintain procedures to identify and record compliance / conformance against all legal and other requirements as well as identifying how they are applicable to HSEQ risks.
- 2.1 Rio Tinto managed businesses must maintain a certification conforming to the *ISO 14001:2004 Environmental Management System standard*. An accredited certification body must conduct the certification.
- 2.2 Rio Tinto managed businesses should, but can individually decide to, obtain and maintain other system certifications conforming to *ISO 9001:2001 Quality Management System*; and / or certified health and safety standards (OHSAS 18001:1999; ANSI: Z10:2005; AS-NZS 4801:2001). Such decisions must be documented.
- 2.3 Each Rio Tinto managed businesses must conform to the *Rio Tinto Compliance standards* and *Corporate governance standards* (available on <http://www.riotinto.com/library/reports/corpPublications/default.aspx>).
- 2.4 A Rio Tinto register of HSEQ related Group requirements must be available at all businesses. This register must contain internal requirements and external commitments to which the group subscribes and it is maintained by Rio Tinto corporate.
- 2.5 Each business must develop a HSEQ business compliance and conformance register that identifies risks and their associated HSEQ remedial plan relevant to that business, including:
- (a) compliance with local, state, provincial, regional or federal statutory requirements, standards or regulations
  - (b) compliance with license requirements
  - (c) compliance with codes of practice
  - (d) conformance with internal policies, standards, work cycles, work practices and procedures<sup>IV</sup>
  - (e) conformance with corporate mandatory and internal and external voluntary commitments
  - (f) conformance with international requirements where applicable
  - (g) [Q] conformance with customer requirements.

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<sup>IV</sup> Refer to Element 10 – Operational control – clause 10.3

- 2.6 The business compliance and conformance register must identify the documentation that demonstrates compliance and conformance.
- 2.7 A documented procedure must be in place, applicable to all levels of the operation, to ensure that the business compliance and conformance register is up-to-date and controlled<sup>V</sup>.
- 2.8 The compliance and conformance register must be accessible to the relevant personnel within the business.
- 2.9 Rio Tinto managed businesses must ensure that all applicable requirements are taken into account when establishing, implementing and maintaining its HSEQ management system, including documentation as stated under applicable certification requirements such as ISO 14001:2004; ISO 9001: 2000; AS/NZS 4801:2001; OHSAS 18001:1999; ANSI Z10-2005 and/or others to which the business subscribes.
- 2.10 A documented procedure must be in place to ensure that changes to statutory and permitting requirements or standards are identified, obtained, reviewed and that the changes are implemented and communicated.
- 2.11 Statutory and permitting requirements will take precedence over Rio Tinto standards, except in those cases where the Rio Tinto standards<sup>VI</sup> are more stringent.
- 2.12 A system must be in place to record all incidents involving an identified non-conformance and non-compliance and track all remedial action plans<sup>VII</sup> from development to implementation.

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<sup>V</sup> Refer also to Element 8 – Document control – clause 8.2.

<sup>VI</sup> Refer to Element 10 – Operational control – clause 10.11

<sup>VII</sup> Refer also to Element 14 – Non-conformance, incident and action management

### 3 – HAZARD IDENTIFICATION AND RISK MANAGEMENT

Objective : To ensure that HSEQ hazards, aspects and opportunities are identified, and their resulting risks to people, property, assets and the environment are evaluated and managed, including the recording in a common register available Group wide.

3.1 Rio Tinto managed businesses must ensure that HSEQ hazard identification, risk evaluation and risk management conforms with the risk framework and requirements detailed in the *Hazard and risk management work cycle [WC2100]* and its associated documentation. The risk framework follows the following steps:

- (a) establishing the context of the risk assessment including acceptability criteria
- (b) conducting the risk identification. This includes:
  - i. identifying hazards / aspects
  - ii. analysing hazards / aspects
  - iii. assessing the current control(s) and their effectiveness
  - iv. deciding what level of risk assessment (second or third Level) is required in the evaluation step
- (c) evaluating risks by:
  - i. qualitative or quantitative assessment(s) to classify the risks as either low, moderate, high or critical (synonyms for Class IV to I) using the HSEQ risk determination matrix (likelihood and consequence)
  - ii. comparing the risk to pre-established risk acceptance criteria
  - iii. recording the results in the risk register
  - iv. prioritising risks for action planning or monitoring
- (d) managing the risks by:
  - i. identifying, comparing and evaluating the risk reduction measures for threats (risks with a negative consequence) or the enhancement measures for opportunities (risk with potential positive consequences)
  - ii. developing and agreeing on an action plan(s) for risks taking into account the hierarchy of controls<sup>VIII</sup>
  - iii. incorporating action plans into the business plan for the operation
  - iv. reporting the risk information
  - v. verifying the completion of action(s)
  - vi. establishing the new risk level through a re-assessment of the risk

3.2 A documented procedure defining activities relating to consultation, communication, monitoring and reviewing must be developed and implemented to support all of the steps in clause 3.1.

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<sup>VIII</sup> Refer to Clause 3.13; 3.14 and 3.15

- 3.3 The risk framework and requirements detailed in the *Hazard and risk management work cycle [WC2100]* must be applied for activities including:
- (a) exploration and project development
  - (b) conceptual studies
  - (c) order of magnitude studies
  - (d) pre-feasibility studies
  - (e) feasibility studies
  - (f) detailed engineering, procurement and construction
  - (g) commissioning
  - (h) operating
  - (i) administering
  - (j) closure
- 3.4 HSEQ risk evaluations must follow the three-level assessment model, as defined in the *Hazard and risk management work cycle [WC2100]*. The assessment model's application is dependent on the context, nature and scale of the risks.
- (a) Level 1 – pre-task hazard assessment (Task / Activity Based)
  - (b) Level 2 – qualitative risk assessment
  - (c) Level 3 – quantitative risk assessment
- 3.5 Rio Tinto managed businesses must establish and maintain a risk register. The risk register will contain HSEQ risks pertinent to the operation and Rio Tinto HSE performance standards for all hazards / aspects, and be aligned to the information fields as described in the *Hazard and risk management work cycle [WC2100]* and *Record assessment [WP1260-10]; Update assessment [WP1260-11]; and Reporting and risk register [WP1260-12]* work practices.
- 3.6 Pre-task hazard assessments (Level 1) are conducted prior to the start of each task or activity to check for hazards and suitable controls. Personnel (including contractors) must undertake regular pre-job hazard assessments.
- Where hazards, aspects or opportunities are identified without a control, a risk assessment must be conducted (advance to Level 2).
- 3.7 Risk assessment teams must include individuals with adequate knowledge and experience in conducting the appropriate level of risk assessments and to determine implications of change<sup>IX</sup>. A list of attendees at risk assessment workshops must be documented.
- 3.8 Rio Tinto managed businesses must periodically, or when processes change, undertake reviews to identify hazards / aspects / opportunities specifically related to all Rio Tinto health, safety and environment standards. In addition to

