



SMRT EHS LEAGUE TABLE GUIDELINE 2019 (V6)

INCLUDES:

- SUMMARY OF CHANGES TO TABLE (2018 TO 2019)
- INSTRUCTION ON NEW REQUIREMENTS

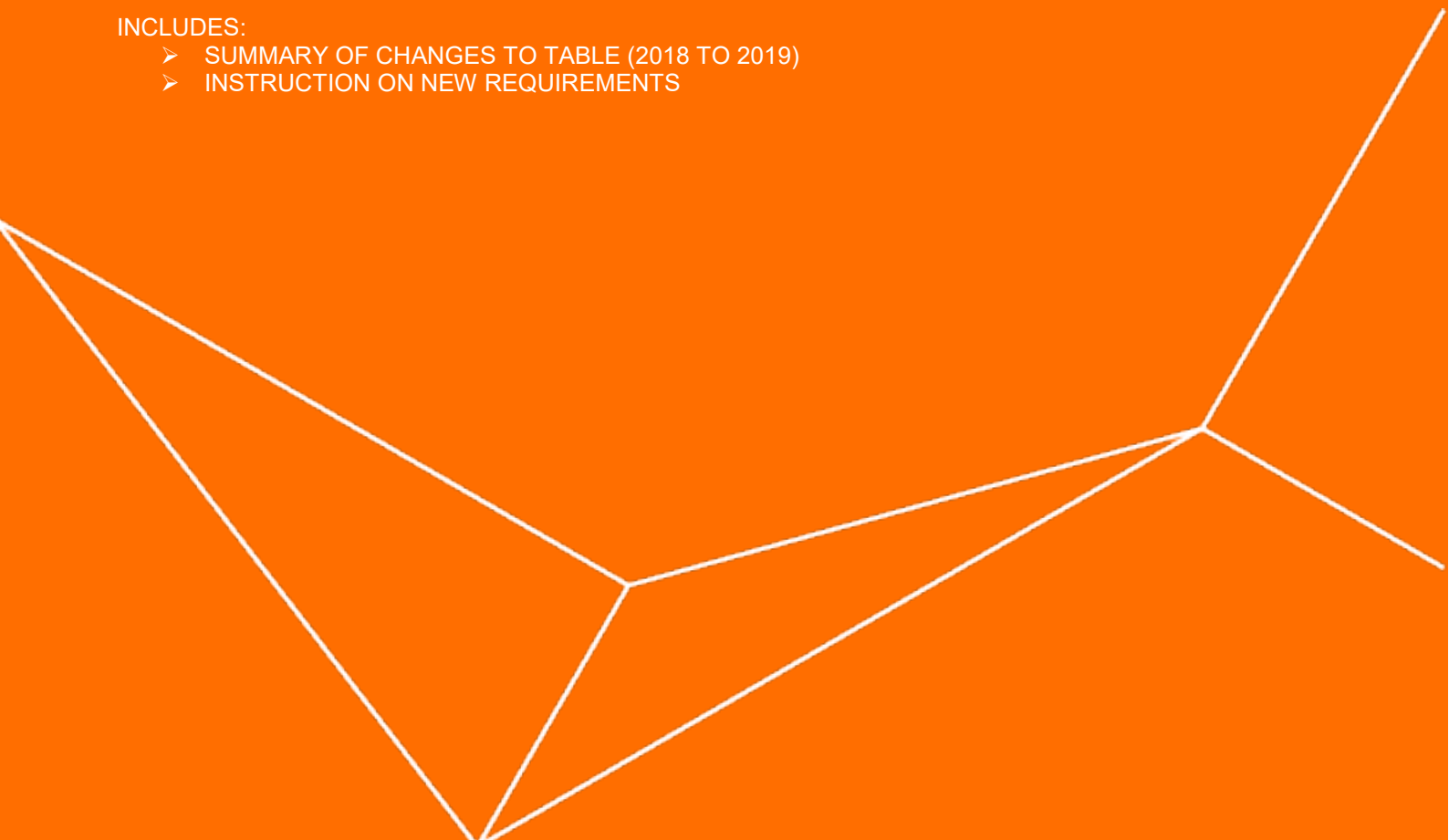


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Introduction

Aim of League Table is to:

