



Incident Management

Document Number: FHCP00015	Procedure – Administrative	Applies To: Fort Hills
Revision Date: 2021/02/23 Revision: 2 Review Cycle: 3 years	Document Owner: Manager, EH&S Fort Hills	

Purpose/Scope

To define how incidents (incidents with loss, incidents no loss) are:

- responded to,
- reported,
- classified,
- investigated to determine causes and actions to prevent reoccurrence,
- shared for the purposes of learning,
- recorded, retained, and tracked in the Incident Management (IM) tool.

This procedure provides the details for implementing [SUN-00010](#) in alignment with OEMS Element 15.

Compliance

This procedure applies to work performed at Fort Hills.

Roles and Responsibilities

The following individuals and groups have the following roles and responsibilities:

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|--------------------------|--|
| Document Owner | <ul style="list-style-type: none"> • Ensures this document is reviewed according to the required revision cycle. • Ensures this document is updated to accommodate engineering changes within the plant. • Ensures this document is updated to mitigate risks found as the result of an incident. • Ensures updates to this document are communicated to affected personnel, including other business areas. |
| Document Approver | <ul style="list-style-type: none"> • Ensures this document is necessary and that it aligns with management and company direction. • Provides resolution of any interpretation issues associated with this document. |

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Roles and Responsibilities (Continued)

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| Area Leaders | <ul style="list-style-type: none"> • Ensures personnel conform to the requirements of this procedure. • Provides sufficient resources to implement this procedure. • Reviews and approves findings and recommendations from incident investigations. • Ensures the appropriate incident owner is assigned for the incident. |
| Causal Analysis Facilitator | <ul style="list-style-type: none"> • Performs causal analysis and identifies causes per this procedure. |
| EH&S | <ul style="list-style-type: none"> • Supports the area leaders and incident owners to meet the requirements of this procedure. • Notifies the appropriate regulatory agencies and other required stakeholder groups including the JWHSC when required. • Notifies the business area legal advisor if a regulator may be conducting an investigation, or there are actions required from a regulator. |
| Incident Investigator | <ul style="list-style-type: none"> • Performs investigation of the incident. • Gathers, preserves and analyzes evidence and information from all relevant sources such as physical evidence, interviews, witness statements and interviews, paper and electronic data, photos and lab results. • Develops an investigation plan per EHS-GT-0005 for Level 1 and 2 investigations. |
| Incident Observer | <ul style="list-style-type: none"> • Reports incidents as they occur within their work area. • Takes immediate actions for incidents where possible. • Notifies their supervisor or appropriate Suncor management. |
| Incident Owner | <ul style="list-style-type: none"> • Ensures classification, investigation, causes and actions, and communication of the incident are performed per this procedure. • Assesses the need for legal privilege and notify the business area legal advisor when required. • Escalates or de-escalates the incident investigation per this procedure as applicable. |
| Joint Workplace Health & Safety Committee | <ul style="list-style-type: none"> • Participates in the investigations of serious injuries and incidents at the work site in accordance with Section 40 of the AB OHS Act. |
| Work Area Supervisor | <ul style="list-style-type: none"> • Activates the Emergency Response Plan (FHHG00001) where required. • Secures and preserves the scene. • Performs initial classification and notifications. • Collects initial relevant incident data for the incident record. |

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References

- [CO-045A](#), Personal Information Privacy
- [Completing the Short Form QRG](#)
- [CO-PS01A](#), Personal Information Privacy Policy Statement
- [CO-S21](#), Alcohol and Drug Testing Standard
- [EHS-GP-0001](#), Evidence Gathering, Storage and Retention
- [EHS-GF-0001](#), Investigation Kit Checklist Form
- [EHS-GF-0002](#), Evidence Guidance Checklist Form
- [EHS-GF-0003](#), Witness Statement Form
- [EHS-GF-0004](#), Measuring Sketching And Recreating The Scene Form
- [EHS-GF-0005](#), Interview Preparation Form
- [EHS-GF-0006](#), Chain Of Custody Form
- [EHS-GF-0007](#), Scene Survey Form
- [EHS-PDD-0002](#), Process Design Detail Conduct Level 1 Incident Investigation
- [EHS-GT-0005](#), Investigation Plan Template
- [FHHP00002](#), Release Reporting Standard
- [FHLT Incident Review Guidance](#)
- [Section 40 OHS Standardized Charter \(Levels 2 and 3 Incident Investigation\)](#)
- [Section 40 of the AB OHS Act](#)
- [EHS-0001 Guideline for Conducting a 5-Why Causal Analysis](#)
- [5-Why Causal Analysis Template](#)
- [Causal Analysis Worksheet](#)
- [Enablon IMCA User Manual](#)
- [Incident Alert Template](#)
- [IIFS, Incident Investigation Finding Summary template](#)
- [Corrective Action Verification Template](#)
- [Director Approval for Fort Hills AHS](#)
- [Incident Review Presentation template](#)
- [Incident Occurrence Announcement Template](#)
- [Leaders Documentation Form – Post Incident](#)
- [Post Incident Alcohol and Drug Testing Procedure](#)
- [Privileged and Confidential Events in Enablon](#)
- [RGM09009](#), OEMS Element 9-Loss of Primary Containment Reporting
- [RGM17001](#), Corrective Action Management Business Process Manual
- [ST-EH-001A](#), Form for Investigations
- [SUN-00010](#), Incident Management Standard
- [SUN-00039](#), Role of Legal Affairs in Incidents, Incident Investigations and the Preservation of Privilege Guideline
- [SUN-00059](#), Classification of Loss of Primary Containment Guideline

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References (Continued)

- [SUN-00154](#), Risk Management Standard
 - [SUN-00155](#), Guidelines for Using the Suncor Risk Matrix
 - [SUN-00189](#), Corrective Actions Standard
 - [SUN-00191](#), Suncor Risk Matrix
 - [SUN-00194](#), Guidelines for Serious Injury and Fatality Prevention
 - [SUN-00196](#), Information Sensitivity Classification Standard
 - [SUN-00204](#), Prime Contractor Health and Safety Standard
 - [SUN-00217](#), Injury and Illness Classification Guideline
 - [SUN-000237](#), Safety Communications Guideline
 - [FHHG00001](#), Fort Hills Emergency Management System – Emergency Response Plan
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- [Incident Management Interactive Process Map](#)
 - [Corrective Actions Interactive Process Map](#)
 - [Level 1 Implementation Toolkit](#)
 - [Incident Investigation Findings Summary](#)
 - [Enablon Training Library](#)
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Terms, Definitions and Acronyms The following terms, definitions and acronyms are used in this procedure

ACFT	Area Cross Functional Team
Action Plan	Summary of actions that align with investigation recommendations, including but not limited to: <ul style="list-style-type: none"> • priority • responsible person • resources (funding/staff) applicable • estimated completion time
Basic Cause	The highest level of cause determined for an event
Causal Analysis	A structured and systematic analysis of causal factors that contributed to an incident's occurrence.
Causal Factor	Mistakes, failures or conditions that, if corrected, could have prevented the incident from occurring or would have significantly mitigated its consequences.
Cause Category	List of contributing behaviors or conditions that may have led to an INL.
CFT	Cross Functional Team
Confidential	The Confidential classification applies to sensitive business information that is intended for strict, controlled use within Suncor. Refer to SUN-00196 Information Sensitivity Classification.
Cority	Software used by Health and Wellness to collect and manage employee health data.
Defect	A defect is a situation, not directly caused by the action or inaction of one or more workers, in an area that may lead to an incident or injury if uncorrected. Defects are normally beyond the direct control of workers.
ERI	Environmental Regulatory Incident
EV	Environment Consequence Receptor
FLOC	Function Location Orientation Code (from SAP)
GM	General Manager
H2S	hydrogen sulphide
HS	Health and Safety (consequence receptor)
IIFS	Incident Investigation Findings Summary – A communication used to share important information resulting from an incident investigation.
IM Tool	The enterprise wide tool used to record and retain incident records.
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.