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<sup>IX</sup> As per the requirements established in Element 11 – Management of change

these standards, hazards / aspects relating to the following themes must be considered:

- (a) biodiversity
  - (b) closure
  - (c) raw materials (resources)
  - (d) energy
  - (e) climate change
  - (f) [Q] product quality
- 3.9 For occupational health hazards, exposures must be assessed for similar exposure groups (SEGs).
- 3.10 The defined HSEQ consequence categories (provided in *Hazard and risk management work cycle [WC2100]*) must be used for the risk assessment. The ultimate risk rating must be determined through the context and scope of the risk assessment, using the defined Rio Tinto qualitative HSEQ risk matrix.
- 3.11 Critical risks are reported to the Group at six-monthly intervals as per the *Six Monthly social and environment review and reporting work practise [WPMS1401-03]* and *Rio Tinto Social and environmental reporting and definitions work cycle [WCMS1401]*.
- 3.12 All risk assessments must be reviewed at the frequency defined during the risk evaluation step and based on their risk level. Priority must be given to significant HSEQ risks, with their review occurring periodically no less than every year. The appropriate level of management shall endorse risk assessments relevant to their areas of accountability. Management shall be aware of the outcomes of HSEQ risk assessments.
- 3.13 Risk management activities must identify the appropriate control method to minimise or eliminate the risk of adverse HSEQ hazards / aspects / opportunities in accordance with the defined hierarchy of controls:
- (a) the risk is controlled by eliminating the hazard
  - (b) substitution – a change to the process to use or produce a less hazardous consequence
  - (c) engineering and process controls
  - (d) administrative controls or management strategies for reputation risk
  - (e) the use of receptor protection, such as personal protective equipment (PPE) (as per *Manage HSE protective and critical equipment work cycle [WC2070]* and *Action management work cycle [WC2130]*).

Elimination must be the first control method to be considered and any reasons for not being adopted documented. If there is insufficient data to make a valid assessment, a statement on the time scale over which valid data will be acquired must be documented. For all HSEQ risks identified at current

exposures / conditions, an action plan<sup>X</sup> and time scale to control the identified risks must be documented and implemented.

3.14 Risk controls must be:

- (a) designed to be compatible with process and maintenance requirements
- (b) designed according to good engineering practices
- (c) cost effective in achieving control of potentially hazardous exposures / emissions / impacts
- (d) monitored, with and remedial actions tracked to completion
- (e) regularly inspected, assessed and maintained,
- (f) considerate of emergency situations and the appropriate response assigned
- (g) maintained and reviewed for effectiveness<sup>XI</sup>.

3.15 For carcinogens and reproductive toxicants (known and suspected), meeting an occupational exposure limit (OEL) or the environmental control limit (ECL) is not adequate. The exposures / emissions or impacts must be As Low As Reasonably Practicable (ALARP). There must be an annual documented review of exposure / impact controls for these substances.

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<sup>X</sup> Refer to Element 14 – Non-conformance, incident and action management

<sup>XI</sup> Refer to Element 10 – Operational control

## 4 – HSEQ MANAGEMENT IMPROVEMENT PLANNING

Objective : Objectives and targets are established for significant HSEQ hazards, aspects and opportunities to drive continuous improvement and plans are developed to achieve them.

### Objectives and Targets

- 4.1 Rio Tinto managed businesses must establish HSEQ objectives and targets. These must be measurable and consistent with the Group, product group, business unit and operation's HSEQ policies, including commitments to:
- (a) established Group HSEQ objectives and targets
  - (b) managing significant HSEQ risks/impacts
  - (c) prevention of HSEQ incidents
  - (d) compliance with applicable legal requirements and conformance with other requirements to which the operation subscribes or requires<sup>xii</sup>
  - (e) [Q] customer satisfaction
  - (f) continuous improvement
- 4.2 HSEQ objectives and targets must be based on both leading and lagging indicators. They must include consideration for technological options, financial, operational and key stakeholder requirements.
- 4.3 HSEQ objectives and targets along with HSEQ improvement plans must be reviewed at regular and planned intervals and whenever there are changes to the activities, products, or services of the business or significant changes in operating conditions.

### HSEQ improvement plans

- 4.4 Rio Tinto managed businesses must develop and document annual HSEQ improvement plans that give consideration to Rio Tinto HSEQ requirements. These plans must be integrated into the overall business plan, such that adequate resources (both human and financial) are allocated and performance is monitored.

These plans must identify:

- (a) the agreed improvement plans / actions to be achieved (must be achievable and measurable)
- (b) the role and responsibilities of individuals for achieving the improvement plans / actions
- (c) the timeframes for achieving the improvement plans / actions

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<sup>xii</sup> Refer to Element 2 – Legal and other requirements – clause 2.5

**Individual Plans**

- 4.5 All employees must have a personal health, safety, and environment plan or a team plan with documented objectives and targets which support the overall businesses' plan. It must contain quality components where applicable to the business.
- 4.6 Every employee must have:
- (a) a formal meeting at least once a year with their line manager in which these objectives, targets and an appropriate action plan are agreed and documented
  - (b) a formal meeting at least once a year with their line manager, in which their performance against objectives and targets is reviewed and documented
- 4.7 Reward and incentive schemes must be designed so that HSEQ performance is not compromised in order to maximize the financial reward.