- Collect and consolidate (into one 'ranking') all the SMRT Leading Indicators that are currently 'within focus' on a monthly basis
- Increase focus and effort on opportunities for improvement / areas of weaknesses
- Implement processes in a way that will support strengthening our EHS culture
- Invoke a 'bit of competitive spirit' while preventing 'gaming the numbers'

But not to:

- identify 'the safest site' – only full independent audits, including a S&H culture survey and workplace inspection can aim to achieve that – it is clearly not practical to do this on a monthly basis to generate cultural change

The SMRT EHS League Table is made up of 6 areas of focus. The factors are based on areas deemed to be of a high priority at any particular time and will change on a yearly (sometimes more frequently) basis. The current factors include:

1. **Fatality Prevention (CCM) Rating**
2. **Reporting Ratio**
3. **Environmental Hazard Management**
4. **EHS Plan % Completion**
5. **EHS Leadership Behaviours**
6. **Investigation Process**

To help in the understanding of each of these factors some explanation is provided along with an example of how the calculation is applied.

These factors are weighted. An overall score then provides a ranking; with position 1 in that ranking indicating the best performance for the criteria in the current factors.

Note: The word 'Unit' will be used to describe a BU / Sales Area / Division / PU etc throughout this document

Summary of Changes to Table (2018 to 2019)




Changes were made in consultation and agreement with SMRT EHS Lead Team Members during the Lead Team Meeting in September 2018 and were based on a review of effectiveness of factors along with EHS performance measurement requirements and areas of focus for 2019.

The number of table factors have been reduced from 7 to 6, and from 2019 all factors are of a 'Leading rather than a Lagging' nature.

There has been a move towards the use of 'Measurement Tool' Scoring within the League Tables. At the end of this section there is a brief outline of how to apply your progress using the 3 available measurement tools within 'EHS 360'

Removal / Replacement of Factor(s)

1) The following 2018 Factors were removed / replaced:

Factor 1	Factor 2	Factor 3	Factor 4	Factor 5	Factor 6	Factor 7
Fatality Rating	TRIFR Rating	Reporting Ratio	Hazard Closed FR & Level Ratio	EHS Plan % Completion	EHS Leadership Behaviour	Investigation Process
						
N/A	-10% to 10%	15%	10%	30%	15%	20%

- Factor 1 (Fatality Rating) has been replaced with a new factor called "Fatality Prevention (CCM) Rating"
- Factor 2 (TRIFR Rating) has been removed. This key Lagging Safety Performance indicator is already extensively reported and reviewed in e.g. monthly reporting processes
- Factor 4 (Hazard Closed FR & Level Ratio) has been removed. The measurement of Hazard Reporting and Close Out rates will continue to be included in monthly reporting.
- A new factor "Environmental Hazard Management" has been included

Weighting Changes to Factors

1) The following 2018 Factor score weightings were adjusted.

- Factor 1 (Fatality Rating) did not have a weighted score. The new Factor 1 "Fatality Prevention (CCM) Rating" has a weighting of 20% applied.
- The new Factor 3 (Environmental Hazard Management) has a weighting of 10% applied.
- Factor 5 (EHS Plan % Completion) weighting of 30% has been reduced to 20%

Other Changes

Factor 5 – EHS Leadership Behaviours (ELB)

Administration and scoring of Factor 5 - EHS Leadership Behaviours (ELB) has changed. This is as a result of a management request.

Each Division / SA will now have the responsibility of administering the ELB process for their area of responsibility in any manner they choose **as long as it complies with the scoring criteria within the new Measurement Tool** (refer page 13). Those Units that are satisfied with the process available within 'EHS 360' can continue to use this method. Global EHS will maintain the process so that it can be used effectively.