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Terms, Definitions and Acronyms (Continued)

Incident Alert	A communication used to cascade essential information that requires immediate attention.
Incident Initiator	The person who is responsible to enter the incident into the incident management tool (Enablon). Incident Initiator could be the foreman, Work Area supervisor or Incident Owner.
Incident Investigator	Individual who performs investigation of the incident. This can be the Incident Owner, or other individual that is competent to initiate the incident record.
Incident No Loss (INL)	Also known as a near miss. 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 Observer	The person who identified the incident and who, when possible, takes immediate actions including notifying the Supervisor
Incident Occurrence Announcement	A communication used to notify of an incident occurrence and provide information about immediate actions taken to prevent further impact from the incident.
Incident Owner	An individual assigned the accountability for the activities required to classify investigate and determine the causes of an incident.
Incident With Loss (IWL)	An incident that has resulted in injury to a person, or damage to or loss of; equipment, material, quality, product, process, equipment, the environment, business loss, and financial harm.
Investigation Level	The amount of rigor put into understanding the causes and actions required for an incident based on actual and potential consequences identified. Refer to Appendix C for determination.
JWHSC	Joint Workplace Health & Safety Committee
Legal Privilege	At its simplest, privilege is a legal right to refuse to disclose a document or communication in a legal proceeding, such as litigation or a regulatory investigation. It is essential to legal privilege that any such document or communication be confidential. Refer to SUN-00039 Role of Legal Affairs in Incidents, Incident Investigations and the Preservation of Privilege Guideline
LOPC	Loss of Primary Containment
LSRV	Live Saving Rule Violation
OEMS	Operational Excellence Management System
RG	Regulatory Consequence Receptor
Root Cause	The absence of best practices or the failure to apply knowledge that would have prevented the problem.

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Terms, Definitions and Acronyms (Continued)

Root Cause Analysis (RCA)	A method of problem solving used for identifying the root causes of faults or problems. E.g. TapRoot, 5-Why
SERI	Significant Environmental Regulatory Incident
SIF	Serious Injury Fatality
SMART	Specific, Measurable, Achievable, Relevant and Time Bound
SME	Subject Matter Expert
TapRoot	A systematic process, software and training for finding the root cause of problems.
VP	Vice President

Procedure 1. Respond to Incident

Responsibility	Step	Action
Incident Observer	1.1	Observe incident in work area.
Incident Observer	1.2	Take immediate actions to eliminate or minimize risk of further injuries, environmental impacts or property damage where it is safe to do so.
Incident Observer	1.3	Activate FHHG00001 , Fort Hills Emergency Management System – Emergency Response Plan if required.
Incident Observer	1.4	Immediately notify the appropriate supervisor(s) of the incident. Note: The incident observer’s supervisor may not be the work area supervisor and may need to contact the work area supervisor.
Work Area Supervisor	1.5	Secure the incident scene to eliminate or minimize risk of further injuries, environmental impacts or property damage. Perform the following as required: <ul style="list-style-type: none"> • Stop work • Safe-out equipment and process • Assess if there is any immediate danger to yourself or other workers, and respond appropriately • Deploy environmental mitigation if appropriate

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Respond to Incident (Continued)

Responsibility	Step	Action
Work Area Supervisor	1.6	<p>Preserve the scene for any physical evidence examination. The following may be required:</p> <ul style="list-style-type: none"> • Remove all non-essential personnel. • Limit access to the area. • Establish boundaries of the incident scene. • Record any visual evidence by taking pictures and documenting details. <p>Note 1: Consider using the Scene Survey form (EHS-GF-0007) to help ensure initial information is captured.</p> <p>Note 2: Maintaining the scene of an incident is especially important for incidents that are reportable to a regulatory agency. For these incidents, the scene must remain frozen until communication from site EH&S personnel and/or released by a regulatory agency. For non-reportable incidents, the scene must remain frozen until release is authorized by area leadership.</p> <p>Note 3: The only time an incident scene can be disturbed is to attend to an injured person and to prevent further injury or to protect property that is endangered as a result of the incident.</p>
Work Area Supervisor	1.7	<p>Ensure injured personnel are transported to a medical treatment facility when required.</p>
Work Area Supervisor	1.8	<p>Determine if alcohol or drug testing is required per CO-S21.</p> <p>Note: Follow Post Incident Alcohol and Drug Testing Procedure using the Integrated Operations Lead/Site Director as one-up leader and document the decision or justification for either course of action in the Leaders Documentation Form – Post Incident.</p> <p>Send to A&DPC@suncor.com</p>
Work Area Supervisor	1.9	<p>Identify actual consequence(s) of the incident per SUN-00191 Risk Matrix.</p> <p>Note: Actual health and safety consequence is determined by Medgate.</p>
Work Area Supervisor	1.10	<p>Perform notifications per Appendix A.</p> <p>Note 1: Initial notifications are based on the actual consequence of the incident for IWLs. Notifications for INLs occur once potential consequence is confirmed.</p> <p>Note 2: Immediate notification requires either verbal or written confirmation that the notification has been received. All other notifications can be done in writing within the specified timeframe.</p> <p>Note 3: Report all environmental and regulatory incidents immediately as follows to Environmental Affairs On-call (780-743-6840).</p>

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Respond to Incident (Continued)

Responsibility	Step	Action
Work Area Supervisor	1.11	<p>Report any incident that may require regulatory notification to Site EH&S as outlined in Section 40 of the AB OHS Act. This reporting is critical to facilitate prompt notification to internal and external agencies. Examples include but are not limited to:</p> <ul style="list-style-type: none"> • Injury/illness that results in a death of a worker • An injury or incident that results in a worker being admitted to hospital (i.e. when a physician writes admitting orders to cause a worker to be an inpatient of a hospital) • An unplanned or uncontrolled explosion, fire or flood that causes a serious injury or that has the potential of causing a serious injury • The collapse or upset of a crane, derrick or hoist • The collapse or failure of any component of a building or structure necessary for the structural integrity of the building or structure <p>Mine:</p> <ul style="list-style-type: none"> • An unexpected major ground fall or subsidence that endangers or may endanger workers, equipment or facilities • A vehicle that goes out of control • Electrical equipment failures or incidents that cause, or threaten to cause, injury to workers or damage to equipment or facilities • Cracking, or evidence of weakening of dike structure • Unexpected seepage from dike • Washout or erosion of dike <p>Autonomous Haulage Systems as per Director Approval for Fort Hills AHS including:</p> <ul style="list-style-type: none"> • Any unauthorized entry into an Autonomous Operating Zone (AOZ) • Any deviation from established escort procedures that occurs in the AOZ • High potential incidents in the AOZ that trigger both a CDS and ODS event <p>Potential:</p> <ul style="list-style-type: none"> • If any injury or incident that has the potential of causing serious injury to a person occurs. <p>Note: See Appendix C – Decision tree for classification of incidents with the potential to cause a serious injury.</p>
EHS Manager	1.12	<p>Confirm if incident is reportable to OHS as per the Classification and Reporting of Incidents to Alberta OH&S and notify as required.</p> <ul style="list-style-type: none"> • When OHS Section 40 incidents are reportable, EH&S Manager will send an email including a brief description of the event, applicable section of the Act, details of any regulator communication and a draft of the Section 40 Charter to: <ul style="list-style-type: none"> • Incident Owner • FHLT members • EH&S GM • Area Director • Co-Chairs of the Fort Hills JWHSC • Business area legal advisor <p>Note: If reporting a PSI, on-line report must be submitted to Central Health and Safety, post submission.</p>

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Respond to Incident (Continued)