**Process Step: Do**

**5 – ORGANISATIONAL RESOURCES, ACCOUNTABILITIES AND RESPONSIBILITIES**

Objective : HSEQ responsibilities are allocated and accountability for the maintenance and continual improvement of HSEQ management is established at every level of the business.

- 5.1 Management must ensure there are adequate financial, human, technological and organisational resources to implement and maintain the HSEQ management system. This includes the appointment of a specific management representative(s) to ensure that:
  - (a) the system is maintained in accordance with relevant standards and certifications
  - (b) performance against the system and standards is reported to management for review, including pre-analysis of measuring and monitoring data and recommendations for continuous improvement
  - (c) management plans are established to meet HSEQ objectives and targets and contain designated responsibilities for achieving them at relevant levels of the organisation.
  - (d) [Q] awareness of customer requirements is promoted throughout the business
- 5.2 Organisational charts must be up-to-date, clear and covering all levels of the business. These charts must be available to all employees.
- 5.3 The organisational resources necessary to implement and maintain the HSEQ management system must be defined documented and communicated. Accountabilities and responsibilities for the coordination, monitoring and review of the HSEQ system must be clearly defined in the relevant role descriptions.
- 5.4 HSEQ accountabilities and responsibilities must be documented in role descriptions, and communicated to personnel including contractors. These should include compliance and conformance with legal and other requirements. Specific responsibilities for the management of significant HSEQ risk controls must be established
- 5.5 Rio Tinto managed businesses must have access to the services of specialist and competent advisers in the fields of health, safety, environment and quality [eg occupational or industrial hygienist, occupational physician, environmental scientist or engineer, quality expert].

## **6 - TRAINING, COMPETENCY AND AWARENESS.**

Objective : People are trained competently and understand the risks and controls associated with the activity that they perform.

- 6.1 For all roles which have HSEQ accountabilities and responsibilities, a formal training needs analysis must be undertaken, based on competency profiles, and training matrices developed and documented.
- 6.2 Specific competency profiles must be developed for personnel involved in activities with significant HSE risk and / or activities which can affect the product quality and / or the service. Selection criteria, including fitness for work, for such roles must be defined.
- 6.3 Roles requiring compliance with legal obligation, for example licensing or certification, must be identified and documented. There must be a documented procedure for ensuring that activities requiring technical certification are carried out only by certified people.
- 6.4 The effectiveness of training and competencies must be evaluated, and assessed. Records of education, trained skills, experience, behaviour, attitudes and attributes required to effectively perform the role must be maintained<sup>XIII</sup>. This includes:
  - (a) all employees and Category 1 contractors
  - (b) a documented procedure to ensure their competencies and knowledge remains current
- 6.5 Training in HSEQ management must be provided for all personnel. It must include, but not limited to:
  - (a) Group HSE standards conformance training
  - (b) general induction training
  - (c) Rio Tinto HSEQ management system training
  - (d) significant HSEQ risk activities
  - (e) conformance with policy, work cycles, procedures and work instructions
  - (f) roles and responsibilities
  - (g) consequences of departure from specified procedures
  - (h) emergency response procedures
- 6.6 For new employees, contractors, and visitors there must be an induction procedure in place that addresses possible HSEQ risks. Understanding of the new employees, contractors' and visitor awareness must be evaluated.

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<sup>XIII</sup> refer to Element 15 – Data and records management – clause 15.7

## **7 - SUPPLIER AND CONTRACTOR MANAGEMENT**

Objective : Products and services undertaken by contract to Rio Tinto managed businesses are effectively managed for HSEQ risk, and meet stated requirements.

### **Equipment, materials and suppliers**

- 7.1 There must be a documented procedure in place to ensure that the procurement of equipment, materials, chemicals and services (including labour) to be used at a Rio Tinto managed businesses do not exceed the acceptable HSEQ risk to the operation and that the records of these transactions are maintained.
- 7.2 A regularly updated hazardous materials register, preferably with a link to an inventory system, must be available and used to control the purchase and introduction of new materials to the operation, including those brought in by contractors or visitors.
- 7.3 The properties of materials provided by suppliers to the operation, any intermediates, by-products and wastes must be adequately understood, documented and integrated into operating procedures with regard to their ability to impact on the HSEQ requirements of the operation. Suppliers must provide Material Safety Data Sheets (MSDS) using the Rio Tinto preferred format where possible and when required by law prior to the delivery of such products to Rio Tinto managed businesses.
- 7.4 Documented procedures must be established to ensure equipment, materials and chemicals are received, stored and dispatched to and within the operation in accordance with HSEQ requirements.
- 7.5 A documented procedure must be established to ensure products or services procured to the operation meet specified HSEQ requirements. Controls applied to the supplier and the procured items must be commensurate with the assessed risk to the operation.
- 7.6 A documented procedure to resolve any disputes between the organisation and the supplier must be established. This must include reject criteria, evaluation and the consequences for the organisation, supplier and any innocent third party involved<sup>XIV</sup>.
- 7.7 Suppliers must be assessed based on the ability to provide materials / equipment/ services in accordance with the businesses' HSEQ requirements. This assessment must be documented.

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<sup>XIV</sup> Refer to Element 6 – Training, competency and awareness – clause 6.7

- 7.8 A register of HSEQ approved suppliers of services, equipment, materials and chemicals must be compiled and regularly reviewed.
- 7.9 Records must be maintained, relevant to the approved suppliers, indicating:
- (a) approval criteria
  - (b) a definition of the service to be supplied
  - (c) evidence of the capability to fulfil the requirements
  - (d) previous performance experience
- 7.10 There must be a documented procedure in place to control any liability regarding the disposal of surplus, used materials, chemicals, equipment, and hazardous waste.

**Contractors**

- 7.11 All contractors must be categorised and managed as defined in the *Contractor management work cycle [WCMS0701]*. Rio Tinto managed businesses must apply the stated categories and rules to their contractor management.
- 7.12 An assessment must be made of the HSEQ risks for each contract. Where the assessment concludes that unacceptable HSEQ risks could occur, arrangements must be agreed with the contractor for their management of these risks. The management of the risks must comply with Rio Tinto standards.
- 7.13 For all contractors there must be a designated onsite works manager and contract owner responsible for ensuring the effectiveness of the HSEQ management system in relation to that contract. Reporting arrangements and contractor responsibilities must be defined and documented.
- 7.14 Before work begins on any contract, all contractor personnel must be given appropriate orientation and induction training including emergency response procedures.<sup>xv</sup> It must be confirmed that all tools and equipment used are in a safe condition.

