STOLTHAVEN AUSTRALASIA

BUSINESS CONTROL SYSTEM

EVENT MANAGEMENT SYSTEM

Document # - BCS-HSE-04-4.1

Current Revision -	4.0
Next Revision Due -	Feb. 2026

REVISIONS

Rev	Date	Description	Reviewed by	Approved by
0	19 Feb. '11	Initial release of document	GAM / BFB	IDR
1.0	14 Apr. '11	Approved for release	SMG	SMG
1.1	04 Dec. '11	Removal of reference to Marstel	WGS	WGS
2.0	02 Apr. '12	Periodic review, inclusion of Appendix B & C	WGS	WGS
3.0	16 Jul. '14	Periodic review	WGS	LRC
3.1	Aug. '16	Periodic Review and update NZ Health Safety Work Act Removal of 'Vault' from document	WST	WST
3.2	May '17	Update reporting flowchart to include notification to Worksafe	LCN	WST
3.3	Aug. '18	Periodic review Update of flowchart Removed Appendix A Reference to Environmental A,B,C	WST / IDR / LCN	SMG
3.4	Aug. '20	Minor administrative changes	GAM	GAM
3.5	Jul. '21	Minor nomenclature changes	GAM	GAM
4.0	Nov. '22	Comprehensive update, including document name change	GAM / BFB / IDR	GAM

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1 PURPOSE

To describe the system, processes, documents and tools used to report, assess, investigate and close-out 'Events' *ie incidents, near misses and other safety concerns* that occur at Stolthaven sites and or other locations where Stolthaven have Workplace Health and Safety obligations.

2 SCOPE

This document applies to all parts of Stolthaven Australasia Operations, Administration and Management at all locations in Australasia where Stolthaven have a presence and or operational / management responsibilities.

3 REFERENCES

BCS-SHE-01-1.1 SHEQ Management Plan

4 DEFINITIONS & ABBREVIATIONS

Stolthaven	Refers to Stolthaven (Australia), Stolthaven (New Zealand)
Event	For the purposes of this and related documents and in order to be consistent with terminology used within Stolthaven globally, ALL incidents, accidents, near-misses, unsafe acts, unsafe conditions, non-conformances and issues / feedback / suggestions relating to safety, health, environmental, quality and or security matters are referred to as 'events'.
EMS	Event Management System
SHEQ	Safety, Health, Environmental and Quality
Critical safeguard	Any automated or manual activation of process safety critical equipment (ie. PRV / VRVs, ESDs, PSHH / LAHH alarms, fire system, etc) or equipment designated as a Safety Case control measure
Notifiable Event	Refer to relevant agency definition for relevant jurisdiction – See Appendix 1
Near-miss Event	An Event which, under slightly different circumstances, could have caused an "incident" as defined above. This will include any unsafe act or condition (safety concern) someone might notice.
First Aid Injury	A First Aid Injury (FAI) is an injury where first aid treatment (first assistance or treatment given before the arrival of a qualified medical practitioner) only is required.
Medical Treatment Incident	A First Aid Injury (FAI) is an injury where first aid treatment (first assistance or treatment given before the arrival of a qualified medical practitioner) only is required.
Lost Time Incident	A lost time incident (LTI) is an injury or illness that results in time lost of one or more complete work period(s) due to a work related accident or illness. For delayed onset cases the original event must be verifiable.
Potential for Serious Harm	An incident/accident that under slightly different circumstances would have caused serious harm.

Environmental Event	A type of non-injury incident reported as an abnormal occurrence involving the unplanned release of material.
Senior Management Group *(Composition varies according to context, but may include the following roles)*	• General Manager • Operations Manager • Compliance & Risk Manager • SHEQ Manager • Site Manager(s)

5 ROLES AND RESPONSIBILITIES

5.1 General Managers

- Ensure an appropriate ‘Event Management System’ that complies with relevant statutory requirements is in place and maintained;
- Ensure that all personnel leading / involved in the EMS receive appropriate training and maintain competency in investigation methodology(s) *ie Root Cause* Analysis;
- Regularly monitor implementation of the EMS and review individual Events;
- Lead and or contribute to Event assessment and investigation processes as required / appropriate;
- Review and ensure that all close-out actions and processes have taken place and or are underway;
- Where appropriate, initiate and or contribute to internal / external notification processes;

5.2 Site Managers

- Ensure that all materials, tools, equipment and trained personnel required for first response are in place and available at all times;
- Ensuring that the Incident Report is recorded in the electronic recording system (ecoPortal) as soon as practicable and the relevant process(es) are followed through to ‘Close-out’ – Ref Section 6.6 Timing;
- Ensure that any immediate remedial actions required (where identified) are undertaken;
- For all incidents, informing the Operations Manager and or General Manager (who will in turn consider the need to inform the SHEQ Manager) and the local Health and Safety Representative (if in place) as soon as practicable.
- Lead and or contribute to Event assessment and investigation processes as required / appropriate;
- Ensuring accepted recommendations are recorded *ie ecoPortal, Ultimo*, implemented and where appropriate these are communicated as part of shared learning.
- Ensuring reports are completed and signed off or an appropriate action plan is in place for actions that require an outage/shutdown within a 90 day period.

5.3 Compliance and Risk / SHEQ Manager

- Provide leadership in relation to Event management.
- Provide guidance to all staff in relation to accident and incident Event management.
- Ensure through performance review & auditing that established & appropriate standards are maintained.
- To ensure that Company accident and incident investigation policies, procedures are communicated and adhered to, at all Company locations.
- Ensure the HSR is involved

5.4 Health and Safety Representative

- Be actively and integrally involved in all investigation and close-out process (where appropriate), including any relevant actions;
- Assist operational / site personnel and the Site Manager in the implementation of the event management system as requested / required.

5.5 All Employees

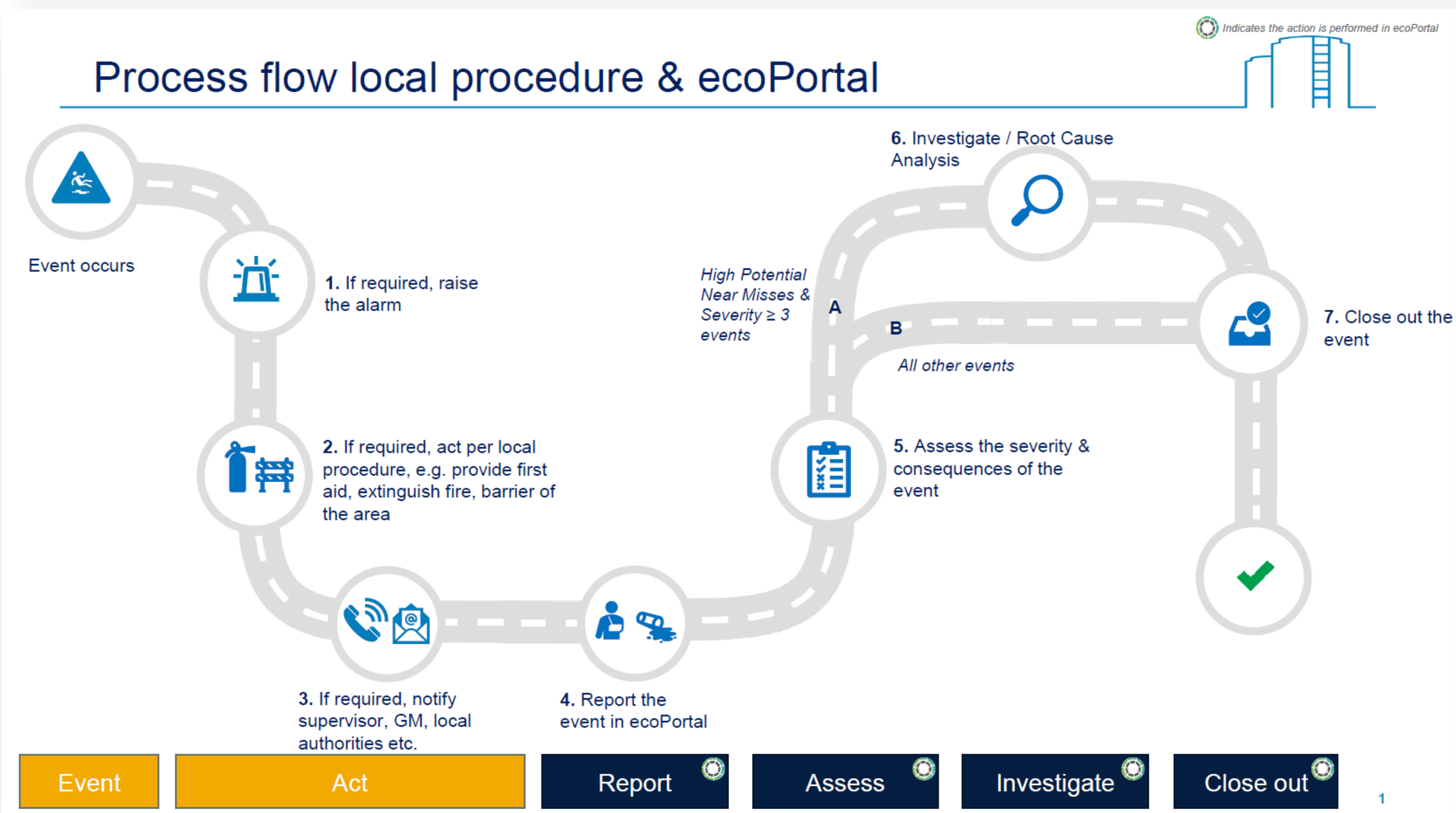
- Report ALL events they witness or are involved in immediately to their Supervisor;
- Support, cooperate and assist in the event management processes as requested / required;
- Comply with any and all statutory obligations under the relevant regulations of the local jurisdiction;

6 PROCESS

6.1 General

The process implemented at all Stolthaven Terminals in Australasia when dealing with an event of any nature includes the following sequence of stages:-

- Report
- Assessment
- Investigation
- Close-out



The following sections provide details on each of these phases.

