



Incident Management Standard

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Summary of Changes

This Summary shows:

- All changes to this document since it was last approved and published

Location of Change	Summary of Change
Entire Document	Completed revision of CO-082 Incident Learning and Prevention Standard to align with GDF Format for Standards
Scope	Revision to Scope to provide exemption for Sensitive Security Investigations
2.1.6, 2.1.7	Added new and revised existing requirements as general requirements to Incident Management
2.1.9 – 2.1.11	Added new and revised existing requirements when responding to an incident
2.1.12 – 2.1.13	Added new and revised existing requirements when classifying an incident
2.1.14 – 2.1.17	New requirements added for the Review and Adjudication of Incident Management
2.1.18	Added new requirement for legal consultation and determination of Legal Privilege
2.1.20	New requirement added for Escalation and De-escalation of incident investigation levels
2.2.21	Revised requirement to address the implementation of the Level 1 Incident Investigation Protocol
2.1.21 – 2.1.29	Added new and revised existing requirements when Investigating and Identifying Cause of an incident
2.1.32 – 2.1.33	New requirement to formalize the internal Leadership review of Level 1 and 2 Investigations
2.1.34	New requirement added to close the investigation record
2.1.35	Revised requirements to improve clarity of expectations when generating incident learnings
2.1.36 – 2.1.40	Added new requirements to ensure understanding of the minimum expectations when learning from Incident
2.1.41	Revised requirements regarding formal communications on Major Incidents
2.2.2	New requirement for Legal Review of Stewardship reports
2.2.3 - 2.2.8	Added new and revised requirement for Incident Trend Analysis
2.2.12, 2.2.13	Added new requirement to ensure proper records management for an incident
2.4	New roles and accountabilities added to the roles and responsibilities section
2.6.1 – 2.6.3	Added new and revised requirements for IM Process measurement and verification
2.1	Minor Change (Rev 1.1) – Removed hyperlinks from the Incident Management Process diagram
Table 1	Minor Change (Rev 1.2) – Corrected the heading of the table to read Investigation Level
Summary of Changes	Minor Change (Rev 1.4) – Corrected updated sections in the summary of changes



Requirements changed in the new revision are identified with a revision triangle beside it.

The current revision of this approved document is kept online. Printed and digital copies are uncontrolled.

Contents

Summary of Changes	2
1 About this Standard	5
Purpose	5
Scope	5
Target Audience	5
Conformance Expectations	5
2 Requirements	6
2.1 Incident Management	6
Incident Management Process	6
General Requirements	6
Respond To Incident	7
Classify Incident	9
Review and Adjudication	11
Legal Privilege	11
Escalation and De-escalation	12
Investigate and Identify Causes	12
Leadership Reviews	14
Close the Investigation	14
Learn from Incidents	14
Major Incident Communications	15
2.2 Additional Incident Management Requirements	15
Data Stewardship	16
Trend Analysis	16
Records Management	16
Enablement Tools	17
2.3 Roles and Responsibilities	18
Out of Scope Roles	18
Responsibilities	18
Accountabilities	18
2.4 Governance Roles	18
Business Unit and Functional Area Executive	18
Business Unit and Functional Area Senior Leader	18
Business Unit and Functional Area Mid-Level Leader	19
Senior Legal Advisor	19
Business Unit and Functional Area EH&S Leader	19
Vice President EH&S	19
2.5 Execution Roles	20
Incident Observer	20
Incident Observer Supervisor	20
Incident Owner	20
Lead Investigator	21
Legal Advisor	21
Corporate Adjudicator	21



	Investigation Project Manager.....	21
	Investigation Steering Team.....	21
	Central Investigating Team	21
	RCA Facilitator	22
2.6	Measurements and Verification	22
	Measure.....	22
	Verification.....	22
3	Terms and Definitions	23
4	References	25
4.1	Essential Documents	25
	Appendix A – RASCI.....	26

1 About this Standard

Purpose

The purpose of this Standard is to support effective implementation and governance of Suncor's OEMS Element 15 Incident Management across Suncor. This Standard defines:

- The Incident Management process which provides a structured, consistent approach for managing incidents
- The minimum requirements for compliance with [OEMS Element 15](#)

Scope

The scope of this Standard includes:

- The Incident Management process and the detailed requirements to meet this process
- The minimum requirements to meet compliance with [OEMS Element 15](#)

This Standard shall be applied for all incidents that occur in all aspects of Suncor activities including business ventures, projects (operational and non-operational phases) and under normal and abnormal business operating conditions.



Reporting and Investigating of Incidents related to [Corporate Security Policy SUN 00067](#), [Suncor Business Conduct Policy Statement CO-PS03](#), [Corporate Security Standard SUN 00068](#) are out of scope for this standard.

Target Audience

This Standard applies to Suncor Energy Inc. and subsidiaries over which Suncor has operational control (collectively "Suncor" or "the company" or "enterprise-wide").

As used in this document, "Suncor personnel" includes directors, officers, employees, contract workers, consultants and agents of Suncor.