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<sup>xv</sup> Refer to Element 6 – Training, competency and awareness

## **8 – DOCUMENTATION AND DOCUMENT CONTROL**

Objective : To develop, implement and maintain a documented system of manuals, procedures and work instructions, and to develop and maintain procedures to control all documents and data relating to the implementation of the system.

- 8.1 All Rio Tinto managed businesses must have a HSEQ management system document control system.
- 8.2 The document control system must conform to the following procedural requirements:
- (a) unique identification with the appropriate organisation, function or activity
  - (b) approved for adequacy by authorised personnel prior to issue
  - (c) periodic review and revised as necessary,
  - (d) changes and the current revision status of documents are identified, including the author(s)
  - (e) current versions of relevant documents are available at all locations where operational activities, essential to the effective functioning of the business, are performed
  - (f) documents remain legible and readily identifiable
  - (g) documents of external origin relevant to the business are identified and their distribution controlled
  - (h) obsolete documents are promptly removed from all points of issue and use. A master copy must be retained for the duration of the retention period described in the BU Retention and Disposal schedule.
- 8.3 All Rio Tinto managed businesses must provide a description of the main elements of the HSEQ management system documentation, their interaction and reference to related documents.
- 8.4 Documents (which include registers and records) as a requirement of the HSEQ management system elements must be controlled and referenced to allow system implementation and conformance to be reviewed.
- 8.5 Procedures and work instructions relating to operational activities assessed to contain a significant HSEQ risk must be documented and controlled<sup>XVI</sup>.
- 8.6 A documented procedure must exist that allows for the revision of drawings, operating procedures and work instructions, maintenance and emergency procedures impacted by any change process<sup>XVII</sup>.

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<sup>XVI</sup> Refer to Element 10 – Operational control

<sup>XVII</sup> Refer to Element 11 – Management of Change

## 9 - COMMUNICATION AND CONSULTATION

- Objective : To ensure and facilitate the involvement and participation of all employees, contractors, customers and relevant stakeholders in the management of HSEQ issues.
- 9.1 Documented procedures must be established and implemented to encourage the participation of employees at all levels of the organisation in HSEQ activities. These procedures must:
- (a) provide employees and their representatives with the mechanisms, time and resources necessary to participate
  - (b) provide employees and their representatives with timely access to information relevant to HSEQ aspects / hazards or opportunities
  - (c) identify and remove obstacles or barriers to participation
- 9.2 Documented procedures must be developed, implemented and maintained for internal communication among the various levels and areas of the Rio Tinto operation.
- 9.3 Documented procedures must be developed, implemented and maintained for communicating with interested parties/stakeholders concerning the HSEQ risks, aspects, and management of the business. The procedures must be aligned with the requirements of the *Rio Tinto communities standard*.
- 9.4 Rio Tinto managed businesses must have a cross-functional HSEQ management committee, including line management to oversee the operation of HSEQ management improvement plans<sup>xviii</sup>. Sub-committees of departmental or divisional teams must be established to ensure coverage and awareness across all areas and levels of the organisation.
- 9.5 HSEQ committees must establish a constitution (Terms of Reference) which is documented.
- 9.6 Where appropriate, representatives of HSEQ committees must be trained for their function in the committee.
- 9.7 To promote HSEQ awareness and general communication pre-shift HSEQ briefings (or similar activities) must be implemented.
- 9.8 Documented procedures must be developed, implemented and maintained for encouraging, collecting, evaluating, documenting, archiving and (as appropriate) implementing HSEQ suggestions.

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<sup>xviii</sup> Refer to Element 4 – HSEQ management improvement planning – clauses 4.4 and 4.5

- 9.9 [Q] Procedures must be developed, implemented and maintained for communicating with external customers regarding product information, order enquiries, technical support and customer satisfaction and feedback including complaints.
- 9.10 Rio Tinto and individual business or operations must issue annual sustainable development (or social and environment) reports.
- 9.11 There must be a documented procedure for ensuring that relevant incidents, hazardous conditions or suggested practices, which have been reported by other managed businesses on the Rio Tinto Corporate HSE Portal or Rio Tinto intranet using the knowledge sharing application (notice board or equivalent), are communicated internally.
- 9.12 An emergency communication plan must be in place, identifying who is responsible for communication and how the communication to each of the relevant parties (internal and external) is to be handled. Emergencies may include but are not limited to:
- (a) disaster situations, such as fire or chemical spills,
  - (b) major plant breakdown, threatening supply continuity
  - (c) [Q] product recall

## 10 - OPERATIONAL CONTROL

Objective : Procedures are developed and documented to address significant HSEQ risks / impacts and potential deviations.  
Plant and equipment having a potential to impact HSEQ performance are maintained to meet design descriptions and specifications.  
Risks / impacts addressed in the Rio Tinto HSE performance standards are identified and controlled.

- 10.1 Rio Tinto managed businesses must ensure that procedures and / or work instructions to control identified significant HSEQ risks / impacts must be developed, documented, communicated and followed. The procedures and / or work instructions must include the required operating criteria.
- 10.2 Procedures and / or work instructions must be developed, documented, communicated and followed where their absence could cause deviations from required operating criteria or could lead to deviations from the HSEQ policy, objectives, targets or requirements. This includes the implementation of the controls identified for the pre-task risk assessment level, such as a Take 5, or Job Hazard Analysis (JHA).
- 10.3 Rio Tinto managed businesses must incorporate a documented procedure for planning, developing, controlling and training in relevant operational procedures and / or work instructions.
- 10.4 [Q] Where practicable and based on significant risk, Rio Tinto managed businesses must ensure that activities or tasks that are associated with product quality are identified and meet the expectations and requirements of customers or other stakeholders. Requirements include statutory and regulatory, those specified by the customer for delivery and post-delivery of product or service activities and those not stated but deemed necessary for intended use of a product.
- 10.5 Where the purchase of products and services containing hazards assessed to have significant risk / impact to health, safety or and /or environment, control procedures must be developed, implemented and maintained. These must be communicated to relevant suppliers and contractors.
- 10.6 The competency of personnel must be verified and documented prior to carrying out procedures with significant HSEQ risk. Competency<sup>xix</sup> can be assessed as a result of training, education, experience, behaviour, attitudes and attributes required to effectively perform the role.