Responsibility	Step	Action
Incident Owner	1.13	Create an Incident Occurrence Announcement for Level 1, Level 2 (including incidents that have been escalated) and significant incidents (actual HS, EV, RG ≥ C3 incidents).
Work Area Supervisor	1.14	<p>Collect initial relevant incident data. This may include, but is not limited to:</p> <ul style="list-style-type: none"> • Initial Incident Record: <ul style="list-style-type: none"> • Where – Location of the incident • What – Detailed description of incident leading up to and including incident • When – Date and time of the incident • Who – Who was involved (internal and external). Indicate positions not names • How – How the condition was found • Severity – Actual and potential consequences associated with all receptors • Immediate Actions – Describe immediate actions taken • Additional action required – Identify any additional actions taken • Pictures that gives definition of equipment, scene and dimensions • Statements of witnesses (refer to EHS-GF-0003 Witness Statement Form). • Relevant documents or portions thereof as necessary. Examples of documents are in the Evidence Guidance Checklist Form (EHS-GF-0002).
Work Area Supervisor	1.15	<p>Identify both actual and worst credible potential consequence for each applicable receptor.</p> <p>Note: For guidance on how to determine the worst credible consequence, follow SUN-00155 Guidelines for Using the Suncor Risk Matrix.</p>
Incident Initiator	1.16	<p>Initiate the incident record in the IM tool within 24 hours.</p> <p>Note 1: Refer to Completing the Short Form QRG for IM tool entry information or the Enablon IMCA User Manual for guidance on all fields.</p> <p>Note 2: Refer to Appendix E for common incident naming conventions</p> <p>Note 3: Entry of personal information into the IM tool must follow CO-PS01A, Personal Information Privacy Policy Statement and CO-045A, Personal Information Privacy.</p> <ul style="list-style-type: none"> • In any fields that can be viewed by the general population (event description, title, investigation results), use employee positions not names. • Do not upload photos of actual injuries. • Do not upload A&D testing results. • Do not upload duty disposition. <p>• Personal information such as witness statements and medical impact data must be entered in secure fields within the IM tool (secure fields include: Name of Persons Involved, External Persons Involved, Name of Persons Injured, Statements).</p>

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Respond to Incident (Continued)

Responsibility	Step	Action
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Incident Initiator	1.17	Assign initial incident owner based on initial data gathered during the incident response for further screening.
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Note 1: The IM Tool will default to the one-up Leader of the Incident Initiator. The Incident Owner can be changed if this is not correct. For example, the Incident Initiator may also be the Incident Owner.

Investigation Level	Incident Owner
Level 1	Business Area Leader – VP/GM/Director
Level 2	Business Area General Manager/Director
Level 3	Work Area Manager
Level 4	Work Area Supervisor

Note 2: Refer to Appendix C Incident Investigation Level Decision Tree

Incident Owner	1.18	Review incident record and determine if there is sufficient information in the incident record to accept ownership. If additional information is required, ensure the information is collected and added to the incident record in the IM tool.
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Note 1: For all injuries that are reported to the Fort Hills Medical Centre an automated event record will be generated in Enablon containing some basic information.

Note 2: The Incident Owner must validate all fields including the incident location and the incident descriptions. The Incident Owner must also assign the contractor name (if applicable) and determine the mechanism of injury found under Impacts. Confirm the lowest level of FLOC has been selected, the ACFT/CFT and department are entered and correct if applicable.

Incident Owner	1.19	Accept ownership in the IM tool.
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Note 1: If ownership is not accepted or is re-assigned, the new owner must accept ownership in the IM tool. If there is disagreement on ownership, follow the adjudication process ([SUN-00217](#)) Injury and Illness Classification Guideline.

Disagreement on ownership should not delay the entry, first identified owner is to ensure the entry is started as ownership can be changed once agreed upon.

2. Classify Incident

Responsibility	Step	Action
Incident Owner	2.1	<p>Review and validate all classifications (actual and worst credible potential consequence) information entered in the incident record is correct.</p> <ul style="list-style-type: none"> • Health & Safety • Environment • Regulatory • Reputation • Financial <p>Note: Classifying an incident ensures that all pertinent information is collected to properly categorize and record the actual and potential impacts of the event. There can be more than one impact associated with an event. Additional impacts forms will be created for all identified receptors. Use SUN-00191 Suncor Risk Matrix and SUN-00155 Risk Classification Guidelines to classify the impacts.</p> <p>For incidents where classification was debated or involved dangerous substances such as hydrogen sulphide (H₂S) or solvent (pentane) a documented rationale for the classification must be added to the record.</p>
Incident Owner	2.2	<p>Ensure the incident record contains the injury classification per SUN-00217 Injury and Illness Classification Guideline as applicable. Update Mechanism of Injury/Illness within the Health and Safety Impact.</p> <ul style="list-style-type: none"> • Contact EH&S or the injury classification specialist for assistance if required.
Incident Owner	2.3	<p>Ensure the incident record contains regulatory report data and compliance requirements as applicable.</p> <ul style="list-style-type: none"> • Contact EH&S for assistance if required.

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Classify Incident (Continued)

Responsibility	Step	Action
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Incident Owner	2.4	<p>Review and validate the incident investigation level using Appendix C.</p> <p>Note: If, after determining the level of investigation required, an incident owner wants to escalate or de-escalate the level of investigation, they record the justification within the incident record and obtain approval as identified below. The following guidance can be used to help determine whether or not an incident should be escalated or de-escalated to a different investigation level.</p> <ul style="list-style-type: none"> • Escalation of an investigation: <ul style="list-style-type: none"> • The likelihood of re-occurrence is high • Repeat event • Regulatory Involvement (e.g. Section 40 event) • De-escalation of an investigation: <ul style="list-style-type: none"> • Known issue where the value of doing an investigation is not warranted • Actions already exist from related event • The mechanism of injury cannot be determined (illness)
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If escalating or de-escalating ...	then obtain approval from ...
<ul style="list-style-type: none"> • De-escalating level 1 to level 2 • Escalating level 2 to level 1 	Business Area VP, GM or Director and the VP EH&S
<ul style="list-style-type: none"> • De-escalating level 2 to level 3 • Escalating of level 3 to level 2 	Business Area GM or Director and the Business Area EH&S Manager
<ul style="list-style-type: none"> • De-escalating level 3 to level 4 • Escalating level 4 to level 3 	Incident Owner's discretion

Incident Owner	2.5	Determine if a contractor was involved in the incident.
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Was a general or sub-contractor involved in the incident ...	then ...
No	Continue to step 2.6.
Yes	<ul style="list-style-type: none"> • Ensure a Suncor representative follows the Contractor Management Standard (SUN-00066) and is assigned to: <ul style="list-style-type: none"> • Support the contractor as required. • Provide a quality check of the contractor's investigation. • Go to step 2.6.

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Classify Incident (Continued)

Responsibility	Step	Action
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Incident Owner	2.6	<p>Verify incident is a Suncor incident.</p> <p>Note: Examples of incidents that are not Suncor related include (definitions of a Suncor incident (SUN-00217):</p> <ul style="list-style-type: none"> • Prime contractor events • Non-occupational injuries • Natural disaster (e.g., fire, flood, tornado) • Off duty activity or event
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Is incident a Suncor incident ...	then ...
No	Close the event in the IM tool, notify EH&S to cancel and exit this procedure.
No – Prime Contractor Event	<ul style="list-style-type: none"> • Refer to incident management requirements in SUN-00204 Prime Contractor Health and Safety Standard. • Ensure prime contractor performs an independent investigation. • If available log investigation findings and supporting documents in the incident record in the IM Tool.
Yes	Go to step 2.7.