As a result of this change, it will be necessary for a 'Nominated Coordinator' for the ELB program to update the Measurement Tool progress on a monthly basis within 'EHS 360' (Nomination of this person is the first step in the progress within the Measurement Tool). This is an additional step to the process that was in place in 2018 but is necessary as a result of the requested change. Please refer to instruction at the end of this page.

Factor 2 – Reporting Ratio

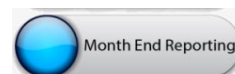
- 1) Each ratio aspect is normalised using exposure hours and a Normalisation Factor (NF) of 1,000,000
- 2) The ratios within each 'ratio pyramid' used in the 2018 version of the tables have also been revised. These have been adjusted as a result of further review of our historical data and current reporting expectations.
- 3) The 'LTI + RWI' side of the calculated ratios will be locked at '1' regardless of how many LTIs & RWIs a Unit has reported in order to gain a more consistent interpretation of the 3 ratios used in this Factor. It is important to remember that this factor is measuring 'accurate and complete reporting' and not measuring LTI performance which is already done via the LTI / LTIFR data produced on a weekly and monthly basis
- 4) All events (including injuries) considered 'Outside of Sandvik Control' will be included in this factor as they relate to the act of 'reporting' and are therefore considered relevant to this factor.

Updating Measurement Tool Progress in EHS 360

Factors 1, 3 and 5: How to Update % Progress in Measurement Tool (EHS 360)

Factors 1, 3 and 5 all use Measurement Tools as a method of scoring in relation to the EHS League Tables. Each month the 'Nominated Coordinator' must create a record identifying what % progress has been achieved for that month. A new record must be entered each month whether progress has been made or not. The Measurement Tools can be found in 'EHS 360' at the following location:

- 1) Go to Home Page and Select the <Month End Reporting> Button



2) Select the <SMRT Leading Indicators> Button



3) This will take you to a “New Record” ready for completion.

SMRT Additional Leading Indicators

<New Record>

SMRT Additional Leading Indicators | Critical Control Implementation | EHS Leadership Behaviours | Environmental Hazards

1) Complete the Location / Dept and Month on the First Tab (SMRT Additional Leading Indicators)
2) Complete the relevant Measurement Tool(s) in the remaining Tabs

Location *
GLOBALASIA PACIFIC/AUSTRALIA (COMBINED)/AUSTRALIA/Western Australia/Gauge Circuit/Gauge Circuit - Office

Business/Market/Sales or Business/Product Area *
SANDVIK GROUP/SANDVIK MINING & ROCK TECHNOLOGY/SMRT - HR/SMRT - EHS

Time Period *

4) Select the progress % level (from the drop-down box) for the relevant Measurement Tool.

HOME WORKSPACES REPORTS AND GRAPHS BI REPORTS DASHBOARDS ADMIN DESIGNER SHORTCUTS

SMRT Additional Leading Indicators

>> <New Record>

SMRT Additional Leading Indicators | **Critical Control Implementation** | EHS Leadership Behaviours | Environmental Hazards

Critical Control Implementation Progress *

0%
10%
20%
30%
40%
50%
60%
70%
80%
90%
100%

Select % of Progress Achieved for the month

Sandvik Mining & Rock Technology has set the following EHS Target:

All Sandvik Mining & Rock Technology sites will achieve > or = 80% compliance with implementing the Critical Control Management process for one or more bowties described below by the end of 2019.

The table below shows the scale by which the progress towards achieving this Target will be measured on a monthly basis.

5) Hit <SAVE>

Note: If an 'SMRT Additional Leading Indicators' record for your location and department / unit has already been created for the month and a reporter attempts to create further records within the same month, the system will return an error advising this. If that is the case, you will need to locate the original record and update it, rather than creating a new record. i.e.: 1 record Per Month, Per Location and Unit.

2019 League Table Factor Summary

The matrix below provides an overall summary of the factors. More detailed explanations and examples are contained within the following pages.