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<sup>xix</sup> Refer to Element 6 – Training, competency and awareness

- 10.7 Plant and equipment that have a potential to impact HSEQ performance must have a documented procedure implemented for the maintenance, inspection, testing and modification to ensure it meets the design description and specifications.
- 10.8 Documentation for critical process(es), plant, equipment and product specifications must be current, available and include:
- (a) basis of design
  - (b) codes and relevant legislation
  - (c) hazard assessment reports
  - (d) operating limits
  - (e) engineering and electrical drawings
  - (f) specifications and engineering standards
  - (g) maintenance, inspection and testing strategies
  - (h) operating procedures
  - (i) performance criteria
- 10.9 [Q] Rio Tinto managed businesses must ensure that the facilities, infrastructure and work environment needed to achieve HSEQ conformity to product requirements is determined, provided, managed and maintained. Infrastructure includes:
- (a) buildings, workspace and associated utilities
  - (b) process equipment (hard and software)
  - (c) supporting services
- 10.10 Controls must be in place to verify safe operation of equipment or services supplied by third parties.
- 10.11 There must be documented procedures to ensure all risks addressed in the Rio Tinto HSE performance standards are identified and controlled in accordance with these standards. These procedures include (or expand to) appropriate permit, license, regulatory and /or legal requirements to ensure their compliance. The Rio Tinto HSE performance standards are listed in the Rio Tinto register of Group compliance and conformance requirements<sup>xx</sup>.

### **Customer and stakeholder related processes**

- 10.12 [Q] Rio Tinto managed businesses must ensure that:
- (a) all saleable product is as specified by the business through contact with the customer or trading partners

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<sup>xx</sup> Refer to Element 2 Legal and others requirements, clause 2.4

- (b) all saleable products specified by the customer or trading partners are reviewed to ensure product specifications are defined, related statutory and regulatory requirements are met, differences are resolved, and the business can meet the product specifications

10.13 [Q] Rio Tinto managed businesses must ensure that relevant internal products, intermediates and services are controlled and reviewed through internal procedures.

### **Product design and development**

10.14 [Q] For all design and development activities related to final products; engineering design, project management and change management procedures must be in place to manage business interface requirements to ensure effective communication and product focus.

10.15 [Q] Rio Tinto managed businesses must ensure that as a minimum the following is considered regarding design and development:

- (a) planning
- (b) inputs
- (c) outputs
- (d) review
- (e) verification
- (f) validation
- (g) control of changes<sup>XXI</sup>

### **Procurement**

10.16 Rio Tinto managed businesses must ensure that the Rio Tinto purchasing requirements are followed. Rio Tinto Procurement's *The way we buy* document describes how the purchasing process must ensure that the requirements of the business are taken into account when goods or services are procured, including the evaluation and selection of suppliers and the verification that purchased goods or services meet specified requirements.

### **Production and service provision**

10.17 [Q] Rio Tinto managed businesses must manage production and service provision requirements by:

- (a) planning and performing production under controlled conditions
- (b) provision of work instructions

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<sup>XXI</sup> Refer to Element 11 – Management of change

- (c) preserving the conformity of the product during internal processing and delivering as per customer specification.
  - (d) ensuring the use of suitable equipment
  - (e) ensuring adequate and appropriate identification and traceability
  - (f) implement measuring and monitoring activities for controlling product
  - (g) validating related processes where the output cannot be verified by any subsequent monitoring or measurement
- 10.18 [Q] Where Rio Tinto managed businesses are utilising customer property (including intellectual), the business must ensure that customer property is adequately addressed.
- 10.19 [Q] Where business process streams are linked the individual operations must ensure that process sequences and interactions are identified and the linkages between them documented.

## **11 – MANAGEMENT OF CHANGE**

Objective : To have implemented a system for ensuring that change associated with all business processes manages HSEQ risks.

11.1 Rio Tinto managed businesses must have in place a documented procedure to manage change associated to adverse HSEQ risk, regardless of whether the change may be:

- (a) planned or unplanned
- (b) sudden or gradual
- (c) temporary or permanent

Further detail on the requirements of the management of change system are provided in the *Management of change work cycle [WC2190]*.

11.2 The management of change requirements must apply to:

- (a) design and construction
- (b) mine planning and ground control
- (c) layout / architecture of mines / pits
- (d) plant and equipment
- (e) materials used, their composition and properties
- (f) feedstock used and by-products / wastes generated
- (g) processes
- (h) operating procedures
- (i) maintenance procedures
- (j) programmable electronic system software
- (k) organisation structures and responsibilities
- (l) personnel changes, training or competency requirements
- (m) individual roles and responsibilities
- (n) departure of contractors and handover to Rio Tinto
- (o) regulatory and statutory requirements
- (p) multiple or cross value stream impact

11.3 Employees and contractors must be trained, and competent to identify what constitutes a change and how to initiate the management of change procedure.

11.4 All proposals for change must be assessed using a documented procedure including:

- (a) authorisation of the change by at least the same level of authority as authorised the original procedure
- (b) an appropriate level of technical expertise
- (c) the involvement of the workforce impacted by the proposed change

11.5 A formal review must be carried out in order to assess actual change impact against intended impact, and the reasons for any deviation.

- 11.6 There must be an emergency or contingency procedure to cover situations in which proposed changes cannot be subject to the full procedure. Such a procedure must incorporate the approval of the operations manager or his / her designated deputy.

## **12 – DISASTER MANAGEMENT AND RECOVERY (DMR)**

Objective : To ensure the appropriate level of resources (plans, procedures, facilities, equipment and trained personnel) are available for an effective response to control and recover from disaster and emergency situations.