Incident Owner	2.7	<p>Determine the need for legal privilege or confidential.</p> <p>Note 1: Refer to Privileged and Confidential Events in Enablon for IM tool entry information.</p> <p>Note 2: If any of the following criteria exist consult with EH&S and/or the business area legal advisor to determine the need for legal privilege:</p> <ul style="list-style-type: none"> • There is 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. • The event has the potential to damage Suncor’s reputation. • The Incident Owner is unsure whether any of the above requirements apply.
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Classify Incident (Continued)

Responsibility Step

Action

Incident Owner

2.8

Identify any additional classifications based on the table below.

Does it involve ...	then ...
Security Event or Aviation Event	Report incident to corporate security and exit procedure. Note: Security and aviation events must only be initiated in the IM tool by someone with the proper authority to do so. If you are unsure or if you have entered the incident in error, contact your EH&S advisor for guidance.
Process Safety	<ul style="list-style-type: none"> • Select the type of process safety: <ul style="list-style-type: none"> • LOPC (use SUN-00059 Classification of Loss of Primary Containment Guideline for identification of LOPC events). • Other Process Safety Event. • Types of other process safety events include but are not limited to: <ul style="list-style-type: none"> • Safe operating limit excursion • Standard limit exceedance • Primary containment inspection or testing results outside acceptable limits • Demand on safety systems
SIF Precursor or Life Saving Rule Involved	<ul style="list-style-type: none"> • For any incident with a potential HS5 or HS6 consequence or for any <u>potential</u> violation of a lifesaving rule requirement, a SIF precursor must be selected to support trending and analysis. • For any incident that relates to control of hazardous energy (regardless of actual or potential consequence), the Control of Hazardous Energy SIF precursor must be selected. • Use the SIF Guidelines (SUN-00194) to identify appropriate SIF Precursor or Life Saving Rule involved <p>Note: This field does not indicate a violation. An LSRV is entered on the Cause form upon completion of the investigation.</p>
ERI	<ul style="list-style-type: none"> • An incident that results in an actual regulatory consequence RG 2 C2+ and either: <ul style="list-style-type: none"> • A potential regulatory consequence RG C3+; or • A potential environmental consequence EV C2+
SERI	<ul style="list-style-type: none"> • An incident is considered to be a SERIa when it results in an actual consequence of EV C4+ and/or RG C4+ • An incident is considered to be a SERIp when it results in a worst credible potential consequence of EV C4+ and/or RG C4+
Mode of Operations	Identify the mode of operations at the time of the incident.
Work Shift	Select the appropriate work shift when the incident occurred.
Repeat Events	Identify if there are other events that have occurred under the same or very similar circumstances.

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Classify Incident (Continued)

Responsibility	Step	Action
Incident Owner	2.9	Ensure appropriate Suncor notifications have been completed per Appendix A. Note: Additional notifications may be required based on the investigation level.
Incident Owner	2.10	Review initial data gathered to verify Incident Ownership.

Was the incident caused by a defect in the work environment?	then ...
No	<ul style="list-style-type: none"> The incident is owned by the injured person's function or business unit Continue to step 3.1
Yes	<ul style="list-style-type: none"> The incident is owned by the function / business unit responsible for maintaining the work environment where the injury or illness took place Reassign the Incident Owner in the IM Tool Go to step 1.19 <p>Note: The new owner must agree to the responsibility of ownership before changes are made in the IM Tool. If there is disagreement on ownership, the original Incident Owner shall proceed with the investigation while reviews and adjudications are in progress to ensure a timely investigation is started.</p>

Note: Incident Ownership is complex. In cases where multiple groups are working in an area when an incident occurs, the Business Area leaders (at the appropriate level based on the investigation) will determine ownership. The Corporate Adjudication process will be initiated where agreement cannot be reached on incident ownership. The Incident Owner shall proceed with the investigation based on the original classification while reviews and adjudications are in progress to ensure a timely investigation is started.

3. Investigate

Responsibility	Step	Action										
Investigation Lead	3.1	<p>Perform investigation per requirements in Appendix B.</p> <p>Note: If during the investigation process it was determined that the incident was classified incorrectly, notify the incident owner who must ensure all appropriate notifications are made and all requirements of the new level of investigation are followed.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: center;">Investigation Level</th> <th style="text-align: left;">Incident Investigator</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Level 1</td> <td>Central Investigations Group to assign an Incident Investigator and RCA Facilitator.</td> </tr> <tr> <td style="text-align: center;">Level 2</td> <td>EH&S to assign an Incident Investigator and RCA Facilitator.</td> </tr> <tr> <td style="text-align: center;">Level 3</td> <td>Assign an individual as Incident Investigator who is sufficiently trained and/or experienced in determining the basic cause. Note: This is usually a Manager</td> </tr> <tr> <td style="text-align: center;">Level 4</td> <td>Assign a qualified person to determine failure causes.</td> </tr> </tbody> </table>	Investigation Level	Incident Investigator	Level 1	Central Investigations Group to assign an Incident Investigator and RCA Facilitator.	Level 2	EH&S to assign an Incident Investigator and RCA Facilitator.	Level 3	Assign an individual as Incident Investigator who is sufficiently trained and/or experienced in determining the basic cause. Note: This is usually a Manager	Level 4	Assign a qualified person to determine failure causes.
Investigation Level	Incident Investigator											
Level 1	Central Investigations Group to assign an Incident Investigator and RCA Facilitator.											
Level 2	EH&S to assign an Incident Investigator and RCA Facilitator.											
Level 3	Assign an individual as Incident Investigator who is sufficiently trained and/or experienced in determining the basic cause. Note: This is usually a Manager											
Level 4	Assign a qualified person to determine failure causes.											
Causal Analysis Facilitator	3.2	<p>Perform causal analysis and identify causes based on investigation level.</p> <p>Note: Minimum expectations for causal analysis are:</p> <ul style="list-style-type: none"> • Level 1 and 2 – TapRoot Root Cause Analysis (RCA) • Level 3 – Incident Owner to select a causal analysis method that will identify appropriate corrective actions e.g. TapRoot, 5 why, Fishbone, SCAT analysis. At a minimum Basic Cause will be determined. • Level 4 – Determine what equipment failure, substandard act or condition led to the incident <p>Note 1: Refer to EHS-0001, 5-Why Guideline and TapRoot Basic Cause Worksheet for further RCA analysis tools.</p> <p>Note 2: LOPC events:</p> <ul style="list-style-type: none"> • Tier I events should be investigated at a minimum investigation of Level 2. • Tier II and Tier III events should at minimum have a Basic Cause identified. 										
Causal Analysis Team	3.3	<p>Identify recommendations to prevent recurrence of the incident for each cause identified in step 3.2.</p>										
Incident Owner	3.4	<p>Ensure investigation and causal analysis is completed within 15 days for all incidents with exception of Level 1.</p> <p>Note: Reports and dashboards are available within the IM Tool to track completion.</p>										

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Investigate (Continued)

Responsibility	Step	Action
Incident Owner	3.5	Review and approve causes identified in step 3.2.
Incident Owner	3.6	<p>Determine if the incident involved an LSRV based on the results of the investigation and causal analysis.</p> <p>Note 1: If it is confirmed the incident involved an LSRV, EH&S must be engaged to review and approve.</p> <p>Note 2: Confirm the LSRV has been documented in Cause Form in the IM Tool.</p>
Incident Owner	3.7	<p>Ensure that the investigation information is correct and entered into the incident record.</p> <p>Note: For contractor led investigations, if the Suncor representative is not satisfied with the outcome of the contractor investigation, Suncor may request the contractor re-investigate investigate or may conduct their own investigation. It is beneficial to monitor a contractor's progress during the investigation to ensure quality and provide assistance as needed, when required.</p>
Incident Owner	3.8	<p>Evaluate the likelihood of the incident recurring per SUN-00191 Risk Matrix to determine the risk ranking and risk owner.</p> <p>Note: Risk ranking is determined based on the previously determined worst credible potential.</p>