Conformance Expectations

The conformance expectations are as follows:

In addition to what is provided for in this Standard, Suncor personnel must comply with the requirements of applicable laws and regulations relating to the matters covered by this Standard. Where regulatory requirements for incident reporting and investigation differ from those outlined in this Standard, business areas shall develop procedures that comply with both requirements.

Conformance to all new or updated requirements in this standard is required within five years of the approval date.



If you require a deviation from this Standard you must follow the GDF Deviation Process.

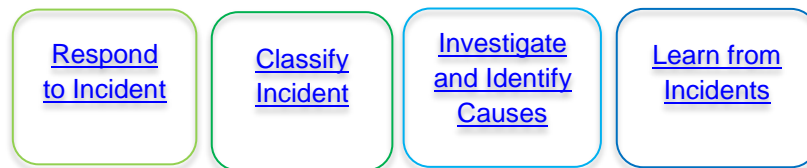
2 Requirements

2.1 Incident Management

Incident Management Process

The incident management process defines the structured approach to be used by the organization to respond to, determine causes of, act to prevent reoccurrence, and learn from incidents.

These are the four steps for effective incident management:



2.1.1 Business Unit (BU's) and Functions (FN's) shall align their incident management procedures and process with this standard and the Incident Management Processes.

General Requirements

Throughout the Incident Management process the following general requirements shall be met:



2.1.2 BU/FN Senior Leaders shall develop guidance for incident ownership where independent business units or functions are working within the same physical locations.

2.1.3 The Corporate Adjudication process shall be used to resolve issues of conflict with respect to incidents (e.g., ownership between business areas, classification, risk level, etc.).

2.1.4 All Incidents records shall be retained within the applicable enterprise-wide tool, with exceptions for privileged or confidential information as defined within this Standard.

2.1.5 Recording and tracking of incident costs shall be completed within the appropriate Suncor systems and tools used to govern and control the effort necessary to recover from an incident (e.g., equipment repair or replacement in M&R, investigation costs within the Investigation project WBS, Production loss, and lost opportunity LOV – production planning, etc.).



2.1.6 Management shall notify the business Senior Legal Advisor of all investigations by a regulator related to Suncor incidents.

2.1.7 All personal information for individuals involved in incidents shall be collected, stored, and shared in compliance with [Suncor Personal Information Policy CO-PS01A](#) and [Suncor's Personal Information Privacy PG&S CO-045A](#).



2.1.8 Risk assessments and corrective actions (temporary or permanent) initiated through incident management process shall be completed in compliance with Suncor's Risk Management Standard SUN-00154 and Standard for Managing Corrective Action SUN-00189.

Respond To Incident

The following are the minimum requirements for responding to an incident:

Note: Incident response ensures affected leaders are informed, and crucial information and evidence are identified and collected to support a comprehensive investigation.



2.1.9 BU/FN's shall develop and implement procedures for responding to incidents across the scope of their business areas which include:

- Notifying the Suncor work area supervisor
- Securing the incident scene to eliminate or minimize risk of further injuries, environmental impacts or property damage. Procedures shall address:
 - Incidents where no emergency response is activated
 - Incident scenes prior to arrival of the site physical emergency response personnel as per Element 12 Emergency Management
 - Suncor's roles while regulatory site investigations are being completed and until the regulator has relinquished control of the scene back to Suncor
 - Control of access until Suncor Investigators have completed their inspection and gathering of physical evidence
- Preserving physical evidence for examination
- Collecting initial relevant incident data
- Notifying jurisdictional regulators of regulatory reportable events
- Initiating the incident record in the Incident Management Tool
- Incident ownership shall be assigned based on initial data gathered during the incident response. Follow the guideline as defined in Table 1 Incident Ownership below:



Table 1: Incident Ownership

Investigation Level	Owner
Level 1	Business Area Leader - VP/GM/Dir.
Level 2	Business Area General Manager/Director
Level 3	Work Area Manager
Level 4	Work Area Supervisor



Note: Incident ownership is independent of risk ownership. Risk ownership is defined per the [Risk Management Standard SUN 00154](#).

2.1.10 The Incident Owner shall ensure authority for scene control is established and coordinated with Emergency Response personnel, per Element 12 Emergency Management, during and after an Emergency Response.

2.1.11 The Incident Owner shall complete initial internal Suncor notifications based on actual consequence of the incident per Table 2: Initial Incident Notification requirements.

Table 2: Initial Incident Notification Requirements

Consequence Ranking		BU or Function					EH&S			Corporate	
		Supervisor	Manager	Director / GM	VP / SVP	EVP	Manager	Director / GM	VP	EVP Business Services	President / CEO
		Actual	C6	A	A	A	A	A	A	A	A
C5	A		A	A	A	A	A	A	A	A	A
C4	A		A	B	B	B	B	B	C	C	
C3	A		C	C	C		C	C			
C2	B										
C1	B										
Legend											
	A	Immediate verbal notification (as soon as possible after the event is reported and circumstance are verified)									
	B	Notification within one business day									
	C	Notification within two business days									
Business process shall determine notifications required for applicable functions like Legal, Corporate Insurance and Communications.											