### **Disaster management and recovery**

- 12.1 All Rio Tinto managed businesses must have a Disaster management and recovery (DMR) programme and a documented plan which demonstrates management commitment at all levels of the operations
- 12.2 The businesses' DMR program documentation must be structured according to the *Rio Tinto Group risk management's DMR template* and be maintained and updated at least annually. The DMR Manual is a controlled document.
- 12.3 Each Rio Tinto site's DMR programme must be integrated with their appropriate business, product group and corporate plan as per the *Rio Tinto Group risk management standard and Corporate crisis committee protocols*.
- 12.4 There must be a specific management representative who oversees the updating and maintenance of the DMR procedure and manage the DMR programme.
- 12.5 The businesses' DMR Team must be established in accordance with the *Rio Tinto Group risk management standard* and approved by Rio Tinto Corporate.
- 12.6 The businesses' DMR plan must include site scenario documentation which addresses the scenarios and threats that may face the geographical location or operation and be updated regularly.
- 12.7 The businesses' DMR plan must include individual DMR Team Member accountabilities.
- 12.8 DMR teams must undertake *DMR Desktop Drills* as per the Rio Tinto Group Risk Management standard.
- 12.9 DMR teams must undertake a *DMR Full-Scale Exercise* as per the Rio Tinto Group Risk Management standard.
- 12.10 Disaster management and recovery plans must be integrated with emergency response plans. The emergency response plans must comply with all relevant legislative and regulatory requirements to ensure site emergency capability are maintained and achieved.

**Emergency response**

- 12.11 Rio Tinto managed businesses must establish, implement and maintain documented emergency response plans and procedures. This must include procedures to identify and how to respond to:
- (a) potential emergency situations, including first aid and evacuation requirements
  - (b) potential failure of risk controls, and
  - (c) potential for incidents that would have health, safety, environmental and loss of quality implications, (refer to *Emergency preparedness and response [WCMS1201]*).

The procedures must include provision for emergency arrangements with contractors. Personnel must be trained and available to detect emergencies and execute the emergency response plans.

- 12.12 A schedule of emergency training, drills and exercises must be developed in order to confirm the effectiveness of the response teams, the emergency plans and the control and communications systems. Emergency drills and exercises must be conducted at least annually. All drills and exercises must be recorded, and lessons learned must be documented and followed up with the emergency plan revised as applicable.

**Process Step: Check**

**13 - MEASURING AND MONITORING**

Objective : To ensure that workplace and environmental performance meet the required standards.

13.1 Documented procedure(s), including accountabilities, must be established, implemented and maintained to regularly monitor and measure key characteristics that could have significant health, safety, environment or quality risks.

13.2 A documented procedure which details HSEQ measuring and monitoring requirements must include:

- (a) what needs to be measured and monitored based on risk assessment,<sup>XXII</sup> customer requirements and evaluation and operational reporting requirements<sup>XXIII</sup> (include information relating to business and Group requirements / targets)
- (b) required frequency of measurement and monitoring
- (c) laboratory certification requirements
- (d) design of the measuring and monitoring method based on requirements identified, using competent people<sup>XXIV</sup>
- (e) statistically validation of monitoring data and the sampling method
- (f) training and competency requirements<sup>XXV</sup> for relevant personnel (including contractors) who undertake workplace and environmental monitoring and can provide adequate technical oversight
- (g) [Q] specification requirements for supply of incoming product or materials, work-in-progress, design and development verification and finished product
- (h) information about potential risks from medical tests and an explanation of monitoring results (health & occupational hygiene) must be reported back to the person(s) concerned, within a reasonable time from when results are available

13.3 Rio Tinto managed businesses must ensure all inspection, monitoring, measuring and test equipment demonstrates compliance to specified customer and legislative requirements. Equipment must be:

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<sup>XXII</sup> Refer to Element 3 – Hazard identification and risk management

<sup>XXIII</sup> Refer to Element 2 – Legal and other requirements and Element and 4 – HSEQ Management improvement planning

<sup>XXIV</sup> Refer to Element 5 – Organisation accountabilities and responsibilities – clause 5.5

<sup>XXV</sup> Refer to Element 6 – Training, competency and awareness

- (a) identified and maintained
- (b) controlled / safe guarded from unintentional adjustments
- (c) stored and protected from damage
- (d) calibrated or verified against a traceable standard at specific intervals and their calibration status known and recorded.

13.4 Results from monitoring must be collected and analysed on a regular basis for:

- (a) trends and potential exceedences of operating criteria, such as legal exposure or emission standards
- (b) the purpose of designing controls and assessing their success (refer *Environmental and health sampling workcycle [WC2080]*).
- (c) the need for corrective actions and identifying continuous improvement opportunities
- (d) level of achievement of objectives and targets.

13.5 Exceedences must be recorded, reported and investigated.<sup>xxvi</sup>

13.6 Actions<sup>xxvii</sup> from the analysis of the monitoring results must be documented, assigned accountability and tracked until completion.

### Medical Surveillance

13.7 The medical surveillance programme must include employees and Category 1 contractors<sup>xxviii</sup> and be consistent with local regulatory requirements, operation health risks, and linked to the facility's objectives and targets. The programme must be based on workplace monitoring and assessment. Where a possible increased health risk is identified, workers should be encouraged to participate in the medical surveillance programme.

Further details on the requirements are provided in the *Health and medical monitoring work cycle [WC2040]* and *Acquire resources (manage people) work cycle [WC3040]*.

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<sup>xxvi</sup> Refer to Element 14 – Non conformance, incident and action management

<sup>xxvii</sup> Refer to Element 14 – Non conformance, incident and action management

<sup>xxviii</sup> Refer to Element 7 – Supplier and Contractor management

## **14 – NON CONFORMANCE, INCIDENT AND ACTION MANAGEMENT**

Objective : To ensure all incidents and lessons learnt are recorded and corrective actions determined.