6.2 Report

All events must be reported to the Site Manager (or delegate on duty) as soon as practicable and entered into the electronic system within 24 hours where key information relating to the Event are captured, including:-

- Date / time;
- Type;
- Location, operational areas;
- Plant / Equipment / Products;
- Persons involved / witnesses;
- Initial actions;
- Any document(s) / photos;

All operational personnel and corporate staff have access to the electronic event reporting system, are trained in its use (refer to Section 6.7) and regularly encouraged to use it to report events of all scope, scale and nature.

> ***NOTE:-*** *The scene of an event where External agencies and or Statutory Authorities are notified must be kept secure and not interfered with unless:*
>
> - *The scene must be made safe to render assistance to injured people or to prevent further mishap or danger to people, plant or the environment; and or*
> - *Approval is given by the appropriate External Authority.*

6.3 Assess

As soon as practicable after becoming aware of the event, either by direct involvement, communication from the those involved in the event or automated notification from the EMS, the Site Manager, in consultation with relevant persons (if required) will assess the event in order to:-

- Confirm details of the Event as initially reported;
- Confirm the 'Classification' (type) of Event:-
    - Incident *ie Injury, Spill / Environment, Fire / Explosion, Damage / Malfunction etc*
    - Near-miss *ie Unsafe Act / Condition etc*
    - Non-conformance *ie Quality, Regulatory etc*
- Assess and establish the severity of the event;

> ***NOTE:-*** *This is achieved by completing the automated and integrated questionnaire in the EMS (ecoPortal) workflow that is programmed to apply the Stolthaven Global Risk Matrix to determine the Event Severity Ranking.*

- Identify what (if any) notifications to internal and or external stakeholders are required;

> ***NOTE:-*** *Correct notifications are determined by consulting the 'Notifications List' appended to this document, a copy of which is held in 'hard copy' and readily accessible by those responsible for assessing events.*

- Determine if an investigation is required;

> ***NOTES:-***
>
> *i. This is achieved by completing the automated questionnaire in the electronic EMS (ecoPortal) workflow that is programmed to trigger a mandatory investigation based on Globally established consequence thresholds;*
>
> *ii. Even if a mandatory investigation is not triggered by this process, the person undertaking the assessment phase may, at their discretion, elect to undertake an investigation in order to:-*
> - *Ensure a thorough understanding of the factors that lead to the event are identified, considered and remedied if required;*
> - *Access the 'Tasks' function of the EMS in order to log and manage preventative / corrective actions through to completion. Ref to* ***Section 7 Tasks*** *for further info on this part of the EMS;*

Only persons with the requisite permissions within the EMS are able to undertake 'Assessments'. This permission is based on a ***qualitative*** assessment by the local management team of the persons training, skills, knowledge and experience.

6.4 Investigate

Where the EMS requires, or the Event assessor deems necessary, the investigation:-

- Will be held as soon as practicable (but within 3 days of the event) to ensure accurate recording of details;
- May be undertaken by a General, Site, SHEQ or Compliance / Risk Manager, (or a delegate of either), a team, and or an external party(s); and
- Will employ an approach that is appropriate for the:-
  - Scope, scale and nature of the incident; and
  - Knowledge, skills and experience of the investigator(s)

6.4.1 Investigators

INDIVIDUALS - Only persons with the requisite permissions within the EMS are able to undertake 'Investigations'. This permission is based on a ***qualitative*** assessment by the local management team of the persons training, skills, knowledge and experience.

TEAMS - Where a team is to be used to undertake an investigation, consideration will be given to the make-up of the team to ensure it is comprised of, as a minimum:-

- Persons directly involved in the incident;
- The Operations Manager for the site (or delegate);
- The Health and Safety Representative; and
- Others as deemed appropriate by the investigating and senior management teams.

Further, to help ensure objectivity throughout the investigation process, consideration should be given to including (and in some cases assigning team leadership to) someone not directly involved in the incident.

In addition, depending on the scope, scale and or nature of the event, consideration should be given to including:-

- Senior Management Team members;
- Asset Management Team members;
- SHEQ, Compliance & Risk personnel
- External subject matter experts *ie products, plant, equipment, process, engineering, risk;*
- External investigation facilitator(s);

6.4.2 Methodology

An investigation may be undertaken by employing any methodology broadly accepted / used in the industry. However, to ensure the most appropriate process is used and reliable outcomes achieved, the methodology employed should be based on:-

- The knowledge, skill, experience & training of the investigator / team; and
- The scope, scale and nature of the Event under investigation;

In order to provide structure and discipline to the investigation process, investigator(s) will follow and address the prompts provided in the investigation workflow outlined in the electronic EMS as appropriate to the event under investigation. This required Investigators to:-

- Review the process and inputs to date;
- Plan and define the investigation participants, period and parameters;
- Collect and collate all relevant data;
- Identify root cause(s); and
- Identify preventative and or corrective actions to be taken;

6.5 Close-out

Once an investigation is complete and the relevant documents / materials are entered into the EMS, a notification will be automatically forwarded to the General Manager, Operations Manager, Compliance & Risk Manager and SHEQ Manager alerting them to the need for their input.

This phase of the EMS facilitates and requires them to view, assess and comment on (where necessary) the entire process to that point. This includes, the details of the investigation process and supporting documents, tasks identified (incl current status) and overall conformance with the EMS process.

Any items or matters that require further investigation or addition action will be discussed with relevant parties and when all are settled, the close-out phase will be signed-off in the EMS, thereby ending the process.

***NOTE:-** If the tasks logged are not able to be completed prior to the Close-out phase being completed the Senior management team will continue to monitor their status until all are completed.*

6.6 Timing

EMS Phase	Target Completion Period	Comments
Report	Within 24 hrs *(from Event occurrence)*	
Assess	Within 48 hrs *(from Event occurrence)*	
Investigate - Commence	Within 72 hrs *(from Event occurrence)*	***NOTE:-*** *Where there is a serious or major incident, or the event involves a statutory notification, a preliminary report is to be completed within 5 working days of the even occurring that includes a schedule for subsequent reports.*
Investigate - Complete	Within 10 working days	
Close-out	Within 5 working days *(from Investigation completion)*	

6.7 Training

The training requirements in incident reporting and investigation for Stolthaven personnel will be commensurate the requirements and expectations of their roles as detailed in the relevant training matrix.

The process for the reporting, assessing, investigating and closing out events is described in the EcoPortal Incident Reporting User Manual (ref Appendix 2). The level & frequency of training for different roles is scheduled in the EcoPortal 'Training' portal and compliance with these training requirements is managed via the EcoPortal software & reported to management as part of the monthly SHEQ reporting process.

7 TASKS

Preventative and or corrective actions identified in any phase of the EMS are captured in the 'Investigation' phase. These are entered by following prompts provided in the pop-up dialogue box. This allows for:-

- A description of the task
- A person to be assigned to complete the task
- A due date (incl reminder)
- Document(s) and or other Files to be provided

All 'Tasks' are captured and collated in a master register within the EMS, known as the 'Task Manager'. This functionality is used by assignees and managers to monitor and manage all relevant 'Tasks' generated in the EMS *ie add / change assignees, due dates, information provided etc*. This is achieved through:-

- The use of 'filters' and 'dashboards' to efficiently sort tasks; and
- Regular and ad hoc meetings *ie Monthly Action / Checklist Task register review meeting*
- Periodical SHEQ performance monitoring (refer to Section 13)

where details of actions are reviewed and discussed with relevant personnel as required.