Classify Incident

The following are the minimum requirements for classifying an Incident.

Note: Classifying an incident ensures that all pertinent information is collected to properly categorize and record the actual and potential impacts of the event. These are used to establish the priority and level of effort for the investigation. When classifying an incident, initial data is refined and additional information is collected and analysed to enable determination of final ownership, completion of internal and external notifications, actual and potential consequence levels and the level of investigation and causal analysis effort required.

2.1.12 The Incident Owner shall:

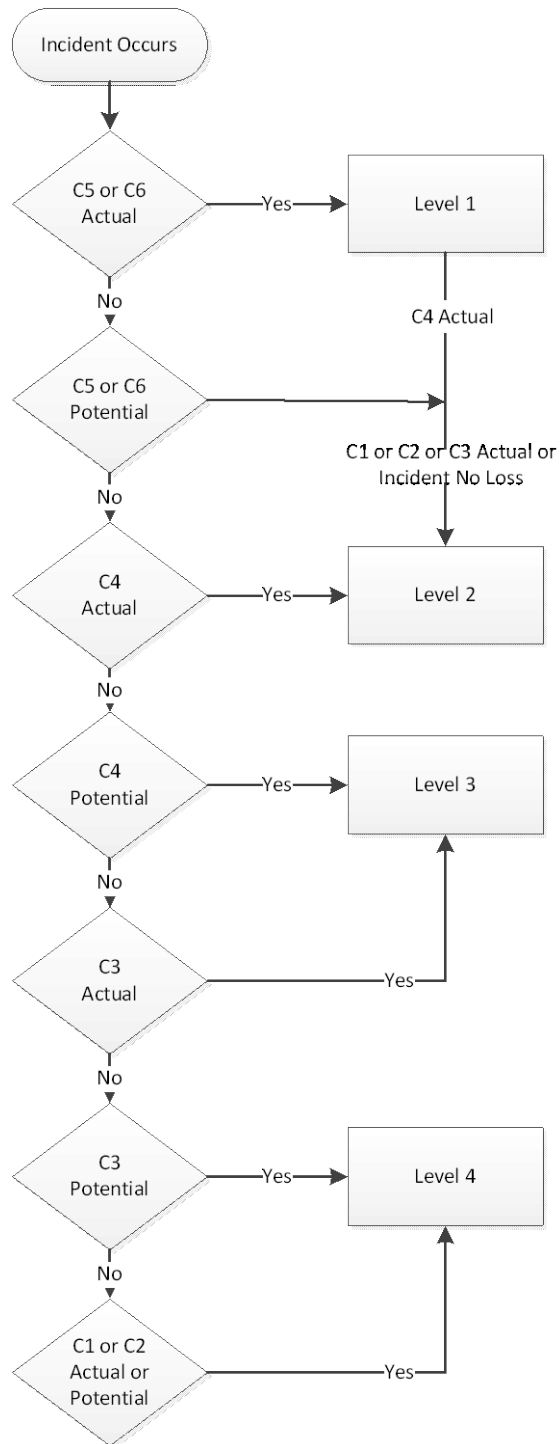
- Ensure classification data for incidents is entered into the enterprise Incident Management Tool within one business day of the incident occurrence or discovery.
- Classify all incidents as incident with loss (IWL) or incident no loss (INL).
- Identify and record all of the actual and potential consequences (impacts) associated with the incident as per the Suncor Risk Matrix.
- Ensure that appropriate Subject Matter Experts (i.e. medical professionals, technical experts) for incidents involving injuries to workers or Process Safety related incidents are consulted and that the following guidelines are used:

If	Then
Injury and illness consequences	Use Guideline for Classification of Occupational Injuries and illnesses
Process safety related	Use Loss of Primary Containment incident Guideline SUN-00059



2.1.13 The Incident Owner shall use highest actual and potential consequence identified for the incident and determine the Investigation level per Figure 1: Incident Investigation Level Decision Tree.

Figure 1: Incident Investigation Level Decision Tree



Review and Adjudication



The following are the minimum requirements for classification review and adjudication of an incident:

- 2.1.14 The Incident Owners shall validate the actual and potential consequences with Subject Matter Experts (SME's) having appropriate expertise.
 - 2.1.15 The Incident Owner shall initiate the Corporate Adjudication process when agreement cannot be reached on incident ownership or classification. The decision of Corporate Adjudication process will be final.
 - 2.1.16 The Incident Owner shall proceed with the investigation based on original classification while reviews and adjudications are in progress to ensure a timely investigation is started.
 - 2.1.17 The Incident Owner shall update the incident record and adjust the level of investigation to align with the Standard if there is change to the classification.
-

Legal Privilege



The following are the minimum requirements pertaining to Legal Privilege:

Note: The requirements to establish and maintain Legal Privilege during an incident investigation are defined within the Suncor Legal Privilege Guideline SUN 00039.