Factor	Factor 1	Factor 2	Factor 3	Factor 4	Factor 5	Factor 6
Type	Fatality Prevention (CCM) Rating	Reporting Ratio	Environmental Hazard Management	EHS Plan % Completion	EHS Leadership Behaviour (ELB)	Investigation Process
Weighting	20%	15%	10%	20%	15%	20%
Scoring	Target Measurement Tool. SMRT sites (as specified) will achieve > or = 80% compliance with implementing the Critical Control Management process for one or more bowties described below by the end of 2019	Using data from EHS360 this factor compares the number of LTI+RWI (locked at 1) to: -Other Injuries -Near Misses -Hazards using both internal and external benchmarks	Target Measurement Tool All SMRT sites will Identify and record Environmental impacts (hazards) and prioritize them, leading to the establishment of actions that will add value to the business	EHS Plan Overall Score.	Target Measurement Tool Each Division and SA will develop and implement a program that ensures ELB are being required and demonstrated at all levels of managers and supervisors	Score based on timeliness of completing the requirements leading up to and including Investigation for Incidents
Other Details	Note: for Organisational Unit's an average is applied where multiple locations occur	12MMA & Normalised All events reported are considered in this factor – including those considered to be 'Outside of Sandvik Control' Individual Unit Scores are averaged to provide the score for the top level SMRT League Table	Note: for Organisational Unit's an average is applied where multiple locations occur	Note: for Organisational Unit's an average is applied where multiple locations occur	Note: for Organisational Unit's an average is applied where multiple locations occur	Note: for Organisational Unit's an average is applied where multiple locations occur

FACTOR 1: Fatality Prevention (CCM Rating)

Increasingly, major organisations are coming under increased pressure to prevent fatalities within their businesses. Sandvik Group have an Objective of eliminating fatalities. To address this, SM&RT are implementing an improved method of managing operational risk. This is called Critical Control Management (CCM). The implementation of CCM has been ongoing now for 3 years and this Leading Indicator is designed to improve the level of progress.

All Sandvik Mining & Rock Technology Locations / Sales Areas¹ will achieve > or = 80% compliance with implementing the Critical Control Management process for one or more bowties described below by the end of 2019.

How is this Factor Scored? This Factor carries a weighting of 20%

A field value selection of “NA” has been included in this Measurement Tool, (same as in the EHS Plan). This enables the location to choose “NA” when this Measurement Tool is not applicable.

The table below shows the scale by which the progress towards achieving this Target will be measured. Scoring will be via input of monthly progress % into EHS 360.

Progress	Indicator
0%	No formal action taken.
10%	An individual has been nominated as accountable for progressing the CCM Implementation for this location / sales area
20%	The individual has completed and passed the on-line competency assessment Level 1.
30%	The location(s) has submitted new or updated / modified Bowties in 2019 ²
40%	These Bowties have been through a review process with Global EHS and have been approved.
50%	The individual has completed and passed the on-line competency assessment Level 2.
60%	Critical Controls have been identified, submitted and approved ³
70%	Erosion Factors / Supporting Activities have been identified, submitted and approved ⁴
80%	Risk and Critical Control Owners have been fully informed of their responsibilities for the Material Risks identified in the Bowties
90%	Decisions made on Verification Activities for Critical Controls, including frequency and responsible persons ³ All Data entered into EHS 360
100%	Verification activities have commenced

Refer to Notes (Over Page)

Notes:

1. Generally, all PU's & AC's will need to comply to this measurement tool, however a Sales Area need only do this once and all locations within that Sales are assumed to be included.
2. Either submit revised ones [in Visio](#) from previous years or new ones on a different Unwanted Event in either Visio or using the latest [Excel template](#).
3. Identified on the BowTie [during editing process](#).
4. Submitted using a [Critical Control Summary Sheet](#) and identified on [latest version of the BowTie](#)

FACTOR 2: Reporting Ratio

This factor aims to encourage 'accurate and complete' reporting of the lower severity (MTI and MI) injuries, Near Misses and Hazards with the intent of learning from them and preventing similar, but more severe, occurrences. While there can be no 'absolutely correct' set of ratios for a Unit, internal and external benchmarks (e.g. Bird's Pyramid) and historical data are used in conjunction with an assessment of the 'risk profile' of the activity of the Unit (e.g. a PU compared to a Warehouse) to set 'optimal' ratios for the purposes of this Factor. By reviewing these ratios on a monthly basis, a Unit can gain insight into whether they are accurately classifying and/or under-reporting events in each category.