8 REVIEW and MONITORING

A Senior Management Team that includes the General Manager, Operations Manager, Compliance & Risk Manager, SHEQ Manager and Site Manager(s) will meet on a monthly basis to review and confirm:-

- All details of any events recorded and assessed in the EMS for the preceding month;
- The requirement for / status of investigation; and
- Details / status of Actions.

NOTE *- Additional details on any phase of the process may requested and provided as required and further actions may be identified and added as necessary;*

Periodically, information contained in the EMS will be used for analysis, trend review and identification of learnings. Output(s) of these will be used as input for future safety management strategies, plans, priorities and activities.

9 NOTIFICATIONS

9.1 Internal

All internal reporting notifications will be undertaken in accordance with local and global requirements as communicated by the local Senior Management Group and Global / Corporate management respectively.

9.2 External

Notification to agencies and other external entities (as per Appendix 1) are prepared and distributed in accordance with the statutory requirements of the relevant jurisdiction(s).

NOTE *- Any event that involves a 'Safety Critical Element' and or other Safety Case Control Measure should be considered for notification to the appropriate agency(s). Person(s) making this consideration will:-*

- *Consult appropriately to ensure statutory notification obligations are met, including timeframes; and*
- *As a minimum, discuss such with the General Manager and or Operations Manager prior to preparing and making the notification.*

10 REPORTING

10.1 Internal

Information and data captured within the EMS will be used and or included in the following internal reporting processes:-

REPORT	FREQUENCY	AUDIENCE	CONTENT
EMS	Real Time	General Manager Operations Manager SHEQ Manager Compliance & Risk Manager Site Manager	Initial Event details Event Assessment Investigation (if req'd) Close-out
Country	Monthly	As above + Global & Regional Manager(s) with SHEQ responsibilities	Event details, severity rating, notification & investigation requirements Checklist tasks generated / open / overdue Open incident reports / investigations Compliance with reporting times frames
Global	Quarterly	Corporate Management Board	KPI's as instructed *ie LTI's. RWC, MTC, Number of incidents / severity rankings, spills, audits etc*

10.2 External

Reports to agencies and other external entities are prepared and distributed in accordance with the statutory requirements of the relevant jurisdiction(s).

The General Manager and Operations Manager will be advised of such prior to preparation and issue.

11 COMMUNICATIONS

11.1 Internal

All operational and management personnel have the capability to access and view all phases of the EMS at any time. However, key information summarised and collated from within EMS, will be included in content provided at 'Toolbox' and 'SHEQ' meetings and posted on noticeboards as deemed appropriate by the Site Manager, suggested by employees or required other members of the Senior Management Group.

Where an event has identified information that may be relevant to other sites for training and education purposes, these learnings will be documented and communicated to all staff globally via the 'Lessons Learned' program.

11.2 External

Routine records of events captured in the EMS are not generally provided or made available to external entities other than as per statutory requirements. However, if an event or subsequent investigation involves external parties, relevant information may be shared.

The General Manager and Operations Manager will be advised of such prior to preparation and issue.

12 RECORDS

Records of all events and associated documents will be kept in perpetuity.

13 KEY PERFORMANCE STANDARDS / INDICATORS

Performance Area	Standard / Metric	Comments	Type
Reporting Phase			
• Internal	Events	Trend – Indicates effectiveness of system, reporting culture, demographic of incident reporters	Leading
	Near Misses	Trends – Indicates personnel hazard awareness & reporting culture	Leading
	High Potential Near Misses	Trend – Indicates that incidents are being appropriately assessed / flags incidents for potential external communications	Leading
	Critical safeguards activated	KPI target + Trend – Indicates potential process issues to be reviewed.	Leading + Lagging
• External	Notifiable incidents	Trend – Indicates incidents are being appropriately assessed and statutory obligations are understood and complied with.	Lagging
Assessment Phase	Investigations conducted	Trend – Indicates that incidents are being appropriately investigated	Leading
	Event severity rating	Trend – Provides comparison between severity level & the number of events being investigated &/or internally & externally notified	Lagging
Investigations Phase	Investigations open / overdue	KPI target – Indicates efficiency of investigation process	Lagging
	'Checklist Tasks' raised	Trend – Indicated that investigations are generating useful actions -> outcomes	Leading
Close-out Phase	Incident Reports Open	Trend – Compared to numbers of incident raised, indicates potential issues with administration of incident reporting system or delays in investigations	Lagging
	'Checklist Tasks' open / overdue	Trend – Compared to tasks raised & open to demonstrate tasks are being effectively managed to closure	Leading
	Lessons Learned documents generated	Trend – Referencing severity ratings, high potential near misses, numbers of investigations & notifiable incidents, indicates that drive & culture of continuous improvement	Leading

APPENDIX 1

NOTIFICATIONS – Contact Details

COODE ISLAND		
AGENCY	**HOTLINE**	**WEBSITE**
WorkSafe (Vic)	13 23 60	https://www.worksafe.vic.gov.au/report-incident-criteria-notifiable-incidents worksafe.vic.gov.au/report-incident https://www.worksafe.vic.gov.au/resources/incident-notification-form
EPA (Vic)	1300 372 842	epa.vic.gov.au/about-epa/laws/laws-and-your-business/reporting-a-notifiable-incident
Port of Melbourne	(03) 9644 9777	https://www.portofmelbourne.com/incident-report/

NEW ZEALAND		
AGENCY	**HOTLINE**	**WEBSITE**
WorkSafe (NZL)	0800 030 040	worksafe.govt.nz
Bay of Plenty Regional Council	0800 884 883	https://www.boprc.govt.nz/do-it-online/pollution-hotline
Southland Regional Council	0800 768 845	https://www.es.govt.nz/online-services/feedback?ed-step=1
EPA (NZL)	0800 225 537	https://www.epa.govt.nz/industry-areas/compliance-monitoring-enforcement/rma-enforcement/reporting-pollution/
Port of Tauraunga	7 572 8899	https://www.port-tauranga.co.nz/
South Port (Bluff)	3 212 8159	https://southport.co.nz/

NEWCASTLE		
AGENCY	**HOTLINE**	**WEBSITE**
SafeWork (NSW)	13 10 50	safework.nsw.gov.au/notify-safework/incident-notification
EPA (NSW)	131 555	epa.nsw.gov.au/reporting-and-incidents/incident-management
Port of Newcastle	(02) 4908 8209	https://www.portofnewcastle.com.au/

APPENDIX 2

EcoPortal Incident Reporting User Manual

ecoPortal User Manual

Version	Date	Editor	Comment
1.0	26 Nov 2020	GLF	Draft version
1.1	27 Nov 2020	GLF	Updated ch 4.1
1.2	30 Nov 2020	GLF	Updated ch 6 notifications
1.3	02 Dec 2020	GLF	Added version table

Contents

1 Generic information

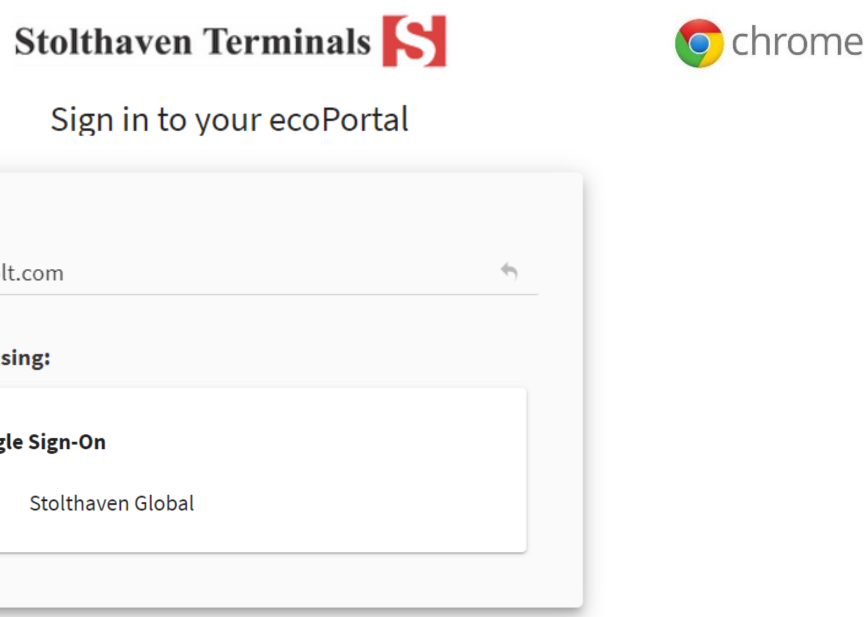
1.1 Access to ecoPortal

You can access ecoPortal by using the Chrome browser and navigating to:

live.ecoportal.com

On the login screen, click on Stolthaven Global to use Single Sign On to login, this verifies your account against the Stolt database and if access is granted it will take you to the ecoPortal landing page without having to put in a password.

Make sure to use your **3 initial email address** to login!