- 2.1.18 The Incident Owner shall consult the business area Senior Legal Advisor to determine the need for Legal Privilege where:
 - There is a reasonable expectation of regulatory investigation, enforcement, or litigation (including fines, penalties, or other legal action);
 - The event may pose a threat to Suncor's license to operate; or
 - The event has the potential to damage Suncor's reputation; or
 - The incident owner is unsure whether any of the above criteria apply.
 - 2.1.19 The business area Senior Legal Advisor shall advise the Incident Owner on the requirements to establish and maintain privilege throughout the investigation process.
-

Escalation and De-escalation

The following are the minimum requirements for escalating or de-escalating an incident investigation:



2.1.20 If, after determining the level of investigation required for an Incident as per Figure 1 Incident Investigation Decision Tree, an Incident Owner wants to escalate or de-escalate the level of investigation, they shall record the justification within the incident record and obtain the following approvals as follows:

If	Then
De-escalation of Level 1 to Level 2, or Escalation of level 2 to level 1	Business Area Vice President/General Manager/Dir and the Vice President of EH&S
De-escalation of Level 2 to Level 3, or Escalation of level 3 to level 2	Business Area General Manager/Director and Business Area EH&S Director
De-escalation of a Level 3 to Level 4 or Escalation of a Level 4	Incident Owner's Decision

Investigate and Identify Causes

The following are the minimum requirements for investigating and identifying causes of incidents:



2.1.21 The Central Investigations Manager shall ensure individuals assigned to the Lead Investigator and Causal Analysis Facilitator roles for Level 1 investigations are formally trained and experienced. Refer to Investigation and Causal Analysis competency requirements.



2.1.22 The Incident Owner shall ensure individuals assigned to Lead Investigator and Causal Analysis Facilitator roles for Level 2, and 3 investigations are formally trained or experienced for the level of investigation.

2.1.23 Investigation Team members shall include Subject Matter Experts (SMEs) and individuals who are responsible for and familiar with the assets, projects, and activities related to the incident.

2.1.24 Investigations lead by contractors, for contractor incidents, on Suncor worksites, shall have a Suncor representative designated as per Element 10 [Contractor Management, Standard SUN_00066](#), to support the contractor as required and provide a quality check of the contractor's investigation.

2.1.25 The Incident Owner shall include the results of the contractor's independent investigation in the Suncor incident investigation record in accordance with the requirements of Element 10 Contractor Management.



2.1.26 **Level 1 - 4 Incidents:** Incident Owner shall review the details related to the incident and ensure the incident record includes the following:

- Date and time of incident
- Location of the incident
- Regulators and stakeholders contacted
- Identification of the people and companies involved in the incident
- Description of the incident
- Actual and potential consequences
- Assessment of Residual Risks associated with the incident
- Information required for Process Safety Incidents as per [Loss of Primary Containment Incident Guideline SUN 00059](#)
- Identification of corrective actions planned or taken



2.1.27 **Level 3 Incidents** (in addition to 2.1.27): Incident Owner shall investigate and record:

- Summary of investigation findings
- Causal analysis to determine basic cause and if action or corrective actions are required



2.1.28 **Level 2 Incidents** (In addition to 2.1.27 and 2.1.28): Incident Owner shall also include:

- Lead Investigator
- Documented Investigation Plan
- Names and titles of investigation team members
- Root Cause Analysis (RCA)
- Corrective actions to address root causes identified
- Identification of OEMS element deficiencies and Operational Discipline behaviors related to the causes



2.1.29 **Level 1 Incident Investigations** (In addition to 2.1.27, 2.1.28 and 2.1.29) shall follow the [Corporate Level 1 Investigation Process](#) and also include:

- Steering Team
 - Incident Investigation Project Manager
 - Investigation charter
 - Executive Sponsor
-

2.1.30 **For Privileged Investigations** the Business Unit Senior Legal Advisor shall:

- Ensure the requirements for legal privilege are followed throughout the investigation and causal analysis
- Review and approve formal internal and external communications throughout the investigation and causal analysis process
- Coordinate all formal regulatory reporting



2.1.31 The Incident Owner shall update the incident record and ensure all appropriate notifications are made and all requirements of the new level of investigation are followed if it is determined during the investigation process that an incident is not correctly classified.

Leadership Reviews



The following are the minimum requirements for Leadership Reviews:

2.1.32 BU/FN's leaders shall conduct internal leadership reviews for all Levels 1 investigations.

2.1.33 The Incident Owner shall ensure that leadership reviews include the following:

- Summary of the investigation findings
- Recommended corrective actions and applicable timeline
- Expected future residual risk post corrective actions

Close the Investigation



The following are the minimum requirements to close an investigation record:

2.1.34 The Incident Owner shall close the Investigation record in the applicable enterprise-wide tool when the:

- Investigation and causal analysis are complete
- Documentation is collected
- Corrective actions are assigned in accordance within the enterprise Corrective Action tool
- Leadership reviews are completed (if required)
- Regulatory reporting is completed (if required)

Learn from Incidents



The following are the minimum requirements for learning from incidents:

Note: Enterprise learning from incidents requires effective communication regarding risks identified during an investigation that may be common to other business areas, and enable effective corrective or preventive actions enterprise-wide so as to prevent re-occurrence of similar incidents.