This factor uses 12MMA data to gain a more accurate representation over time, and to ensure that natural peaks and dips are smoothed within a 12 month reporting period. The 3 ratio aspects are normalised (using exposure hours) to ensure that units of varying size can be compared on an even platform.

All events (including injuries) considered 'Outside of Sandvik Control' are included in this factor as they relate to the act of 'reporting' and are therefore considered relevant to this factor.

How is this Factor Scored?

This Factor carries a weighting of 15%

STEP 1.

The Factor contains 3 separate ratios (see below). Each of these ratios is scored individually; this is to ensure that each ratio aspect has an equal contribution to the overall score. Additionally, the number of events vary greatly within each ratio calculation, therefore, individual ratios and scores will provide a more targeted score within each group.

Each ratio contains a scoring opportunity of 5 points. These scores are then added together for a total factor score of up to 15 points.

The 'LTI + RWI' side of all of the calculated ratios will be locked at '1' (regardless of how many LTIs & RWIs a Unit has had) in order to gain a more consistent interpretation of the 3 ratios used in this Factor. It is important to remember that this factor is measuring 'accurate and complete reporting' and not measuring e.g. LTI performance which is already done via the LTI / LTIFR data produced on a weekly and monthly basis

Ratio 1:

Ratio of (MIs + MTIs) / (LTIs + RWIs = 1)

Note 1. LTIs + RWIs = 1 (See above Paragraph for explanation)

Note 2: If (MIs + MTIs) = '0', then the score = '0'

RATIO 1: 1/3 of available score

Calculation :

$(MIs + MTIs) / (1) / 12MM \text{ Exposure Hours} * 1,000,000$

Ratio 2:

Ratio of 'Closed Near Misses' / (LTIs + RWIs = 1)

Note: 1) This Factor uses CLOSED Near Misses due to the number of Near Misses reported that remained open when this element was added. While it is a fundamentally a 'reporting' score, it was felt that it was important to address this aspect concurrently.

RATIO 2: 1/3 of available score

Calculation:

$'Closed \text{ Near Misses}' / (1) / 12MM \text{ Exposure Hours} * 1,000,000$

Ratio 3:

Ratio of 'All Full Process Hazards' / (LTIs + RWIs = 1)





Note 1 :

This Ratio includes ALL Levels (Level of Investigation) of Full Process Hazards. It also includes those hazards deemed to be outside of Sandvik Control – this is to reward those reporters that work and report in environments where we (Sandvik) have little to no control.

RATIO 3: 1/3 of available score

Calculation:

$'Full \text{ Process Hazards}' / (1) / 12MM \text{ Exposure Hours} * 1,000,000$

Sales Areas	Ratio 1	Ratio 2	Ratio 3
	Sales Areas Score:	Sales Areas Score:	Sales Areas Score:
<p>Note: All 14 Sales Area included</p> <p>Scores based on an 'ideal' specific ratio for this group ie:</p> 	≥ 15 = 5 $10 - 14$ = 4 $5 - 9$ = 3 $2 - 4$ = 2 1 = 1 0 = 0	≥ 30 = 5 $20 - 29$ = 4 $15 - 19$ = 3 $10 - 14$ = 2 $5 - 9$ = 1 < 5 = 0	≥ 500 = 5 $400 - 499$ = 4 $300 - 399$ = 3 $200 - 299$ = 2 $50 - 199$ = 1 < 50 = 0
PUs & ACs	Ratio 1	Ratio 2	Ratio 3
	PUs & ACs Score:	PUs & ACs Score:	PUs & ACs Score:
<p>Note: Only PUs & ACs included</p> <p>Scores based on an 'ideal' specific ratio for this group ie:</p> 	≥ 20 = 5 $15 - 19$ = 4 $10 - 14$ = 3 $5 - 9$ = 2 $1 - 4$ = 1 0 = 0	≥ 40 = 5 $30 - 39$ = 4 $20 - 29$ = 3 $10 - 19$ = 2 $5 - 9$ = 1 < 5 = 0	≥ 400 = 5 $300 - 399$ = 4 $200 - 299$ = 3 $100 - 199$ = 2 $50 - 99$ = 1 < 50 = 0
Logistics Warehouses	Ratio 1	Ratio 2	Ratio 3
	Logistics Warehouses Score:	Logistics Warehouses Score:	Logistics Warehouses Score:
<p>Note: Only Warehouses with > 10 persons</p> <p>Scores based on an 'ideal' specific ratio for this group ie:</p> 	≥ 5 = 5 4 = 4 3 = 3 2 = 2 1 = 1 0 = 0	≥ 20 = 5 $10 - 19$ = 4 $5 - 9$ = 3 $2 - 4$ = 2 1 = 1 0 = 0	≥ 150 = 5 $100 - 149$ = 4 $80 - 99$ = 3 $40 - 79$ = 2 $10 - 39$ = 1 < 10 = 0
Service Centres	Ratio 1	Ratio 2	Ratio 3
	Service Centres Score	Service Centres Score	Service Centres Score:
<p>Note: Only Service Centres with > 25 persons Service Centres have been split into 2 categories ie: Customer Site Service Centres & SMRT Service Centres</p> <p>Scores based on an 'ideal' specific ratio for this group ie:</p> 	≥ 5 = 5 4 = 4 3 = 3 2 = 2 1 = 1 0 = 0	≥ 50 = 5 $25 - 49$ = 4 $15 - 24$ = 3 $5 - 14$ = 2 $1 - 4$ = 1 0 = 0	≥ 500 = 5 $200 - 499$ = 4 $100 - 199$ = 3 $50 - 99$ = 2 $10 - 49$ = 1 < 10 = 0

TOP LEVEL LEAGUE TABLE	Ratio 1	Ratio 2	Ratio 3
	Sales Areas / PUs & ACs / Logistics	Sales Areas / PUs & ACs / Logistics	Sales Areas / PUs & ACs / Logistics
Division Scores will be derived from Units within and then averaged	Total Scores from above Groups AVERAGED	Total Scores from above Groups AVERAGED	Total Scores from above Groups AVERAGED

FACTOR 3: Environmental Hazard Management

The recurrent identification and evaluation of environmental hazards (aspects) is the key element in the process of developing environmental actions that adds value to the business. It is an integral part of any successful environmental work or management system. The process is identical to a general risk assessment and is conducted with the same methodology. This factor is set to stimulate locations to use a risk based and core business related approach when developing environmental actions for their EHS plan. Some locations will have a prioritised environmental hazard register in place already and can use this as a baseline when conducting the process.

How is this Factor Scored? This Factor carries a weighting of 10%

A field value selection of “NA” has been included in this Measurement Tool, (same as in the EHS Plan). This enables the location to choose “NA” when this Measurement Tool is not applicable.

The table below shows the scale by which the progress towards achieving this Target will be measured monthly via input into the Sandvik Way Procedures and Program Implementation Component within EHS 360.