1.2 EcoPortal landing page

The landing page is the first page that you arrive on when opening ecoPortal. The page contains information on the use of ecoPortal, as well as some quick links to navigate throughout the system.

1.3 Phases in the event form

Once a new event form is opened, you will notice that there are four phases distinguished in the event process. The phases are indicated on the top bar of ecoPortal screen and the phase you are currently viewing is highlighted in bold text. Each phase is described below and is usually performed by a different person in the terminal, it follows a workflow that has been setup according to different security levels.

Report: Initial event reporting form asking basic questions about the nature of the event, who was involved and when the event was discovered.

Assessment: Goes into detail about the consequences of the event, assesses the severity and determines the follow up actions.

Investigation: For severe incidents requiring Root Cause Analysis and identification of contributing factors.

Close-Out: Records actions completed and verifies communication about the event has been sent. Collects data on event reporting throughput.

1.4 Colour coding in ecoPortal

There are three icon colours that you can encounter: red, orange, and green.

Note that the icon colour you see when an entry is open does not represent the same thing as the icon colour of the entry on dashboards. Additionally, it is possible to see different colours in the icon when the entry is open to when you look at the entry in a dashboard.

While the entry is open, the colour you see in the icon relates to the level of completion of the stage that you are on the entry. Note that this only relates to the current stage, and does not indicate the completion of the other stages in the entry, or the entry as a whole.

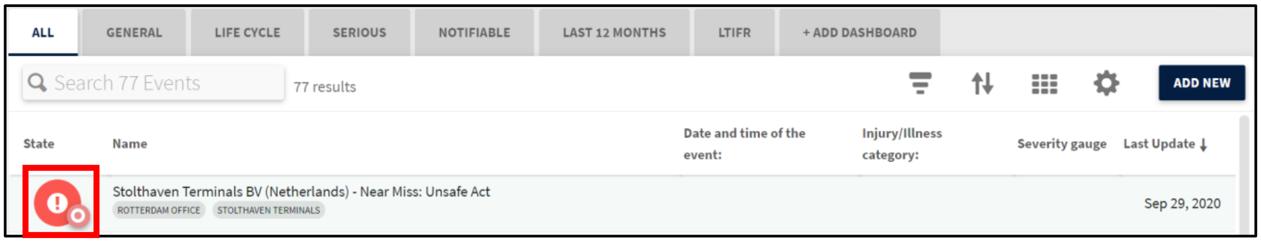
When you see an entry on a dashboard, the colour you see in the icon related to the level of completion of the entry.

Red

Seeing a red icon when your entry is open means that the stage you currently have selected within this entry is incomplete and has not been submitted.

Also note that when a stage is not complete, there will be no tick icon in the stage number bubble next to the stage name.

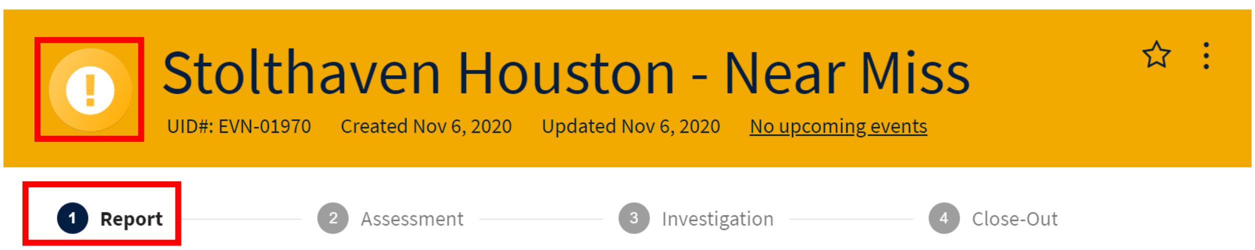
A red icon on the entry, when viewed on a dashboard, means that the entry as a whole is incomplete. Particularly, it means that the first stage of the entry is incomplete.



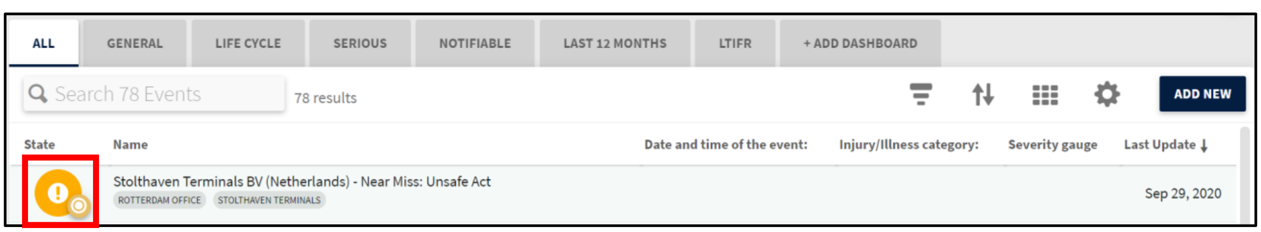
Orange

Seeing an orange icon when your entry is open means that the stage you currently have selected within this entry has been submitted but is pending to be signed off for completion. The person to complete this review task and sign off this stage will see a bar with 'Reject' and 'Sign Off' options to do so. Signing off on this review task stage will turn the icon green for that stage, and rejecting this review task stage will turn it red.

Note that while the icon is orange, the number bubble next to the stage name will not show a tick icon.



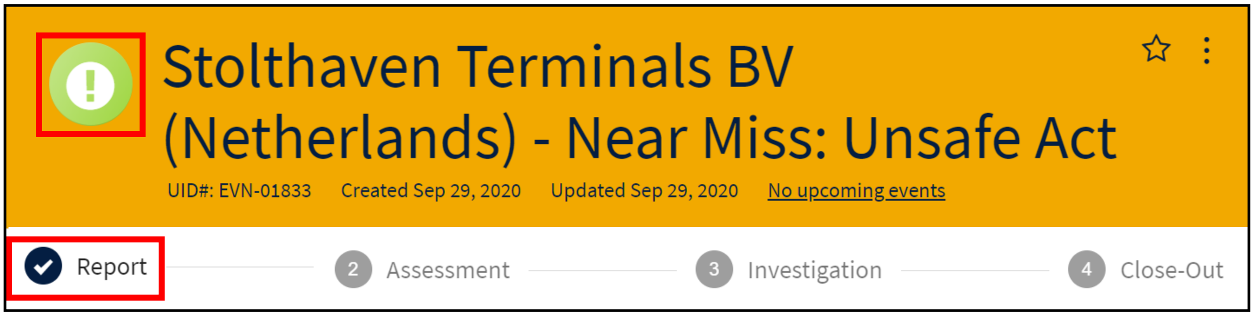
An orange icon on the entry, when viewed on a dashboard, means that the first stage within the entry is complete and submitted, but one or more other stages within that entry are incomplete.



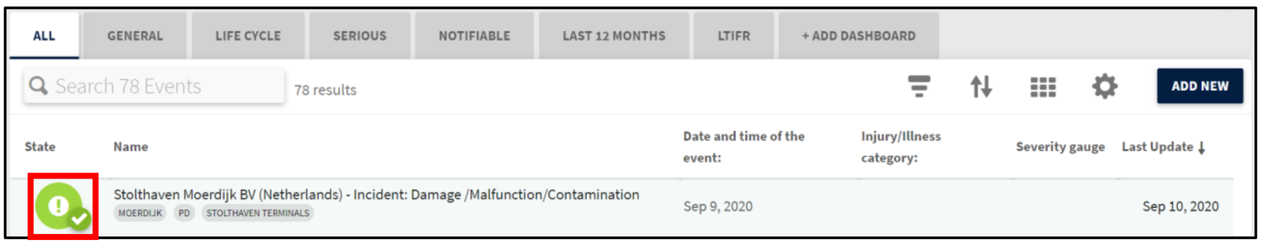
Green

Seeing a green icon when your entry is open means that the stage you currently have selected within this entry is submitted and complete. Note that this only relates to the current stage and does not indicate the completion of the other stages in the entry, or the entry as a whole.

When a stage is complete, there will be a tick icon in the stage number bubble next to the stage name.

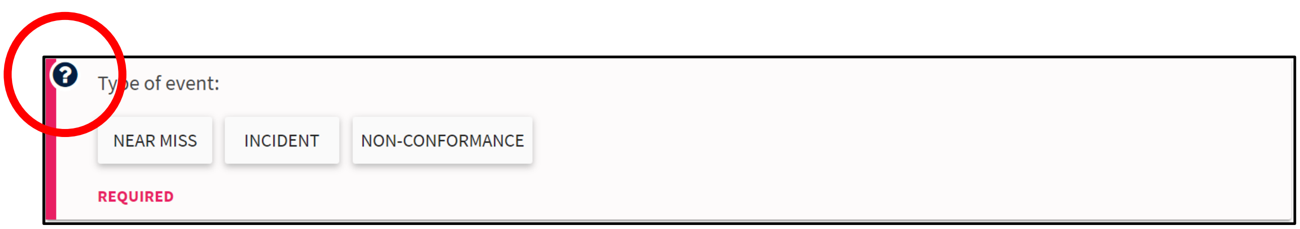


A green icon on the entry, when viewed on a dashboard, means that the entry is complete. Specifically, it means that all stages within that entry have been completed and submitted.