4. Identify Corrective Actions

Responsibility	Step	Action
Incident Owner	4.1	Approve recommendations identified in step 3.3.
Incident Owner	4.2	<p>Develop actions based on the identified recommendations.</p> <p>Note 1: Actions must be SMART and target the causes and focus on preventing reoccurrence by following the hierarchy of controls. Clearly written corrective actions allow little opportunity for confusion. Corrective actions should describe their objective and state how completion will be measured.</p> <p>Note 2: Refer to SUN-00189 Corrective Actions Standard and RGM17001 Corrective Action Management Business Process Manual for the development and management of corrective/preventative actions.</p> <p>Note 3: Actions must be classified as corrective/preventative, learning, interim or general.</p>
Incident Owner	4.3	<p>Ensure actions are entered into the incident record and assigned to an action owner.</p> <p>Note: Refer to SUN-00189 and RGM17001 to properly assign ownership of corrective and preventative actions.</p>

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Identify Corrective Actions (Continued)

Responsibility	Step	Action
Incident Owner	4.4	<p>Determine if the Risk Register requires updating.</p> <ul style="list-style-type: none"> If yes, follow SUN-00154 Risk Management Standard.
Incident Owner	4.5	<p>Determine the need for the actions to be marked Legal Privilege</p> <p>Note: The declaration of the event as Legal Privilege does not automatically mean corrective actions from the same event will inherit privilege status (Refer to SUN-00039, Section 3.2.2). The corrective actions will have to be reviewed by Legal Reviewer to be declared as privileged.</p>
Incident Owner	4.6	<p>Determine if there are any applicable learnings that should be shared through the development of an Incident Alert or IIFS.</p> <p>Note: See Appendix D for specific communication requirements.</p>
Incident Owner	4.7	<p>Develop an Action Plan for a learning type action for all Incident Alerts or IIFS identified in step 4.6 and identify and assign an action owner.</p> <p>Note: Learning type actions are required for all Level 1 and 2 investigations.</p>
Incident Owner	4.8	<p>Assign an action requiring a future verification of all corrective actions for all Level 1/2 investigations.</p> <p>Note: Refer to the Corrective Action Verification Process and Summary Template for guidance.</p>

5. Close Incident

Responsibility	Step	Action						
Incident Owner	5.1	<table border="1"> <thead> <tr> <th>Is Incident Legal Privilege ...</th> <th>then ...</th> </tr> </thead> <tbody> <tr> <td>Yes</td> <td>go to step 5.2.</td> </tr> <tr> <td>No</td> <td>go to step 5.3.</td> </tr> </tbody> </table>	Is Incident Legal Privilege ...	then ...	Yes	go to step 5.2.	No	go to step 5.3.
Is Incident Legal Privilege ...	then ...							
Yes	go to step 5.2.							
No	go to step 5.3.							
Incident Owner	5.2	<p>Obtain approval on all privileged investigations from the business area legal advisor before finalization or distribution of leadership review summary information.</p>						
Incident Owner	5.3	<p>Review incident record and ensure all requirements from Appendix B are completed.</p>						
Incident Owner	5.4	<p>Close incident.</p> <p>Note 1: The incident record can be closed before completion of all associated actions.</p> <p>Note 2: The incident record must be closed within 30 days (with the exception of Level 1 investigations). If the incident record cannot be closed within 30 days, the appropriate GM must be contacted to obtain approval for an extension. The incident owner must create and assign the GM an action in the incident record, including specific reasons for extension. When creating the action, the type selected must be general (found under summary).</p>						

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6. Communicate and Learn

Responsibility	Step	Action
Incident Owner	6.1	<p>Create IIFS and if required Safety Alert.</p> <p>Note: Use SUN-00217, Injury and Illness Classification Guideline to support in the development of alerts and IIFS documents.</p>
Incident Owner	6.2	Submit Safety Alert or IIFS to EH&S for review and approval.
EH&S	6.3	<p>Review Safety Alert or IIFS and evaluate applicability and quality of information. Provide feedback to the Incident Owner.</p> <p>Note: If any changes are required to the Safety Alert or IIFS, work with the incident owner to ensure owner agrees with and approves all changes.</p>
Incident Owner	6.4	Submit Safety Alert or IIFS to AskForthillsEHS@suncor.com and send an email to the distribution list in Appendix D.
EH&S	6.5	Publish learning into the Central Learning Repository.
Incident Owner	6.6	Upload Safety Alert or IIFS into the Action Plan that was generated in IM Tool.

7. Weekly Incident Review Process

Responsibility	Step	Action
EH&S	7.1	Distribute weekly list of all incidents in IM tool to Business Area Leaders.
EH&S	7.2	<p>Facilitate weekly incident review meeting.</p> <p>Note: The purpose of this meeting is to provide a learning opportunity about incident investigation and causal analysis, to improve the quality of the incident management process and corrective actions, and to follow-up on any overdue corrective actions</p>
EH&S	7.3	<p>Select incidents to be reviewed at the weekly meeting and invite appropriate incident owners.</p> <p>Note: Incidents are selected based on consequence and receptor with priority place on higher consequence and potential events.</p>
Incident Owner	7.4	Present incident details and findings at weekly meeting.

8. Quality Review Process

Responsibility	Step	Action
EH&S	8.1	Assess incident quality on 20 incidents or 25% of total incidents, whichever is greater. Quality reviews should be performed on all Level 1 and 2, C3 actual and H2S or solvent related incidents.
EH&S	8.2	Document incident quality assessment in scorecard and provide direct improvement feedback to Incident Owner

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9. Fort Hills Leadership Team Incident Review

Responsibility	Step	Action
EH&S Manager	9.1	<p>Select incidents to be reviewed at the meeting.</p> <p>Note: Incidents are selected from Level 1, Level 2, and Tier I and Tier II LOPC. Additional guidance can be found in the FHLT Incident Review Guidance document.</p>
Incident Owner	9.2	<p>Prepare incident review material and distribute pre-reads.</p> <p>Note: Enablon is considered the source of truth and should reflect all actions that were taken to prevent reoccurrence. Recommendations that will not be actioned should be clearly documented.</p>
Incident Owner	9.3	<p>Present incident materials at meeting.</p>

End of Procedure

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Feedback: Please submit your feedback for this document to your Supervisor.	Comments on this document (Is this document up to date?): <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> Suggested Improvements: <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
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Print: _____	

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Summary of Changes

Rev No.	Date (yyyy/mm/dd)	Section Changed	Revisions Made
0			New document
1	2019/03/28	Roles & Responsibilities	Add Joint Workplace Health & Safety Committee accountabilities 1.6 Respond to Incident – Scene securement 2.4 Inclusion of Section 40 and AHS events 2.8 Addition of ERI / SERI 3.2 Added requirement for Tier III LOPC events to require Basic Cause 3.4 15 days to complete Investigation
2	2021/02/23	Classify Indent	2.0 Additional requirement to add documented rationale 2.8 Requirement to add SIF precursor
		Identify Corrective Action	4.8 Added Corrective Action Verification process
		Quality Review Process	8.1 Added H2S and Solvent events to Quality Review Process
		Fort Hills Leadership Team Review	9.1 Added LOPC Tier I & II to review requirements
		Appendices	Added QRGs to support Enablon entries and management of event to closure Added Root Cause Analysis guidance document Updated references, distribution lists, acronyms / naming convention

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Approved By: Rod Daniels, Manager EH&S FHO

Appendix A –Notification Matrix

Purpose

Immediate verbal notification is based on actual consequence: Escalation should occur through the functional organizations (Operations, Maintenance and Technical) based on reporting structure. If the point of contact cannot be reached, escalate to the next supervisory / management level until contact has been made. Be clear who is responsible to escalate. Ensure the Area Owner has been included in the notification.