Progress	Indicators 2019
0%	No formal action taken.
5%	Each location has nominated an individual to be accountable for progressing the identification, documentation and evaluation of all direct and indirect ¹ environmental hazards for all processes and activities related to the location(s) and entered their name into the EHS 360 ²
10%	An environmental hazard identification working group representing all processes and activities related to the location(s) has been formed.
20%	The working group has conducted hazard identification exercise(s) to gather a gross collection of environmental hazards for all processes and activities related to the location(s) and documented it.
30%	The working group has identified environmental hazards that are classified as direct and linked to the processes and activities related to the location(s).
40%	The working group has identified environmental hazards that are locally present but cannot be included within any of the Sandvik Group environmental hazard categories ³ .
50%	The environmental hazards have been entered in the EHS 360 Risk Register and the “Inherent risk” has been calculated in order to identify the significant ⁴ hazards.
60%	All the inherent risks assessments have been reviewed internally to ensure that the significant hazards are relevant.
70%	The registry of environmental hazards is “ ready for Global EHS review ”. The gross list and the register ⁵ are uploaded on the Share Point site “Environmental Hazard Management” ⁶ and the notification
80%	The prioritized ⁸ significant hazards have been sorted out from the group of significant hazards by naming and rating “Existing controls” and then calculating the “Residual risk” in the EHS 360 Risk Register.
90%	All prioritized significant hazards have been flagged in the EHS 360 Risk Register ⁹ .
100%	Targets and actions for the prioritized significant hazards selected to be addressed in the next year’s EHS Plan have been entered into EHS 360 ¹⁰ .

1. Direct: “Actual or potential activities over which a company can be expected to have an influence and control”, e.g. emissions from processes or material input and output.

Indirect: "Actual or potential activities over which the organization can be expected to have an influence, but no control, e.g. supply chain related hazards, customer-controlled hazards, employee external behaviour, hazards managed elsewhere within the same company."

2. EHS 360 Additional Leading Indicator Register, Tab Environmental Hazard Management.
3. The four categories presented in the F3 section of the EHS plan template i.e. Energy consumption, CO2 emissions, Water consumption and Waste generation & recycling
4. Hazards with an inherited risk score on E1-H16 are here considered to be significant.
5. The gross list is the full amount of hazards documented from the identification exercise. The register is the list of hazards entered into EHS 360.
6. See the Global EHS SharePoint site.
7. EHS 360 Additional Leading Indicator Register, Tab Environmental Hazard Management.
8. Significant hazards with a residual risk score on E1-H16 should be prioritized. Prioritized significant hazards should be addressed in the EHS plans, the following year or years to come.
9. Enter it in the EHS 360 Risk Register, Actions tab with the proposed title: "Add targets and actions to EHS plan 20xx".
10. EHS 360 EHS Plan, Tab Focus Area 3.

FACTOR 4: EHS Plan % Completion

This measures our major EHS KPI for the year. A well-constructed EHS Plan will include many excellent prevention activities – only worthwhile if they're done!

This factor uses the EHS Plan % Completion score for the current month.

How is this Factor Scored?

This factor carries a weighting of 20%

EXAMPLE:

Example: If the organisational unit has a completion score of 76.9% then:

$$76.9 / 100 \times 20 = 15.38$$

∴ The League Table Score for this Factor = 15.38

FACTOR 5: EHS Leadership Behaviours (ELB)

Sandvik Mining & Rock Technology has set the implementation of EHS Leadership Behaviours as a 'critical initiative' for 2019.

Each Division and Sales Area will develop and implement a program that ensures that EHS Leadership Behaviours (ELB) are being required and demonstrated by all levels of managers and supervisors at each location in the Division/SA, and that this program meets all of the milestones described below by the end of 2019.

How is this Factor Scored? This Factor carries a weighting of 15%

The table below shows the scale by which the progress towards achieving this Target will be measured monthly via input into the Sandvik Way Procedures and Program Implementation Component within EHS 360

Note: This is a 'self-reporting' monthly process. Global EHS will conduct random monthly checks on the self-reports and a full verification will be done as part of the Internal Audit site visit processes.