2.1.35 Incident Owners shall develop an Incident Alert at any point during the incident investigation where a risk or hazard is discovered that may require immediate attention within the business area or potentially in other business

areas across Suncor.

- 2.1.36 At the conclusion of an investigation, Incident Owners shall develop an Incident Investigation Findings Summary for Level 1 incident investigations to be shared across the organization.
- 2.1.37 If the incident investigation was conducted as a Privileged Investigation, the Incident Owner shall consult with Legal prior to the finalization or distribution of an Incident Alert or Incident Investigations Findings Summary.
- 2.1.38 All actions for communicating and responding to Incident Alerts and Incident Investigation Findings Summaries shall use the Element 17 enterprise-wide Corrective Actions tools to assign responsibility and monitor the status.
- 2.1.39 VP EH&S shall assign Corporate Incident Learning governance and facilitation roles to:
- Coordinate the review and approval for enterprise Incident Alerts and Incident Investigation Finding Summaries
 - Coordinate the distribution of enterprise Incident Alerts and Incident Investigation Findings Summary information
 - Maintain Incident Alerts and Incident Investigation Findings Summary records in the Suncor Safety Communications database
 - Monitor and report status of Suncor enterprise Learnings from Incidents for review and action plan completion
- 2.1.40 BU/FN leaders shall assign Learning facilitation roles to:
- Coordinate review and approval for Incident Alerts and Incident Investigation Finding Summaries generated for distribution within their BU/FN.
 - Coordinate the distribution of Incident Alerts and Incident Investigation findings Summaries within the BU/FN and monitor and report on the status of review and follow up action plans
 - Maintain Incident Alerts and Incident Investigation Finding Summaries in the Suncor Safety Communications database



Major Incident Communications



The following are the minimum requirements for internal communications on Major Incidents:

- 2.1.41 Business Unit or Function Sr. Leaders shall ensure there is a business process to communicate any major events to the organization. At a minimum, Health and Safety C5 and C6 events.
-

2.2 Additional Incident Management Requirements

Data Stewardship

The following are the minimum requirements for Incident data stewardship and reporting:



- 2.2.1 Business performance data gathered through the Incident Management system shall be reported through the Business Leadership stewardship reporting processes.
- 2.2.2 Information in the Business Leadership Stewardship Report related to Privileged investigations shall be reviewed by Legal prior to finalization of the report.

Trend Analysis

The following are the minimum requirements for incident trend analysis:



- 2.2.3 BU/FN Leadership teams shall define the frequency and content of incident trend analysis and reporting requirements for their BU/FN.
- 2.2.4 BU/FN Leadership teams shall assign accountability for completion of BU/FN incident trend analysis and reporting requirements within their BU/FN.
- 2.2.5 The VP EH&S shall determine the frequency and content of trend analysis on Suncor-Wide Incident Management investigation results and learning from incidents.
- 2.2.6 VP EH&S shall assign accountability for completion of, and communication on Suncor-Wide incident trend analysis and reporting.
- 2.2.7 Trending results from incident analysis shall be reported to management and disseminated to the applicable target audience across Suncor.
- 2.2.8 Corrective actions developed from trend analysis shall be actioned as per Element 17 Corrective Actions.



Records Management

The following are the minimum requirements for incident records management:

- 2.2.9 All incidents shall be recorded and maintained in the Suncor enterprise Incident Management tool.
- 2.2.10 Documentation gathered through the investigation shall be retained as part of the official record for the incident.
- 2.2.11 Incident information and documentation that is of a sensitive or private nature shall be securely stored and shall comply with the privacy regulations in the applicable jurisdiction and internal Suncor policies and standards.
- 2.2.12 Confidential information that is generated and maintained in Suncor's secure databases shall have the location where the information is stored within the incident record in the enterprise-wide Incident Management tool.
- 2.2.13 Incident Alerts, Incident Investigation Findings Summaries, documents shall be retained with Corporate Safety Communications records.
- 2.2.14 Retention of records shall comply with Suncor records management requirements and Suncor retention schedule.





**Enablement
Tools**

The following are the minimum requirements for incident records management:

- 2.2.15 BU/FN's shall use Suncor's enterprise-wide Incident Management tool approved by the Corporate Element 15 Owner to enable their Incident Management Processes.
-

2.3 Roles and Responsibilities

Out of Scope Roles The roles of Element Sponsor, Element Owner, Element Driver, and Element Network Representatives, and how they pertain to managing and implementing Element 15, are outside the scope of this Standard.

Responsibilities Detailed responsibilities for individual execution roles for the Incident Management process are defined and described within the Process Design Documents (PDD's) for the Enterprise Incident Management Process.

A Responsible-Accountable-Support-Consult-Inform (RASCI) chart is attached in Appendix A.

Accountabilities Accountabilities are divided into two categories:

- Governance Roles – ensure that Incident Management processes are designed, developed, implemented, and followed, and that resources are available and fully capable of executing their Incident Management.
- Execution Roles – conduct Incident Management in accordance with BU/FN specific Incident Management processes and procedures.