Consequence Ranking		Business / Function								EH&S				Corporate	
		Supervisor/ Area Owner	Manager	Director	GM	VP	EVP	Fort Hills Manager Operator Governance	Emergency Services Department	EHS Advisor	EHS Manager	EHS GM	EHS VP	EVP Strategy & Operations Services	President / CEO
Actual	C6	A	A	A	A	A	A	A	A	A	A	A	A	A	A
	C5	A	A	A	A	A	A	A	A	A	A	A	A	A	A
	C4	A	A	A	A	A		C		A	A	A	C		
	C3	A	A	A	B	B		C		A	A	B			
	C2	A	B							B					
	C1	A													
INL, C5 or C6 Potential (SIFp)		A	A	A	B	B		C		A	A				
		Legend													
		A	Notify immediately (as soon as possible after the event is reported and circumstances verified)												
		B	Notify within 24 hours												
		C	Notify within 48 hours												

Note 1: Insurance Notifications

Contact Insurance where actual Financial consequence is ≥C3

Note 2: Incident Occurrence Announcements

Level 1, Level 2 and actual HS, EN, RG ≥C3 require email notifications as per Appendix D

Appendix B – Minimum Requirements for Managing Incidents

Purpose To outline the minimum requirements for managing an incident based on level of investigation

	Level 1	Level 2	Level 3 ¹	Level 4
Initial Information Entry				
Date and time of the incident	X	X	X	X
Location of the incident	X	X	X	X
Regulators and stakeholders contacted	X	X	X	X
Identification of the people and companies involved in the incident	X	X	X	X
Description of the incident	X	X	X	X
Actual and potential consequences	X	X	X	X
Information required for SUN-00059 or RGM09009 LOPC Reporting	X	X	X	X
Investigation Requirements				
Incident Investigator from the Central Investigations Group	X			
Establish a Steering Team, Incident Investigation Project Manager, Investigation Charter, and Executive Sponsor.	X			
Names and titles of investigation team members ²	X	X		
Date and time the Investigation started and finished	X	X	X	
Documented investigation plan ³	X	X		
Causal Analysis				
TapRoot ⁴	X	X		
Incident Owner to select a causal analysis method that will identify appropriate corrective actions. At a minimum Basic Cause will be determined.			X	
Summary				
Incident Investigation Findings Summary (IIFS) Use SUN-00217 to support the development of alerts and IIFS documents	X	X		
Identification of OEMS element deficiencies and Operational Discipline behaviours related to the Causes	X	X		
Actions				
Corrective Actions to address Root Causes identified	X	X		
Identification of actions planned or taken	X	X	X	X

Note 1: Incident Owners must ensure individuals assigned to complete Level 3 investigations are sufficiently trained and/or experienced in determine Basic Cause.

Note 2: Investigation team members must include SMEs and individuals who are responsible for and familiar with the assets, projects, and activities related to the Incident.

Note 3: Investigation Plan for Level 1 incidents must follow [EHS-PDD-0002](#)

Note 4: Minimum expectations for Causal Analysis are

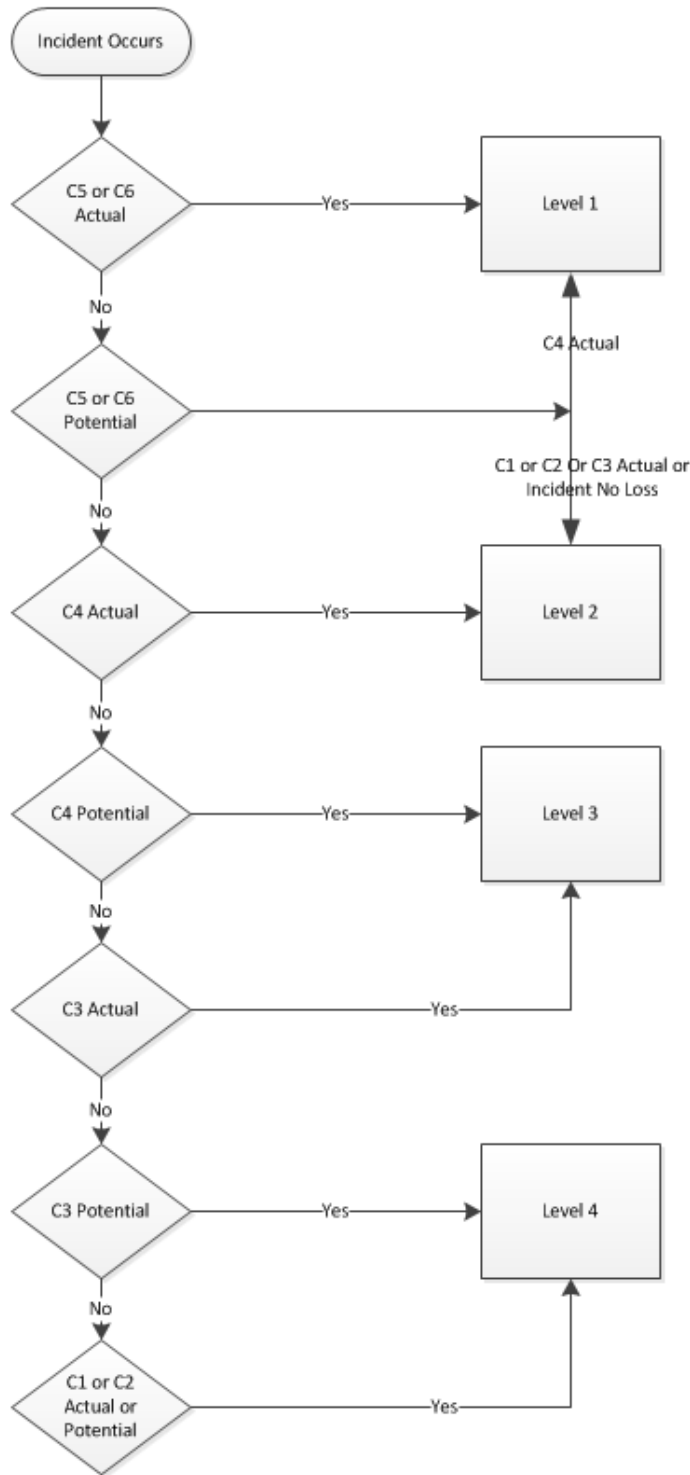
- Level 1 and 2 – TapRoot.
- Level 3 – an adequate amount of detail and causal analysis to assure appropriate corrective actions e.g. 5 why, Fishbone or SCAT analysis.
- Level 4 does not require use of a formal investigation methodology, however failure causes should be identified to determine what equipment failure, substandard act or condition led to the incident and to prevent recurrence