1.5 More information about a question

In several locations within the event forms you will find small indicators with a (?). By clicking these you can get more detailed information about the question that is being asked. The information icons appear on the left side of the question.



1.6 Switching between 'viewing' and 'editing' mode

When you have an event open there are two ways to view the page;

In viewing mode, or

In editing mode

Use the icons on the top right of the page to switch between the views.

Note: it could be the case that for some events you might only have ‘view’ rights, and for other you will be able to edit the page, this depends on the security levels and permission that have been applied for all users.

1.7 Selecting multiple lines/items

In field where a list allows, users can select multiple lines by holding down the CTRL button on the keyboard.

1.8 Date and time input

All date and time input selectors are formatted in the 24 hour time format. For an example, see below screenshot:

2 Reporting an event

2.1 Add a new event

To submit a new event, there are several options:

1. Click on the 'submit new event' from the landing page
2. Under 'Registers' on the left side of the screen, click on 'Event's and then click on the 'add new' button in the top right corner of the page.

2.2 Fields to complete in the Report phase

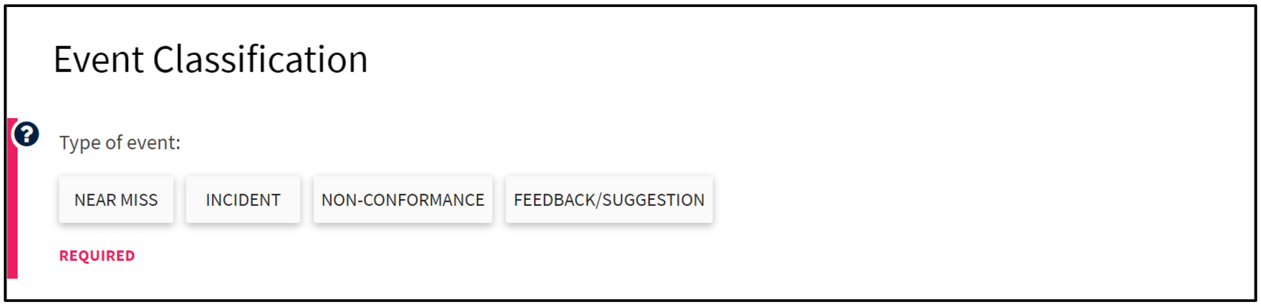
Once you have added a new event, the Report form will show, allowing you to complete the details of the event you are submitting.

Location

The first field you will encounter is the Location field. It will be automatically filled with your default location tag based on your profile settings. If it is empty, it will be labelled REQUIRED . You must fill in all REQUIRED fields in order to complete and submit the entry.

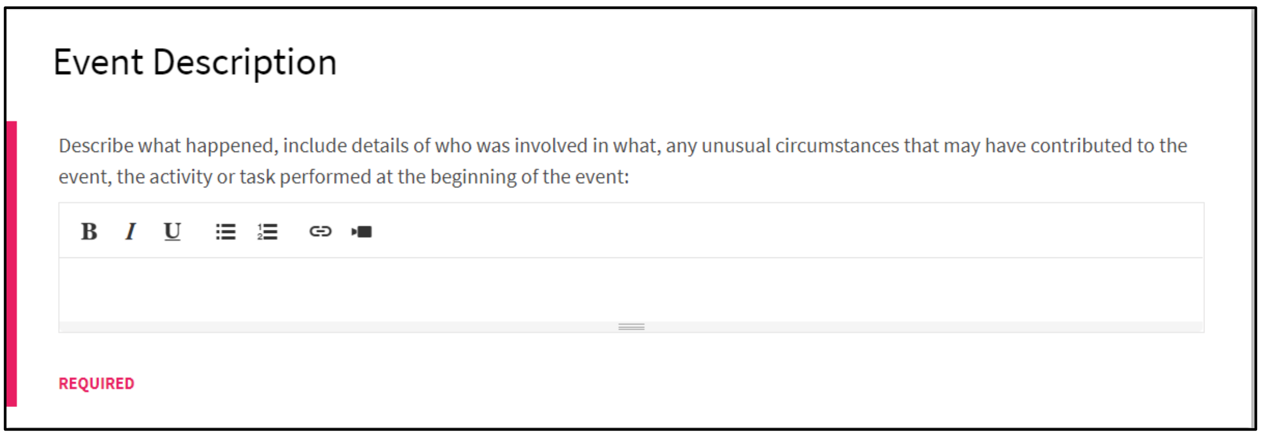
Event Classification

The Event Classification section consists of another select field corresponding to what type of event it is that you are recording. It is also a required field, and so it must be filled in to complete the entry. Some types may have sub-types. After selecting the main category for your event, several options will automatically appear. Select the relevant sub-type for your event.



Event Description

The next section you will encounter is the Event Description section. It simply consists of a text field, where you can describe your event in detail. Using the text formatting and linking tools on this field, you can customise this text as well.

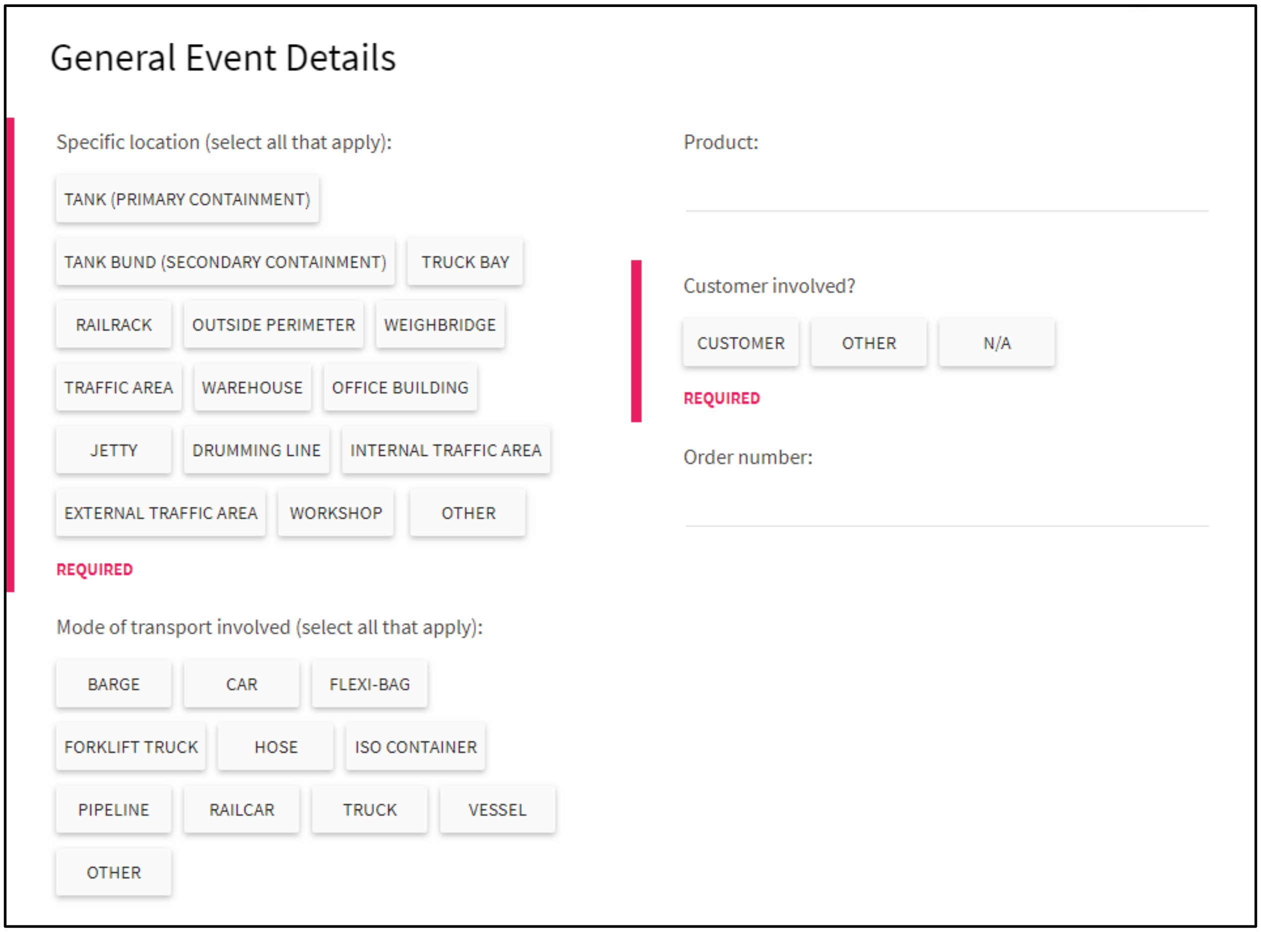


General Event Details

Please select (multiple) locations where the event took place and if any mode of transport was involved in the event. If the location or mode of transport is not listed, please use the 'other' button to submit the information.