### **Incident recording and investigation**

- 14.1 Rio Tinto managed businesses must ensure incidents are identified, reported and details recorded in accordance with Group reporting requirements (refer to *Rio Tinto Social and environmental reporting and definitions work cycle [WCMS1401]*) and Incident Management work cycle [WC2120].
- 14.2 Documented procedures must be established, for recording, reporting and investigation of incidents and non-conformances, and for taking corrective and preventive actions. Actions taken must be appropriate to the magnitude of the problem and impacts encountered (refer to the *Rio Tinto compliance standards*).
- 14.3 All necessary personnel must be notified of incidents on the shift in which they occurred or were discovered (eg continuous / repetitive events).
- 14.4 Rio Tinto managed businesses must use the approved incident recording system.
- 14.5 Incidents must be classified according to:
  - (a) their actual level of consequence - classified as near miss, minor, medium, serious, major or catastrophic
  - (b) their maximum reasonable outcome - classified as low, moderate, high or critical. (The maximum reasonable outcome is based on a risk assessment of the maximum reasonable likelihood and the maximum reasonable consequence)
  - (c) near miss events must be reported as an incident and will be risk rated related to their maximum reasonable outcome.
- 14.6 Personnel must be trained to the appropriate level of incident investigation.
- 14.7 The manager responsible for the work area where an incident occurred or the line manager of the involved person must ensure an investigation is completed.
- 14.8 Incidents (including those with near misses) must be investigated to a level of detail appropriate to the maximum reasonable outcome of the incident.
- 14.9 The investigation findings must be documented in a formal report and communicated.

- 14.10 For incidents with serious, major or catastrophic consequences and/or as high or critical (maximum reasonable outcome) classified incidents, TapRoot® must be used as the investigation tool.
- 14.11 All incidents with an actual consequence of a fatality or multiple fatalities and HSEQ events and incidents with a maximum reasonable outcome of 'catastrophic' and an associated risk rating of critical - A5, B5, C5 (risk matrix) must be reported to the Chief Executive of Rio Tinto and copied to the HSE CoE Global Practice Leader - HSE within 24 hours of the incident occurring (refer to Incident Management work cycle [WC2120] and the *Rio Tinto Social and environmental reporting and definition work cycle [WCMS1401]*; in particular the *24 Hour reporting requirement work practice [WPMS1401-01]*).
- 14.12 For incidents with minor and medium consequences and/or as low and moderate (maximum reasonable outcome) classified incidents, the usage of other methodologies must ensure that the nomenclature for root causes is aligned with the approved Rio Tinto incident investigation methodology.
- 14.13 All incidents resulting in personal injury or occupational illness must be recorded in the monthly performance statistics for injury and illness.
- 14.14 All incidents with an actual consequence of serious, major or catastrophic and/or as high or critical (maximum reasonable outcome) classified incidents, must be posted on the Rio Tinto intranet using the knowledge sharing application (notice board or equivalent) and reported according to the *Report and record incident work practice [WP1264-01]*.
- 14.15 Reports must be regularly prepared for all hazards assessed or recently controlled. These must be distributed to all affected parties, Management and the medical adviser for workplace monitoring. Reports must include detail on the risk control measures and actions taken.

### Health Reporting

- 14.16 Medical surveillance and occupational hygiene personal monitoring information must be provided to the company management in a form that respects the privacy of the individual, but enables the company to fulfil their duty of care obligations to employees. The names of individuals may not be disclosed without their written authorisation.

### Actions

- 14.17 Corrective and preventive actions resulting from activities such as incidents, impact and risk assessments, monitoring and sampling, improvement suggestions, management of change, audits, reviews, inspections and interactions must be recorded.

14.18 The documented action management procedure must include:

- (a) identification and categorisation of action lists
- (b) formal assessment and approval of actions
- (c) prioritisation of actions
- (d) assignment of responsibilities, resources and schedules for implementation
- (e) implementation of actions
- (f) tracking and reporting against implementation
- (g) monitoring and verifying the effectiveness of the actions implemented
- (h) communication of action status
- (i) analysing trends and communicate the long term performance

## 15 - DATA AND RECORDS MANAGEMENT

Objective : To ensure all relevant records and related data are maintained, accurate, current and where necessary secure.

### Data quality

- 15.1 Rio Tinto managed businesses must ensure that all relevant internal and external business and operational HSEQ data requirements are identified, and necessary data quality assurance procedures established to warrant :
- (a) completeness
  - (b) comparability
  - (c) representativeness
  - (d) methods used are defensible
  - (e) accuracy and precision
- 15.2 Monitoring data must be maintained and documented. Monitoring records must provide sufficient detail of the sampling methodology and process to allow an assessment of sampling and control effectiveness.
- 15.3 Workplace and environmental monitoring data must be summarised using descriptive statistics and as specified by local regulatory requirements.
- 15.4 Data must be periodically reviewed and checked statistically for inconstant or unusual results.
- 15.5 Written protocols and procedures for sampling and analysis, including quality control requirements, must be available and be regularly reviewed.
- 15.6 The analytical laboratory services used must be credible and have an active quality assurance or quality control programme in place. Where this can not be achieved, the appropriate context shall be identified in the analytical results.

### Data and Records management

- 15.7 Rio Tinto managed businesses must establish, implement and maintain system/s and procedure/s for the systematic control of creation, receipt, maintenance, access, use and disposal of HSEQ information (refer to Group Information Management standards and the *Rio Tinto HSEQ data and records management work cycle [WCMS1501]*).
- 15.8 Data records must be maintained in secure registries and filed in a manner that makes them easily available for inspection.

- 15.9 Records must contain data that have been reviewed and interpreted to a level of rigour sufficient to defend the business reputation in the case of community or regulatory challenge, from current or proposed legislation.
- 15.10 Confidentiality of personal data must be maintained in accordance with the *Information management standard – Data protection / privacy*. This applies to all data availability, security, privacy and the legitimate use of personal data within the Rio Tinto Group and applicable national data / privacy protection legislation.
- 15.11 Each medical examination report must be dated and signed by the examining physician, nurse or equivalent, with a printed name to identify (electronic signature is acceptable).
- 15.12 Occupational health and hygiene records retention periods must be established and recorded. These records must be kept for a period consistent with legal requirements or 30 years after employment ceases, whichever is longer. The Rio Tinto Reference and Disposal standard provides reference for retention periods of other records.
- 15.13 On closure of permanent sites or divestment of an operation, responsibility for the management and retention of records must be agreed with the Rio Tinto HSE Global Practise Leader.