Progress	Indicator
0%	No formal action taken.
10%	Each Division and Sales Area has nominated a person to be the coordinator for their ELB program and entered their name into EHS 360
20%	Each Division and Sales Area has decided on their ELB program and declared how the <ul style="list-style-type: none"> • Program will be operated and communicated • Implementation of the program will be measured • Success of the program will be measured
40%	Each Division and Sales Area has published data (as a minimum, within the Division/SA) on the implementation of their program by the end of Q1 2019
50%	Each Division and Sales Area has published data (as a minimum, within the Division/SA) on the implementation of their program by the end of Q2 2019
65%	Each Division and Sales Area has presented data on the implementation and success of their program for a peer 'quality / continual improvement' review at the SMRT EHS Lead Team meeting in September Q3 2019
75%	Each Division and Sales Area has published data (as a minimum, within the Division/SA) on the implementation of their program by the end of Q3 2019
90%	Each Division and Sales Area has evaluated its 2019 ELB program and submitted their 2020 program into the 2020 EHS Plan
100%	Each Division and Sales Area has published data (as a minimum, within the Division/SA) on the implementation and success of their program by the end of Q4 2019

FACTOR 6: Investigation Process

One of our identified weaknesses was that our investigations were either not done or not done very well. This limited our ability to learn from our mistakes, so a strategic process of increasing requirements for improving the investigation process commenced.

This factor looks to improve, in the first instance, the timeliness of completion of the Supervisor Assessment & Manager Review part of the Incident Reporting Process. As these steps take place prior to the investigation it is vital that they are within timeframe. It then applies further points to the Investigation Process portion in relation to timeliness and whether or not a copy of the Investigation is uploaded to the database.

This factor applies to incidents reported in the previous month to ensure that timeframes are covered within the reporting period.

How is this Factor Scored?

Note: This factor carries a weighting of 20%

The calculations used to score this factor are:

1. If the Supervisor Assessment is completed within the timeframe indicated, a score of 10 will be awarded for Level 1 (LoI) incidents. If it is outside this timeframe, a score of '0' will be applied. Refer to table below for remaining incident level scoring
2. If the Manager Review is completed within the timeframe indicated, a score of 10 will be awarded for Level 1 (LoI) incidents. If it is outside this timeframe, a score of '0' will be applied. Refer to table below for remaining incident level scoring
3. The Investigations Findings need to be entered into the database within the specified timeframe.
4. An additional 2 points are awarded when a copy of the investigation has been attached to the Incident record

Supervisor Assessment (SA) & Manager Review (MR) Process				Score	Investigation Process		Total Score Potential
Supervisor Assessment	FRP	Incident LoI	Manager Review		Incident Investigation Findings Entered	Incident Investigation attached to Record	
ID ≤ 7 days	Low	1	ID ≤ 10 days	5 points for SA within Timeframe 5 points for MR within Timeframe	N/A	N/A	10 points for SA within Timeframe 10 points for MR within Timeframe
ID ≤ 7 days	Moderate	2	ID ≤ 10 days	5 points for SA within Timeframe 5 points for MR within Timeframe	ID ≤ 21 days	ID ≤ 21 days	6 points for SA within Timeframe 6 points for MR within Timeframe 6 points for Investigation Findings within Timeframe 2 points for Investigation attached to record
ID ≤ 7 days	High	3	ID ≤ 10 days	5 points for SA within Timeframe 5 points for MR within Timeframe	ID ≤ 21 days	ID ≤ 21 days	6 points for SA within Timeframe 6 points for MR within Timeframe 6 points for Investigation Findings within Timeframe 2 points for Investigation attached to record
ID ≤ 7 days	Extreme	4	ID ≤ 10 days	5 points for SA within Timeframe 5 points for MR within Timeframe	ID ≤ 21 days	ID ≤ 21 days	6 points for SA within Timeframe 6 points for MR within Timeframe 6 points for Investigation Findings within Timeframe 2 points for Investigation attached to record

Note: The scores are averaged to address multiple incidents and multiple locations. Small Sites are excluded from this factor IF THEY HAVE NOT reported any Incidents. If they have reported an Incident, then it will be counted. This is so as not to penalise the locations that inherently have low levels of incident occurrence.