2.4 Governance Roles

Business Unit and Functional Area Executive The BU/FN area Executive is accountable for:

2.4.1 Ensuring Incident Management processes and procedures are established, implemented, and in conformance with this Standard and Suncor's Operational Excellence Management System (OEMS)

2.4.2 Ensuring compliance with this Standard and BU/ FN processes and procedures

Business Unit and Functional Area Senior Leader The BU/FN area Senior Leader is accountable for:

2.4.3 Ensuring organizational resources are available to perform Incident Management activities

2.4.4 Ensuring ownership, stewardship, and effectiveness of the Incident Management process in their business area

**Business Unit
and Functional
Area Mid-Level
Leader**

The BU/FN area Mid-Level Leader is accountable for:

- 2.4.5 Ensuring competent personnel are assigned to execute Incident Management requirements
- 2.4.6 Ensuring the Incident Management processes are effectively executed within their business area

**Senior Legal
Advisor**



The senior legal advisor is accountable for:

- 2.4.7 Advising the Business Management team/Incident Owner on managing legal risk associated with an incident
- 2.4.8 Providing support or governance for privileged investigations as required

**Business Unit
and Functional
Area EH&S
Leader**

The BU/FN area EH&S leader is accountable for:

- 2.4.9 Providing competent Incident Management support resources to the business
- 2.4.10 Advising business areas on the development of their Incident Management processes and procedures
- 2.4.11 Ensuring Incident Management expertise is available to support the business operations
- 2.4.12 Providing feedback to the business area with respect to incident management performance
- 2.4.13 Coaching and mentoring the business area on necessary actions to improve performance

**Vice President
EH&S**



The Vice President of EH&S is accountable for:

- 2.4.14 Developing, implementing, supporting and maintaining Suncor's enterprise Incident Management processes and procedures as per requirements of this standard
- 2.4.15 Providing interpretation and maintenance of this Standard
- 2.4.16 Implementing and maintaining an enterprise-wide Incident Management tool
- 2.4.17 Ensuring Incident Management performance is assessed annually
- 2.4.18 Addressing actions identified in Suncor enterprise-wide reporting, trending, and system performance assessments
- 2.4.19 Ensuring that the results of the analysis from 2.3.18 are used to inform the OEMS Management Review and support the development of Incident Management improvement initiatives
- 2.4.20 Maintaining competent investigators and causal analysis facilitators to support the investigation of Level I incidents
- 2.4.21 Maintaining the Corporate Adjudication team

2.5 Execution Roles

Incident Observer

The Incident Observer is accountable for.

- 2.5.1 Identifying Incidents as they occur within their work area.
- 2.5.2 Notifying Supervisor or appropriate Suncor Management.

Incident Observer Supervisor

The Incident Observer Supervisor is accountable for.

- 2.5.3 Ensure that the Incident is recorded in the Enterprise Incident Management Tool
- 2.5.4 Collecting initial incident data
- 2.5.5 Determining impacts or consequences
- 2.5.6 Securing the incident scene
- 2.5.7 Initiating Suncor notifications
- 2.5.8 Identifying of Incident Owner

Incident Owner

The Incident Owner is accountable for.

- 2.5.9 Classifying the incident
- 2.5.10 Determining level of investigation required
- 2.5.11 Ensuring internal and external notifications and communications are completed
- 2.5.12 Capturing incident data
- 2.5.13 Ensuring Legal Privilege requirements are assessed
- 2.5.14 Assigning Investigation roles
- 2.5.15 Assigning and coordinating Investigation Steering Team members (Level 1 Investigations)
- 2.5.16 Ensuring that investigation deliverables are met
- 2.5.17 Completing Leadership review summary reports
- 2.5.18 Creating Incident Alerts and Incident Investigation Findings Summaries



Lead Investigator



The Lead Investigator is accountable for:

- 2.5.19 Developing an investigation plan
- 2.5.20 Selecting and coordinating the Investigation Team
- 2.5.21 Gathering and analyzing evidence
- 2.5.22 Coordinating communications with key stakeholders during the course of the investigation
- 2.5.23 Completing a risk assessment for the incident

Legal Advisor

The Legal Advisor is accountable for:

- 2.5.24 Determining if Legal Privilege is to be applied
- 2.5.25 Advising on all incident communications for Privileged Investigations
- 2.5.26 Coordinating or supporting regulatory communications and reporting on Privileged investigations

Corporate Adjudicator



The Corporate Adjudicator is accountable for:

- 2.5.27 Coordinating the Corporate Adjudication team
- 2.5.28 Reviewing incidents as requested by the business
- 2.5.29 Completing an Adjudication Report on Incidents reviewed

Investigation Project Manager



For Level 1 Investigation, the Investigation Project Manager is accountable for:

- 2.5.30 Coordinating the overall investigation process
- 2.5.31 Developing the investigation charter
- 2.5.32 Coordinating business activities to support the investigation
- 2.5.33 Coordinating internal communications throughout the investigation

Investigation Steering Team



For Level 1 Investigations, the Steering Team is accountable for:

- 2.5.34 Providing overall governance of the investigation

Central Investigating Team



For Level 1 Investigations, the Central Investigations Manager is accountable for:

- 2.5.35 Assigning the Lead Investigator
- 2.5.36 Supporting the investigation team
- 2.5.37 Coordinating the regulatory communications
- 2.5.38 Completing regulatory reporting

RCA Facilitator



The RCA Facilitator is accountable for:

- 2.5.39 Selecting the RCA Methodology
 - 2.5.40 Selecting RCA team members
 - 2.5.41 Facilitating RCA Sessions
 - 2.5.42 Developing the investigation findings summary
 - 2.5.43 Developing recommendations to address the causes of an incident
-

2.6 Measurements and Verification

Measure



The following criteria outline the measures that will be tracked:

- 2.6.1 The following measures shall be used to track the effectiveness of the incident management process and this standard:
 - Conformance with the incident classification data requirements per sections 2.1.2 to 2.1.23 of this standard
 - Conformance with investigation, causal analysis requirements per sections 2.1.24 to 2.1.38 of this standard
 - Conformance with Learning from Incidents requirements per sections 2.1.39 to 2.1.44 of this standard
 - 2.6.2 Incident records shall be evaluated and scored per the Incident Management Quality Scoring Guide. Refer to [Guidelines for Incident Management](#).
-

Verification



The following criteria outline how the requirements of this standard will be verified:

- 2.6.3 Business Units shall report on Enterprise approved metrics
-

3 Terms and Definitions

Term	Definition
Causal Analysis	A structured and systematic analysis of causal factors that contributed to an incident's occurrence.
Causal Factors	Mistakes, failures or conditions that, if corrected, could have prevented the incident from occurring or would have significantly mitigated its consequences.
Root cause	The most basic management system shortcomings that, if corrected, would either have prevented an occurrence or reduced its impact. (<u><i>Process Safety Definitions Document</i></u>)
Incident	An unplanned or unexpected event, or an unwanted outcome of a business activity that has or could have resulted in injury to a person or damage to or loss of; equipment, material, quality, product, process, the environment, business loss and financial harm.
Incident with loss	An incident that has resulted in injury to a person or damage to or loss of; equipment, material, quality, product, process, the environment, business loss, and financial harm.
Incident no loss.	An incident that did not, but under different circumstances could have resulted in injury to a person or damage to or loss of; equipment, material, quality, product, process, the environment, business loss, and financial harm.
Incident Owner	An individual assigned the accountability for the activities required to classify investigate and determine the causes of an incident.
Incident Ownership	The business area assigned the accountability for investigating and correcting the cause of an incident. Typically this assignment is to the business area leadership team having the responsibility for overall control of the hazards, and risks for the work area where the incident occurred.
Legal Privilege	When directed by Legal counsel, legal privilege allows an investigation team to operate within a "zone of privilege" and fully investigate an incident to determine potential legal liabilities, and prevents the premature disclosure of any related conclusions or analysis to an opposing party or the regulator.

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Lesson Learned	Knowledge gained from experience that supports continuous improvement and operational excellence. It must be clearly described, objective, define the value of repeating or preventing the lesson, and be linked to a specific activity.
Incident Notifications	The process used to provide key incident related information to designated personnel across the organization. Incident notifications are used to provide leaders an awareness of an incidents occurrence or an update on the status of events or activities related to an incident.
Major Incident	Any incident with a consequence impact of C5 or C6 as per Suncor's Risk Matrix
Major Incident Announcement	A communication used to provide key incident related information to employees and or contractors across the organization. Major Incident Announcements are used to provide awareness of an incidents occurrence and/or an update on the status of events or activities related to an incident.
Business Area	The highest organizational grouping of business operations within a BU or FN (e.g. A refinery, Mining, Extraction, Corp EH&S, Corp I&PM, etc.).
Work Area	The scope of business operations within a specific managers or supervisors specific direct area of accountability.

4 References

4.1 Essential Documents

The list below outlines the documents that need to be read with this document for full understanding:

- [Risk Management Standard SUN 00154](#)
- [Suncor Risk Matrix](#)
- [Corrective Action Standard SUN-00189](#)
- Suncor Incident Management Process (Draft)
 - Respond to Incidents
 - Classify Incidents Process
 - Investigate and Identify Causes Process
 - Learn From Incidents Process
 - Close Incidents Process
- [Suncor Legal Privilege Guideline SUN-00039](#)
- Guidelines for Incident Management (Draft)
- Guidelines for Classification of Occupational Injuries and Illnesses (Draft)
- Guidelines for Safety Communications (Draft)
- [Process Safety – Classification of Loss of Primary Containment \(LOPC\) Incidents SUN 00059](#)