## **16 – PERFORMANCE ASSESSMENT AND AUDITING**

Objective : Performance assessment and audit results are used to identify and correct problems and create improvement plans to ensure compliance with objectives, targets and other requirements.

### **Performance assessments**

- 16.1 Both qualitative and quantitative measures of performance must be determined.
- 16.2 Performance measures must include leading and lagging indicators:
  - (a) leading (proactive) performance measures can include number of audits, inspections and number and quality of HSE interactions, etc
  - (b) lagging (reactive) performance measures can include number of recordable incidents, number of corrective actions, etc
- 16.3 Reporting procedures must be established in businesses and be consistent with the business and corporate reporting requirements for weekly, monthly, annual and other reporting.
- 16.4 A monthly report of all incidents and progress on follow-up must be prepared by the site managers, circulated to their management and supervisory teams and reviewed as appropriate, for example, at HSEQ committee meetings.
- 16.5 Variations from objectives and targets must be identified and actions<sup>XXIX</sup> determined to rectify the situation.
- 16.6 Rio Tinto managed businesses must periodically (at least annually) review their performance indicators. Results must be captured and utilised in the continuous improvement process.
- 16.7 Personnel (including contractors) must undertake regular inspections of work areas and conduct HSE interactions with personnel undertaking work. Supervisors must provide feedback to employees and contractors that identifies and:
  - (a) reinforces behaviours consistent with standards, procedures and system requirements
  - (b) corrects behaviours inconsistent with standards, procedures and system requirements
  - (c) verifies whether personnel are trained, equipped and where required, certified, to carry out in conformance with work procedures
  - (d) identifies the presence of non conformance

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<sup>XXIX</sup> Refer to Element 14 – Non conformance, incident and action management – clauses 14.17 and 14.18

**Audits**

- 16.8 A schedule of HSEQ audits and inspections must be prepared and implemented to cover all areas at each operation. Considerations must be given to the importance, impacts and risks of the operation concerned and the results of previous audits and inspections.
- 16.9 Rio Tinto managed businesses must conform to first party audit requirements as necessary for the ISO 14001 certification process (this extends to other certification standards if a voluntary commitment to Health/Safety and Quality standards is chosen).
- 16.10 Rio Tinto managed businesses must perform an annual HSEQ business conformance audit in accordance with the *HSEQ business conformance audit work cycle [WC2171]* and the *HSEQ business conformance audit protocols*
- 16.11 Audit scope, audit team composition and competency must follow the *HSEQ business conformance audit work cycle [WC2171]*.
- 16.12 To ensure conformance against Group HSEQ requirements:
- (a) all findings from HSEQ business conformance audits must be classified according to the *HSEQ business conformance audit work cycle [WCMS2171]*
  - (b) all findings from HSEQ business conformance audits, Group reviews, other HSEQ related assurance activities and external audits must be documented, remedial actions planned and implemented, completion of actions tracked<sup>xxx</sup> and progress reported as established in in the *Rio Tinto Social and environmental reporting and definitions work cycle [WCMS1401]*,
  - (c) audit results must be included in the Rio Tinto six monthly social and environmental reports or equivalent, as per the related *Rio Tinto Social and environmental reporting and definitions work cycle [WCMS1401]*.
- 16.13 A documented procedure for periodically evaluating compliance and conformance with applicable legal and other requirements for Rio Tinto or the business must be established, implemented and maintained. This includes voluntary requirements<sup>xxxI</sup> Rio Tinto or the business subscribes to. Records of the evaluation results must be documented<sup>xxxII</sup>.

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xxx Refer to Element 14 – Non conformance, incident and action management–clauses 14.17 and 14.18

xxxI Refer to Element 2 – Legal and other requirements

xxxII Refer to Element 8 – Document and records management

**Process Step: Review**

**17- MANAGEMENT REVIEW**

Objective : To ensure the effectiveness of the HSEQ management system through evaluating the need for changes and establish actions to improve the system, audits and resources.

17.1 Management must conduct scheduled management reviews, at a minimum on an annual basis, of the HSEQ management system performance to ensure its continuing suitability and effectiveness in satisfying the operation's HSEQ policies, objectives and targets. This review must include:

- (a) an evaluation of the suitability of the HSEQ policy/ies
- (b) review of HSEQ objectives, targets and performance indicators
- (c) findings of HSEQ audits and reviews (internal and third party audits)
- (d) status of corrective and preventive actions
- (e) follow up actions from previous management reviews
- (f) recommendations for improvement
- (g) an evaluation of the effectiveness of the HSEQ management system with regard to:
  - i. changing legislation
  - ii. changing expectations and requirements of interested parties
  - iii. changes in the products or activities of the organisation
  - iv. changes to the structure of the organisation
  - v. changes to the HSEQ system
  - vi. lessons learned from HSEQ incidents
  - vii. reporting, communication and feedback (particularly from employees and customers)
  - viii. review and active management of risk registers and action management issues (incorporated into business, operation and employee targets)
  - ix. review of workplace, environmental and medical monitoring
  - x. communications from external parties / stakeholders (including complaints)
  - xi. non conformance
  - xii. statistics
  - xiii. Shared best-practise
- (h) assessing opportunities for improvement and the need for changes to the HSEQ management system.

17.2 An annual summary of occupational hygiene and medical monitoring results must be maintained for all areas where a risk assessment has indicated the need for those investigations. A medical monitoring summary must not identify individuals. The results must be used to draw attention to any new cases of illness or adverse trends.

- 17.3 Management review outputs must include decisions and actions related to possible changes to policies, objectives, targets and other elements of the HSEQ management system, consistent with the commitment to continual improvement, including:
- (a) improvement of the system
  - (b) effectiveness of the system
  - (c) improvement to processes and products
  - (d) required resources
- 17.4 Changes and continuous improvement initiatives regarding the Rio Tinto HSEQ management system must be proposed to the relevant Community of Practice and agreed with the Rio Tinto HSE Global Practice Leader.
- 17.5 Management review reports, minutes of the management review meeting and records must be retained<sup>XXXIII</sup> and accessible for Corporate review.

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XXXIII According to Element 15 – Data and records management