On the right side of the page you can select the customer and product involved in the event, if applicable. You can select the customer from the dropdown list (this list is extracted from your terminals CRM database). If the customer is not listed, please use the 'other' button to fill in the customer. If no customer was involved in this event, select 'N/A'. Note, the customer does not directly have to be involved in the event, it can be that the event you are reporting has to do with a customers' product or service we are delivering to that customer. Please also record the 'order number' of the task you are working on, to be able to find the events quicker if needed.

Use the product to write down the name of the product or material you are reporting this event for. Blended products or events involving blending activities with 2 or more product can be recorded by the name of the blended product.

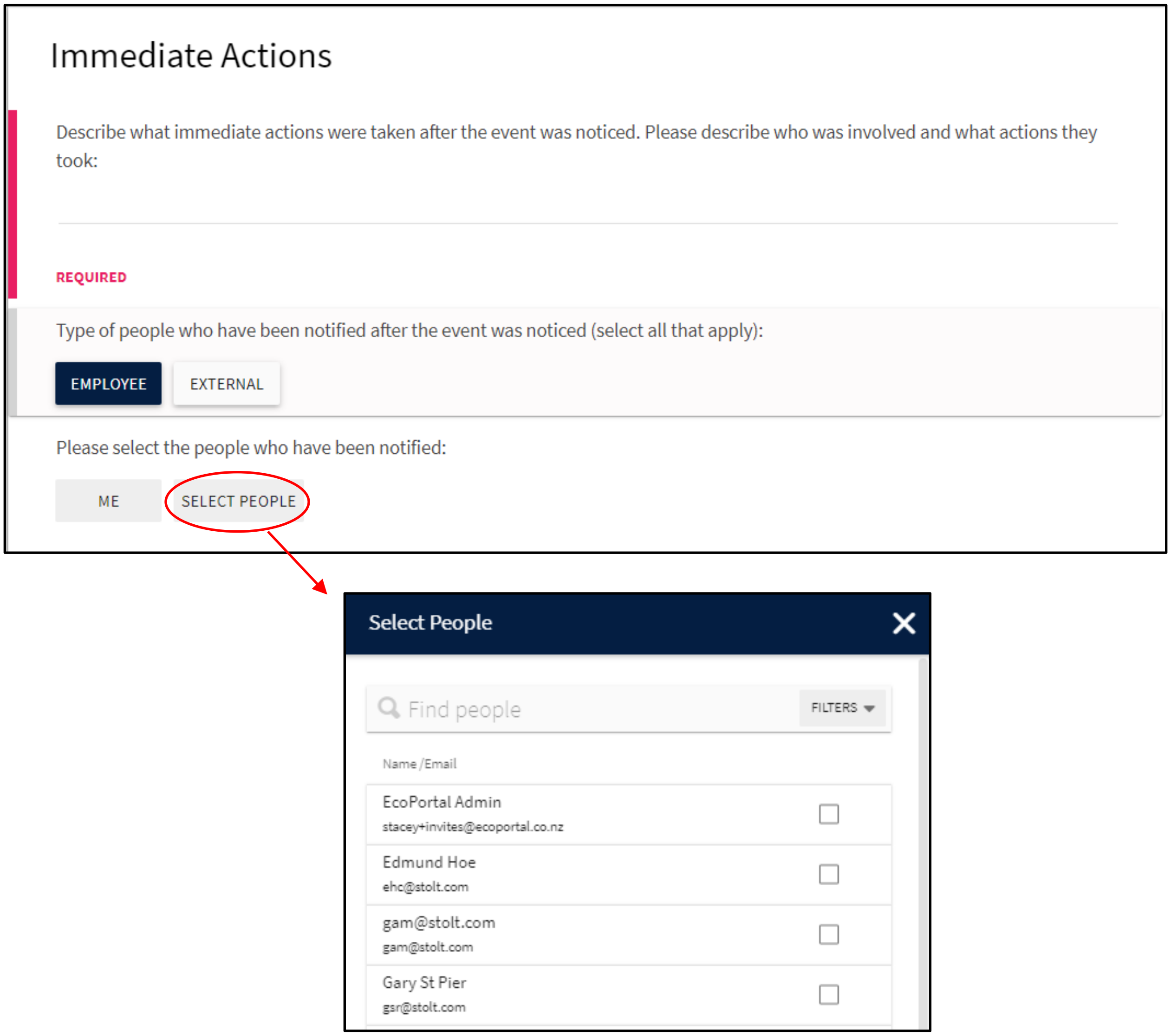


Immediate Actions

It is important for the follow up of this event to record the immediate actions that were taken when you first discovered the event. Please use below field to write down all relevant information related to the immediate actions of the event.

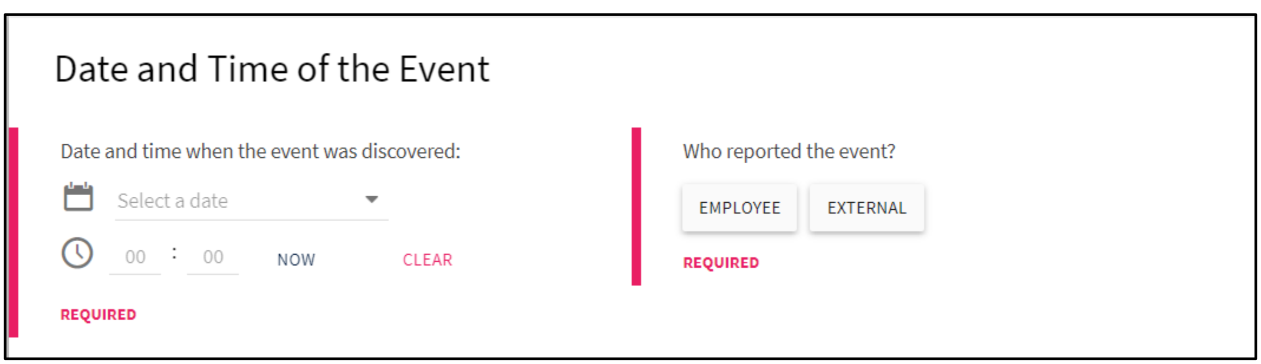
You have the option to select people who were notified after the event was discovered. Click the **Select People** button to select a user. A pop-up will be shown were you can select the user. Use the search function on top to search for a user by typing in their name or initials. Select done when completed.

Note; you can select multiple people from the **Select People** list.



Date and Time of the Event

This section contains fields related to the time of the event and who reported the event.



First enter the date and time when the event was discovered, i.e. when the event was noticed by someone. It could be that case the event happened overnight and the following morning it was discovered.

If the date and time you want to enter is your current date and time, simply click NOW to automatically fill it in. Otherwise, click Select a date to select the specific day corresponding to your data. Then underneath that, where you can see 00:00, type in the time you want in 24-hour time. If you want to clear the data from this field at any point, simply click CLEAR.

The second question asks who reported the event. This question has been added because it could be possible that you are filling in this form for someone else. In that case, select the name of the person by clicking the employee or the external button. In case you are reporting the event yourself, click employee, then 'me'.

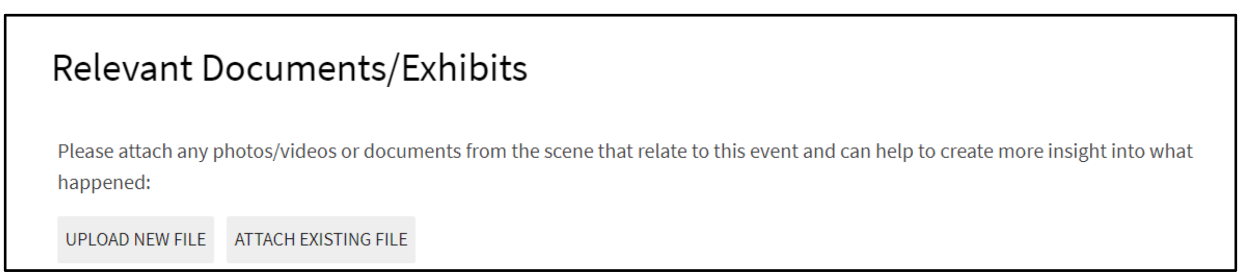
People involved and/or Witnesses

Scrolling down again, you come to a split section, containing the subsections People Involved and/or Witnesses. This is a required question.