Appendix A – RASCI

Task Description		Stakeholder					EHS			Process Roles							
		Business Unit and Functional Area Executive Leaders	Business Unit Functional and Senior Area Leader	Business Unit and Functional Area Mid-Level Leader	Business Unit and Functional Area Front Line Leader	Business Area Legal Advisor	Vice President EH&S	Business Area EH&S Leader	Dir. Central Safety Services	Incident Initiator	Incident Owner	Lead Investigator	RCA Facilitator	Central Investigations Manager	Investigation Project Manager	Central Learning Facilitator	BU/FN Learning Facilitator
RASCI Definitions																	
R: Responsible for leading and/or doing the work																	
A: Accountable for the results																	
S: Supports by doing some work																	
C: Consult required before decision																	
I: Informed during / after decision																	
*Requirement for Level 1 Investigations only																	
+ Requirement for Privileged Investigations only																	
Respond	2.1.8 Establish Business Area Incident Response Procedures	A	R	S	C		S										
	2.1.9 Establish and Maintaining Scene Control		A						R	A/R							
	2.1.10 Complete Internal Notifications	A		A						R							
Classify	2.1.11 Validate consequence/severity of the incident and determine potential consequences									R							
	2.1.13 Record Incident Classification data									R	S						
	2.2.14 Determine incident investigation level	I*	I*	I*			I*	I*		R							
	2.2.16 Complete Internal and External Notifications					S+				A,R			R*				
	2.1.18 Corporate Adjudication (if required)								R	A							
Investigate and Perform Causal Analysis	2.1.21 Determine Legal Privilege	I+	I+	I+	C	I+	C			A,R	I+						
	2.1.24 Assign investigator role			I	R+	I*	S*			R				R*			
	2.1.31 Develop Investigation Charter*				C+									S*	R*		
	2.1.29 Develop investigation plan				C+	C*	C*			A	R			C*	S*		
	2.1.25 Assign investigation support roles				C+		C*			A	R			C*	S*		
	2.1.29, 30, 31 Complete investigation	I*	S*	S*	S	S+	C*	S		A	R	S					
	2.2.18 Complete Risk Assessment									A	R	S					
2.1.29 Develop recommendations to					C+				A	R	S						

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I: Informed during / after decision																	
*Requirement for Level 1 Investigations only																	
+ Requirement for Privileged Investigations only																	
	address causes																
	2.1.29 Approve recommendations		A*			I+	I*	C*			R	I					
	2.1.29 Complete formal internal and external reporting					A+	I*	S*			R			R*	S*		
	2.1.35 Complete Incident Leadership Reviews in BU/FN	A	R	S	S						S	S					
	2.1.37 Complete incident leadership review ELT and BOD for Level I incidents	A/R	S		S		S	S			S						
	2.1.38 Close Investigation										A/R	S		R*	S*		
	2.1.39 Create Incident Alerts and Findings Summaries					C+					A/R	S		S*	S*		
	2.1.44 Distribute Incident Learnings to Business Area Incident Learning facilitators		A								A	S		R*			R
	2.1.42 Action recommendations from Incident Learnings		A	R	S	I+	I*	I*									
	2.1.43 Monitor completion of Learning actions for Alerts and Findings Summaries		A														R
	2.1.44 Distribute Enterprise Incident Learnings to business area and corporate Incident Learning facilitators								A								R
	2.1.42 Action recommendations from Incident Learnings		A	R													
	2.1.43 Monitor completion of Learning actions for Enterprise Alerts and Findings Summaries								A							R	S
Close Investigation	2.1.38 Validate documentation and data records are complete and close investigation			S	S						A/R	S	S				

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Task Description		Stakeholder					EHS			Process Roles								
		Business Unit and Functional Area Executive Leaders	Business Unit Functional and Senior Area Leader	Business Unit and Functional Area Mid-Level Leader	Business Unit and Functional Area Front Line Leader	Business Area Legal Advisor	Vice President EH&S	Business Area EH&S Leader	Dir. Central Safety Services	Incident Initiator	Incident Owner	Lead Investigator	RCA Facilitator	Central Investigations Manager	Investigation Project Manager	Central Learning Facilitator	BU/FN Learning Facilitator	
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Communications	2.1.45 Inform BU Leaders and employees for Major Incidents	A	R								S							
	2.1.46 Inform Enterprise Leaders and employees						A/R											
Stewardship Reporting	2.2.1 IM data in Business Stewardship Reporting	A	R															
Trend Analysis and Reporting	2.2.3 Incident Trend analysis within the Business Unit	A	R					S										
	2.2.5 Enterprise Incident Trend analysis and reporting						A		R									
Governance	2.3.1 Incident Management processes and procedures are established and implemented	A	R				A*		R*									
	2.3.3 Resources are available to perform incident management	A	R				S	S	R*									
	2.3.4 Ownership, stewardship and effectiveness of the Incident Management process		R	S	S		A	S	R*									
	2.3.5 Personnel are assigned, trained and competent to execute Incident Management		A	R	S		A*	S	R*									
	2.3.2 Ensure compliance with Standard and Business Unit/Function processes and procedures		A	R		S+	A*	S	R*									
	2.3.20 Assign central Incident Management support roles		I	I			A		R									
	2.3.9 Assign business area EH&S resources to support Incident Management requirements		C				A	R	S									

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The following individuals have approved this document.

Approver Name: Michael Agnew (magnew)

Title: VP EH&S

Date: Wednesday, 05 August 2015, 03:24 PM Mountain Time

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*Minor changes have been made to this document which does not require re-approval. To view the original approved document, click the following [link](#)