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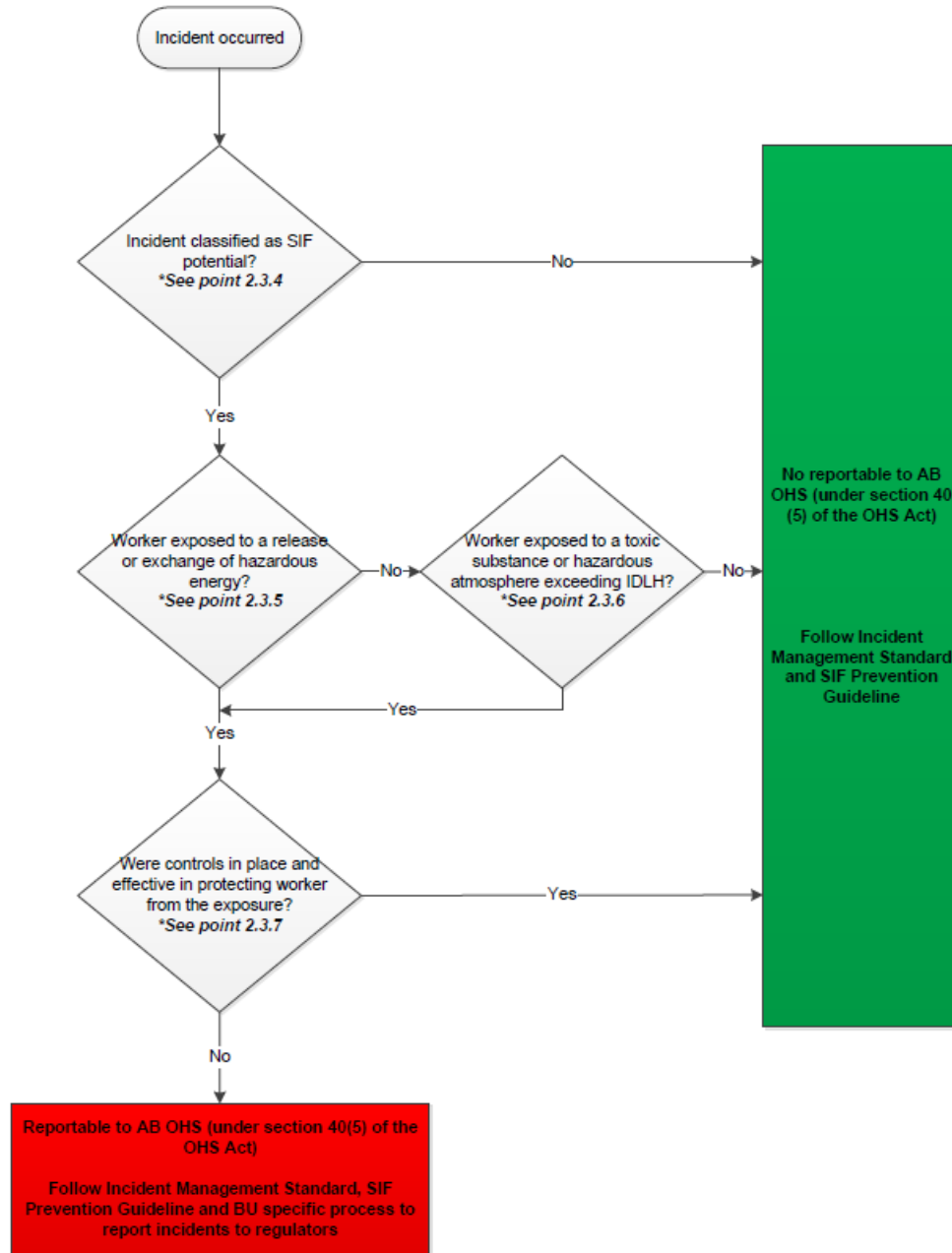
Appendix C – Incident Investigation Level Decision Tree

Purpose

To determine Level of Investigation required based on the highest actual and potential consequence identified.



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Appendix D – Incident Communication Requirements

Purpose To determine communication requirements based on level of investigation or consequence.

For any Incident where a risk or hazard is discovered that may require immediate attention within the business area or in other Suncor business areas, the Incident Owner must develop an [Incident Alert](#) at any point during the investigation.

IIFS may be published for any other incident types when, in the opinion of the Leadership team (including site directors), there is valuable lessons learned to communicate that can prevent injuries or other losses.

Level of Investigation / Consequence	Communication Required	Timeline	Completed By	Additional Information
Level 1	Incident Occurrence Announcement	Within 12 hours	Incident Owner	Incident Occurrence Announcement Send to: RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support
Level 2 (including escalated Level 2 investigations)	Incident Occurrence Announcement	Within 24 hours	Incident Owner	Incident Occurrence Announcement Send to: RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support
Actual HS, ENV, RG ≥C3	Incident Occurrence Announcement	Within 24 hours	Incident Owner	Incident Occurrence Announcement Send to: RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support
Level 1	IIFS	At conclusion of investigation	Incident Owner	IIFS Template download Once approved by EHS, send to: askFortHillsEHS@suncor.com ; RO-FH-All Employees; RO-FH-Leaders; -FH-Functional Support
Level 2	IIFS	Within 30 days	Incident Owner	IIFS Template download Once approved by EHS, send to: askFortHillsEHS@suncor.com ; RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support
Actual HS ≥ C3	IIFS	Within 30 days	Incident Owner	IIFS Template download Once approved by EHS, send to: askFortHillsEHS@suncor.com ; RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support

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Appendix E – Naming Convention Guidance

The following naming convention will help support tracking and trending of incidents.

General Format:

Brief Event Description	Contractor Name	Acronyms to be included for Incident Type
<p>Should be stated consistently Role/Object – Action/Energy – Outcome</p> <p>e.g. Welder – Cutting Rebar – Injured Hand</p> <p>e.g. HEO – Backing Truck – nearly struck pipeline</p>	<p>Use consistent naming abbreviation where possible</p> <p>(CRC, TCG, MNALP, FLUOR, LEDCOR, SMS, FMA, Clearstream, Kal Tire)</p>	<p>ROW (Right of Way)</p> <p>HVC (High Voltage Cable)</p> <p>EQC (Equipment (metal on metal) or berm contact)</p> <p>LUMP (Any damage from lumps)</p> <p>AHS – CDS (Autonomous Haulage Systems, Collision Detection System)</p> <p>AHS – ODS (Autonomous Haulage Systems, Obstacle Detection System)</p> <p>AHS – ACCESS (Autonomous Haulage Systems, unauthorized access or gate issues)</p> <p>AHS – ESCORT (Autonomous Haulage Systems, any escort related incident)</p> <p>STF (Slip, trip and fall)</p> <p>LOF (Line of fire)</p> <p>CHE (Control of Hazardous Energy)</p> <p>SWP (Safe Work Permit)</p> <p>OST (Operator Soft Tissue injury when operating equipment)</p> <p>H2S (Hydrogen Sulphide)</p> <p>LOPC (Loss of Primary Containment)</p> <p>MEF (Mechanical Equipment Failure)</p> <p>DMG (Property or Equipment Damage)</p> <p>RWK (Rework)</p>

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Appendix F – IM Tool Information

Purpose To list the applicable instructions related to entry of information in the IM Tool (Enablon).

Instructions Click on the following PDF links to obtain the QRG.

[IM QRG 1 Create Event in Enablon](#)

[IM QRG 2 Accept Ownership in Enablon](#)

[IM QRG 3 Advance Workflow](#)

[IM QRG 4 Add Impacts in Enablon](#)

[IM QRG 5 Add Statements in Enablon](#)

[IM QRG 6 Add Evidence in Enablon](#)

[IM QRG 7 Add Investigation to Enablon](#)

[IM QRG 8 Add Causes in Enablon](#)

[IM QRG 9 Add Action Plan in Enablon](#)

[IM QRG 10 Add Notifications in Enablon](#)

[IM QRG 11 Add Notice of Violation \(NOV\)](#)

[IM QRG 12 Escalating or De-escalating an Incident Investigation in Enablon](#)

[IM QRG 13 Create Default Location in Enablon](#)

[IM QRG 14 Create Search Query in Enablon](#)

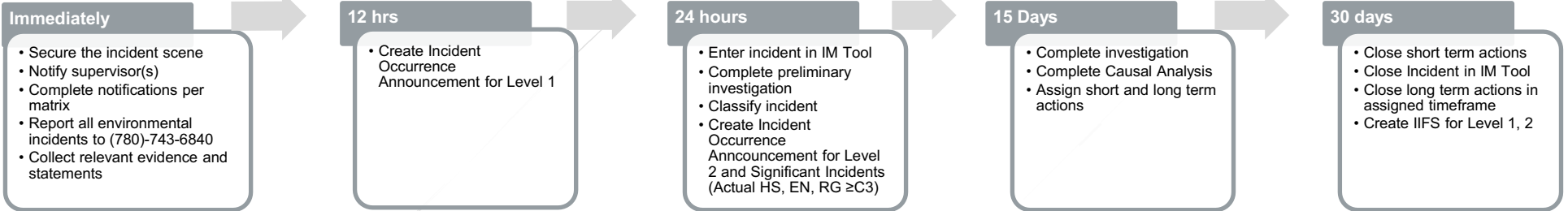
[IM QRG 15 Create Report in Enablon](#)