If you select both EMPLOYEE and EXTERNAL, both the people field (corresponding to EMPLOYEE) and the text field (corresponding to EXTERNAL) will appear for you to fill in. There is also an N/A option available. When this is selected, no extra fields appear.

Relevant Documents/Exhibits

The last section before submitting the report allows you to add any relevant documents/picture or files that relate to the event.



Clicking UPLOAD NEW FILE opens up the Upload new File(s) pop-up that allows you to either upload a file from your computer, or specify a URL to an online file. Once the upload finishes, click NEXT to the next step.

In step 2, you can optionally set tags and permissions for your uploaded files. Click FINISH to finish.

You can also attach files that have been previously uploaded to ecoPortal. Click ATTACH EXISTING FILE, and the Attach a File pop-up will appear. Apply filters or type in to search for files. Click DONE to finish.

Save & Submit

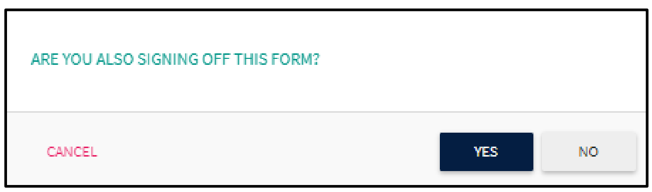
Once you have filled out all the required fields, the SAVE & SUBMIT button will become clickable. (If it is not, go back and check that you do not have any red required fields yet to complete). Clicking this button will notify the relevant parties within your company to read what you have logged and act accordingly.

3 Assessing an event

3.1 Starting the assessment phase

There are several ways to start the assessment phase of an event:

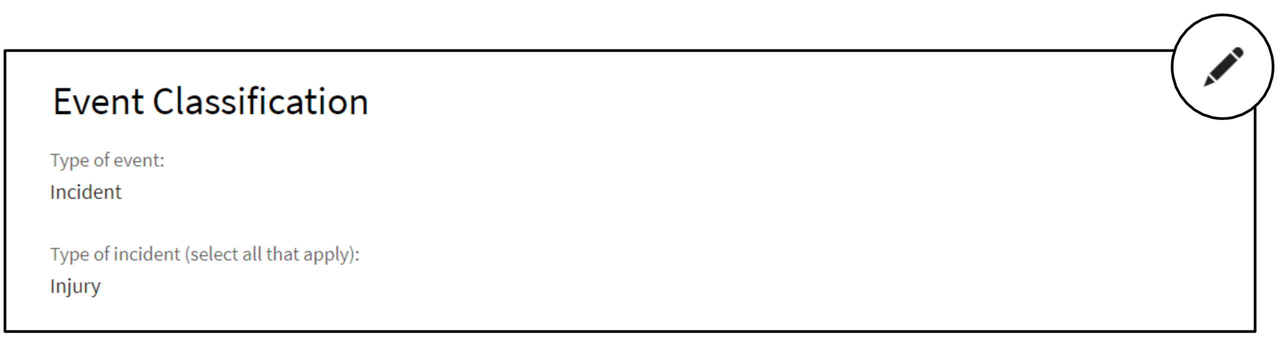
1. Someone else has completed a new report and has submitted this for assessment. According to the workflow configured, you are now responsible for this part of the process, assessing the event that was submitted.
2. Someone else is responsible for completing the assessment of a report form and has used the 'Assign To' button for you to complete this page. Please refer to chapter 6 for more information on assigning tasks.
3. You have reported an event yourself and submitted the report form. Based on the workflow and security settings, you have permission to assess an event and therefore the system will ask you to sign off on this part of the form (see below picture). Once this is done, you will be taken to the assessment phase to complete this part of the process.



3.2 Fields to complete in the Assessment phase

Event Classification

The first question in this part of the event form asks you to confirm the classification of the event – the information completed in the report form is shown here. If no changes are required, please proceed to the next question. If you wish to reconsider and change the type of event classification, you can switch to editing mode and make the changes before proceeding (pencil in the top right corner).



Condition based questions

Based on the type of event that has been selected, different questions will be shown by the system. For example, when selecting 'injury' you will be asked questions about the nature of the injury and the affected body parts. Please note that selecting multiple options is possible for these questions.

Event Severity

For all severity levels, the following questions will be asked in the assessment phase.

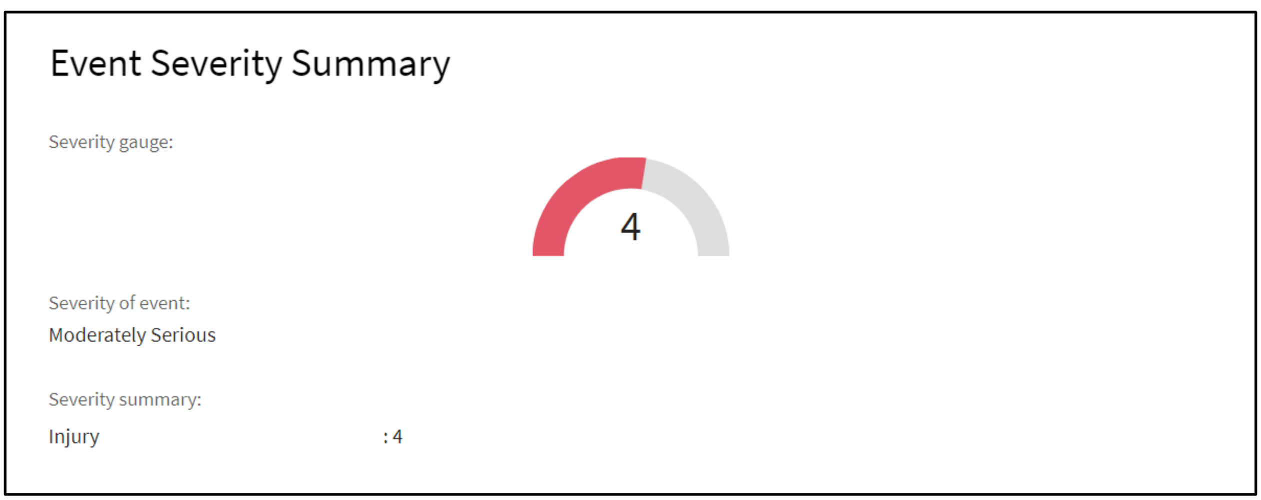
When selecting multiple types of events, for example – a fire has led to a personal injury, you will be asked to assess the severity of each of the selections that you have made. Therefore, please assess the events individually and select an appropriate severity level for each of the events. When you have selected one of the options, a more detailed explanation will appear underneath the question. Please double check if your event matches this description before proceeding. The options shown per event category match the categories in the SHVN Severity Matrix. Once a selection is made, the severity gauge will show the severity level from 0 to 7. When multiple event classifications are selected, the gauge will take the highest severity level of the selected categories.

For example, a fire in the canteen has been burning for around 30minutes before being extinguished by an employee. Unfortunately, the employee has suffered a burn mark on his right hand when he was attempting to extinguish the fire. The fire has caused some damage to the building which will need to be repaired before the room can be used again. In this case, the user will select:

Injury : 0

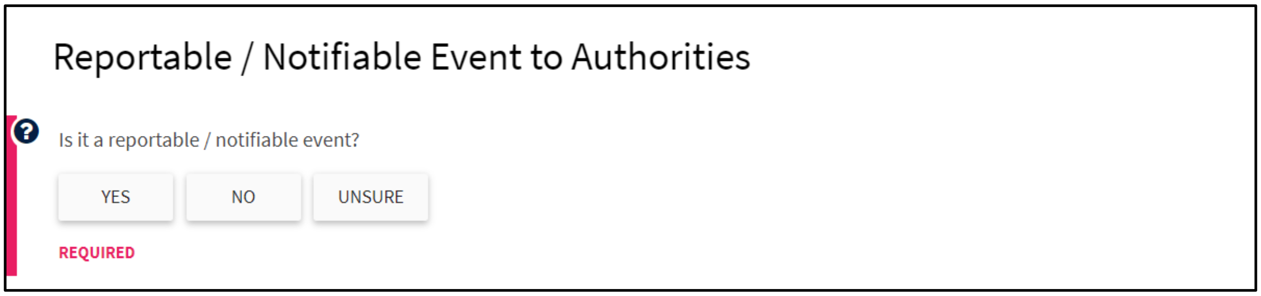
Fire : 4

The gauge will take the maximum of the individual events, therefore this event will be classified as a level 4 event.