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Approved By: Rod Daniels, Manager EH&S FHO

Incident Management Summary Requirements

Incident Management Timeline



Notifications Matrix

Consequence Ranking		Business / Function								EH&S			Corporate		Additional Information	
		Supervisor/ Area Owner	Manager	Director /Area Owner	GM	VP	EVP	Fort Hills Manager Operator Governance	Emergency Services Department	EHS Advisor	EHS Manager	EHS DGM	VP	EVP Strategy & Operations Services		President / CEO
Actual	C6	A	A	A	A	A	A	A	A	A	A	A	A	A	A	<p>Immediate verbal notification is based on actual consequence: Escalation should occur through the functional organizations (operations, maintenance and technical) based on reporting structure. If the point of contact cannot be reached, escalate to the next supervisory / management level until contact has been made. Be clear who is responsible to escalate. Ensure that the Area Owner has been included in the notification.</p> <p>Note 1: Environmental and Regulatory Incidents</p> <ul style="list-style-type: none"> All environmental and regulatory incidents regardless of consequence level, must be reported to At Fort Hills - Environmental Affairs On-Call person (780 743-6840) <p>Note 2: Legal Notifications</p> <ul style="list-style-type: none"> Notify the business area legal advisor for any incident that requires contact with regulators. For C5/C6 H&S Incidents Legal Affairs must be contacted prior to contacting Regulators. Contact the Director of Legal Affairs to determine the need for Legal Privilege (SUN-00039) <p>Note 3: Insurance Notifications</p> <ul style="list-style-type: none"> Contact Insurance where actual Financial consequence is ≥C3 <p>Note 4: Incident Occurrence Announcements</p> <ul style="list-style-type: none"> Level 1, Level 2 and actual HS, EN, RG ≥C3 require email notifications as per Appendix D
	C5	A	A	A	A	A	A	A	A	A	A	A	A	A	A	
	C4	A	A	A	A	A		C		A	A	A	C			
	C3	A	A	A	B	B		C		A	A	B				
	C2	A	B							B						
	C1	A														
INL, C5 or C6 Potential (SIFp)		A	A	A	B	B		C		A	A					
		Legend														
		A Notify immediately (as soon as possible after the event is reported and circumstances verified)														
		B Notify within 24 hours														
		C Notify within 48 hours														

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Incident Management Requirements based on Actual Consequence

Incident Consequence	Level	Incident Owner and Investigation Team	Incident Investigation Criteria	Incident Communication
Actual C5 or C6 SIF ^(a) Actual C4 with Potential C5 or C6	Level 1	Business Area Leader (VP/GM/Dir.) Central Investigations to lead investigation and assign: Steering Team Project Manager Executive Sponsor RCA Facilitator	A formal investigation, including: <ul style="list-style-type: none"> Level 1 Incident Investigation Process (EHS-PDD-0002) must be followed Incident and associated data entered in Incident Management tool For disabling injuries or fatalities the provincial OH&S authority must be notified and may investigate Investigation shall be complete within 15 days Identification of OEMS element deficiencies and Operational Discipline behaviours related to the causes The Incident Owner shall perform an effectiveness review of the corrective actions after they've been complete Leadership review of investigation findings, corrective actions and timeline, expected future residual risk post corrective actions 	<ul style="list-style-type: none"> Incident Occurrence Announcement within 12 hours and send to RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support Incident Investigation Findings Summary (IIFS) at the conclusions of the investigation. IM Tool can generate an IIFS from the incident record or IIFS Template download Send to: askFortHillsEHS@suncor.com Incident Summary Overview Presentation Formal Investigation Report
Actual C4 Potential C5 or C6 SIF ^(p) Tier 1 LOPC	Level 2	Business Area GM/Dir. Lead Investigator RCA Facilitator Team Leader / Supervisor of Area Employee(s) Involved EH&S Medical (as required) External or internal SME (as required)	A formal investigation including: <ul style="list-style-type: none"> Incident and associated data entered in Incident Management tool Documented Investigation Plan and Investigation team members Root Cause Analysis (RCA) Corrective Actions to address identified root causes For injuries resulting in lost time the provincial OH&S authority must be notified and may investigate Investigation shall be complete within 15days Identification of OEMS element deficiencies and Operational Discipline behaviours related to the causes The Incident Owner shall perform an effectiveness review of the corrective actions after they've been complete 	<ul style="list-style-type: none"> Incident Occurrence Announcement within 24 hours and send to RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support Incident Investigation Findings Summary (IIFS) within 30 days. Download IIFS Template. Once approved by EHS, send to: RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support Formal investigation report
Recordable Injuries – Medical Treatment and Restricted Work (Actual ≥C3)	Level 3	Work Area Manager Employee(s) Involved EH&S (if required) Medical (as required) External or internal SME (as required)	A formal investigation including: <ul style="list-style-type: none"> Incident and associated data entered in Incident Management tool Incident Owner to select a causal analysis method that will identify appropriate corrective actions. At a minimum Basic Cause will be determined For injuries resulting in restricted work the provincial OH&S authority must be notified and may investigate Investigation shall be complete within 15days 	<ul style="list-style-type: none"> Incident Occurrence Announcement within 24 hours and send to RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional-Leaders Basic summary of investigation findings Incident Investigation Findings Summary (IIFS) within 30 days. Download IIFS Template. Once approved by EHS, send to: RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support
Reportable Environmental and Regulatory Incidents (Actual ≥C3)	Level 3	Work Area Manager Employee(s) Involved EH&S (if required) Medical (as required) External or internal SME (as required)	A formal investigation including: <ul style="list-style-type: none"> Incident and associated data entered in Incident Management tool Incident Owner to select a causal analysis method that will identify appropriate corrective actions. At a minimum Basic Cause will be determined Contact the EHS and/or Environment and Regulatory groups for all incidents as regulatory bodies may require notification and may investigate Investigation shall be complete within 15days 	<ul style="list-style-type: none"> Incident Occurrence Announcement within 24 hours and send to RO-FH-All Employees; RO-FH-Leaders; RO-FH-Functional Support
Actual C3 Potential C4, Tier 2 LOPC	Level 3	Work Area Manager Employee(s) Involved EH&S (if required) Medical (as required) External or internal SME (as required)	A formal Investigation including <ul style="list-style-type: none"> Incident and associated data entered in Incident Management tool Causal analysis to determine basic cause and if action or corrective actions are required Investigation shall be complete within 15days 	<ul style="list-style-type: none"> For any Incident where a risk or hazard is discovered that may require immediate attention within the business area or in other Suncor business areas the Incident Owner must develop an Incident Alert
Actual C1 or C2 Potential C3	Level 4	Work Area Supervisor Employee(s) Involved EH&S (if required) Medical (as required) External or internal SME (as required)	An informal investigation including: <ul style="list-style-type: none"> Incident and associated data entered in Incident Management tool Identification of corrective actions planned or taken Failure Cause Investigation shall be complete within 15days 	<ul style="list-style-type: none"> For any Incident where a risk or hazard is discovered that may require immediate attention within the business area or in other Suncor business areas the Incident Owner must develop an Incident Alert

Warning, uncontrolled when printed. The current revision of this document is available in ECMS.



The following individuals have approved and signed this document

UserName: Rod Daniels (rdaniels)

Title: Mgr EH&S Fort Hills

Date: Tuesday, 23 February 2021, 03:16 PM Mountain Daylight Time

Meaning: I approve that this document is valid.

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