Reportable / Notifiable event

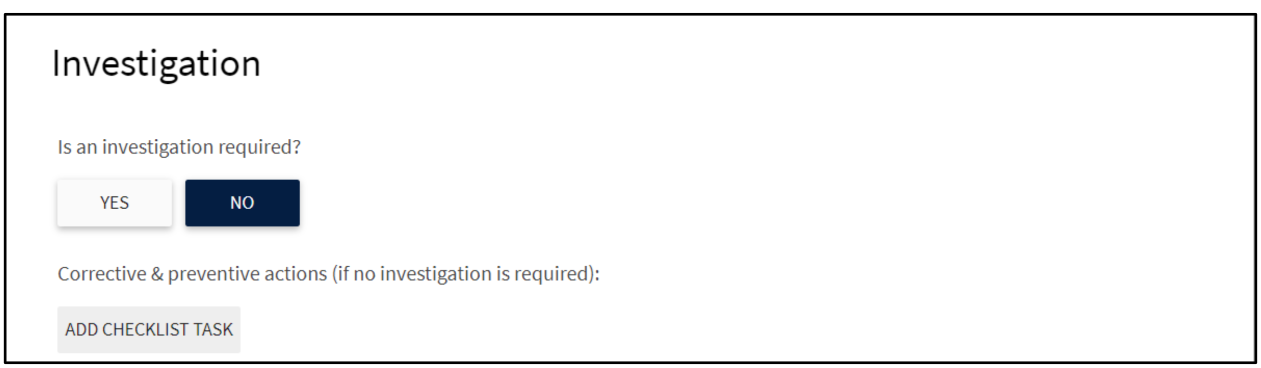
Depending on the type of event, severity of the event, and/or country rule & regulations, an event may need to be reported to local authorities. Based on your location you will see information which explains which authorities need to be contacted for which type of event. If you are unsure if your event is reportable or not, please contact your QHSE department for advice.



Investigation

The ecoPortal workflow is setup in a way that all events with severity ≥ 3 will need to be investigated by and will therefore move to the investigation phase automatically. The same applies for 'high potential near misses'. All other events will be routed to the investigation phase but do not require information to be completed, they can be completed without input.

In case you are assessing a near miss report or event with severity < 3, the question concerning the investigation will become relevant because it allows you to manually trigger an investigation for events that are less severe or require more in depth investigation into the root causes and contributing factors. In case this is not necessary, you have the ability to add preventive and corrective actions (and assign these to people) before completing the form. In case you have selected 'No', the form is complete and is put in line for department manager to assign investigation phase to a relevant user.



4 Investigating an Event

4.1 Starting the Investigation phase

Once someone has completed the assessment phase and has submitted this, the investigation phase is set to ‘open investigation’ (refer to dashboard for an overview). Level 1 & level 2 users (GM’s, SHEQ & department managers) will have an overview of open investigations and can complete the investigations themselves, or they can assign the task to others in the terminal. Allocation of these task will be according to local terminal procedure.

There are several ways you can be responsible for completing the investigation phase:

1. A level 1 or level 2 user has used the ‘Assign To’ button for you to complete this page. Please refer to chapter 6 for more information on assigning tasks.
2. You have a permission level that allows you to complete the investigation phase (level 1 &2) and the event submitted within your department.

4.2 Type of investigation

When opening the investigation phase, a user can see either the screen below or the complete investigation page.

Investigation not needed

Below page is shown for events where no investigation is required (refer to the last question in the assessment phase) and the user can immediately sign off on the page, if in accordance with local procedure. Once submitted the user will be taken to the close out phase.

Complete investigation

The complete investigation is automatically triggered for events that have been assigned a severity of ≥ 3 or are classified as 'High Potential Near Miss'. The complete investigation page has several sections, which will be explained below. For more information about each section please refer to the documents folder on the ecoPortal support page on SharePoint [folder: Investigation documents]

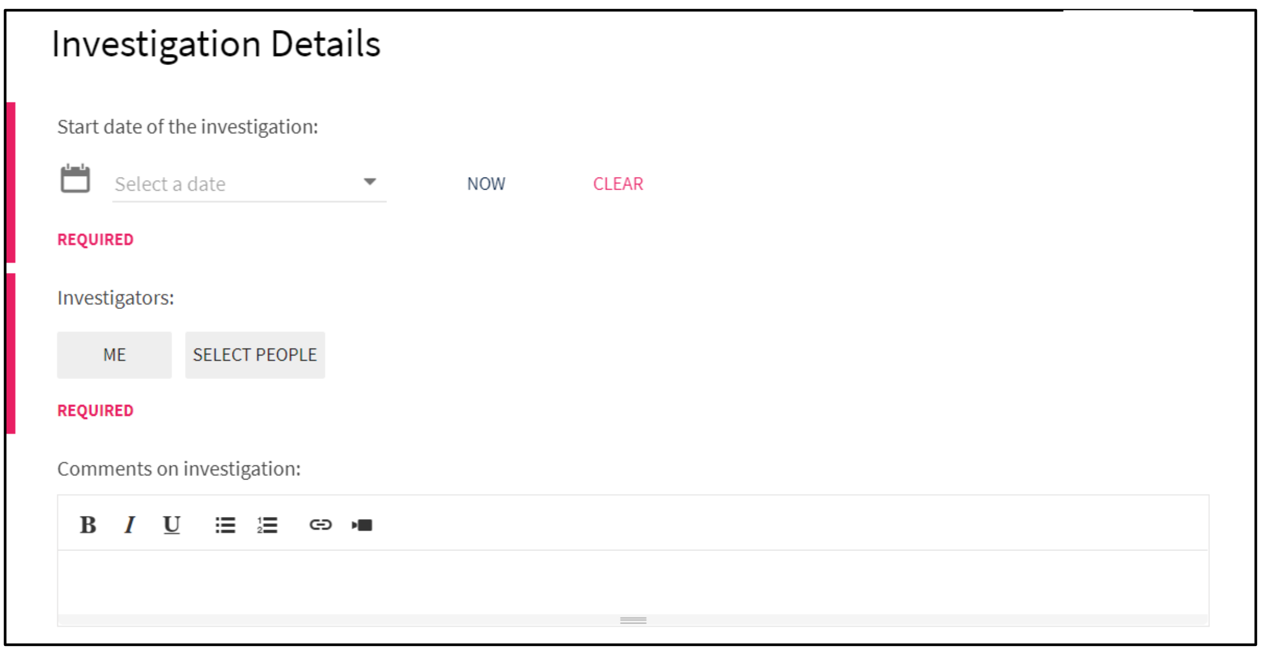
1. Investigation Details
2. Immediate Actions
3. Investigation Planning
4. Data Collection
5. Data Organisation
6. Root Cause Analysis
7. Investigation Follow-up
8. Investigation Sign-off

4.3 Fields to complete in the Investigation phase

Investigation Details

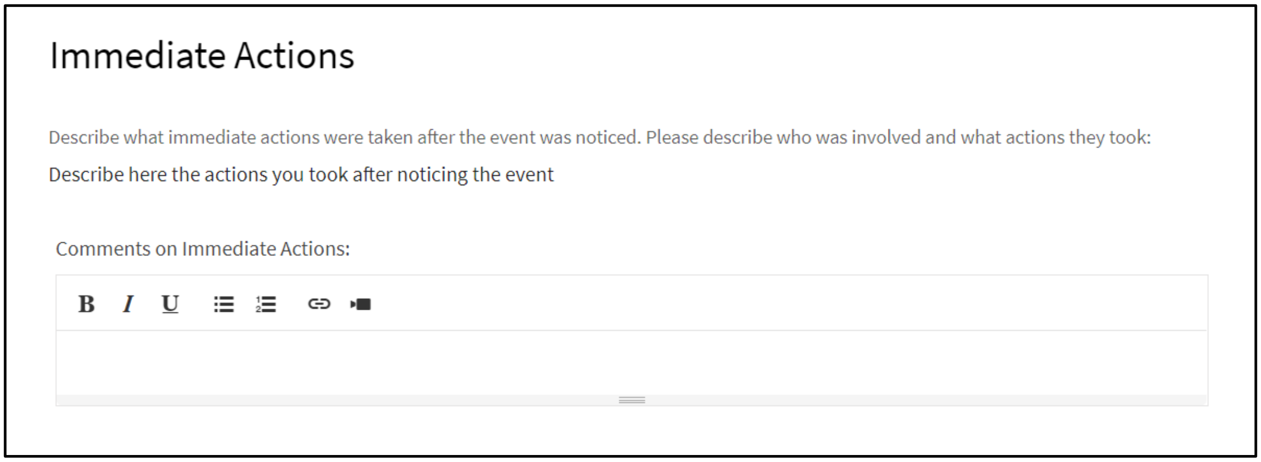
The investigation phase starts with completing generic information about the investigation. Set the date and time to the moment you started with the investigation and select who will be involved in the investigation. Besides yourself, you can also select people from the 'select people' button.

NOTE: Users who are added to this field will be given **edit permission** to all phases of the process (report, assessment, investigation & close-out), regardless of their permission level in ecoPortal! Users who don't have access to information from this location/terminal will also be given permission to edit when you add them to this field.



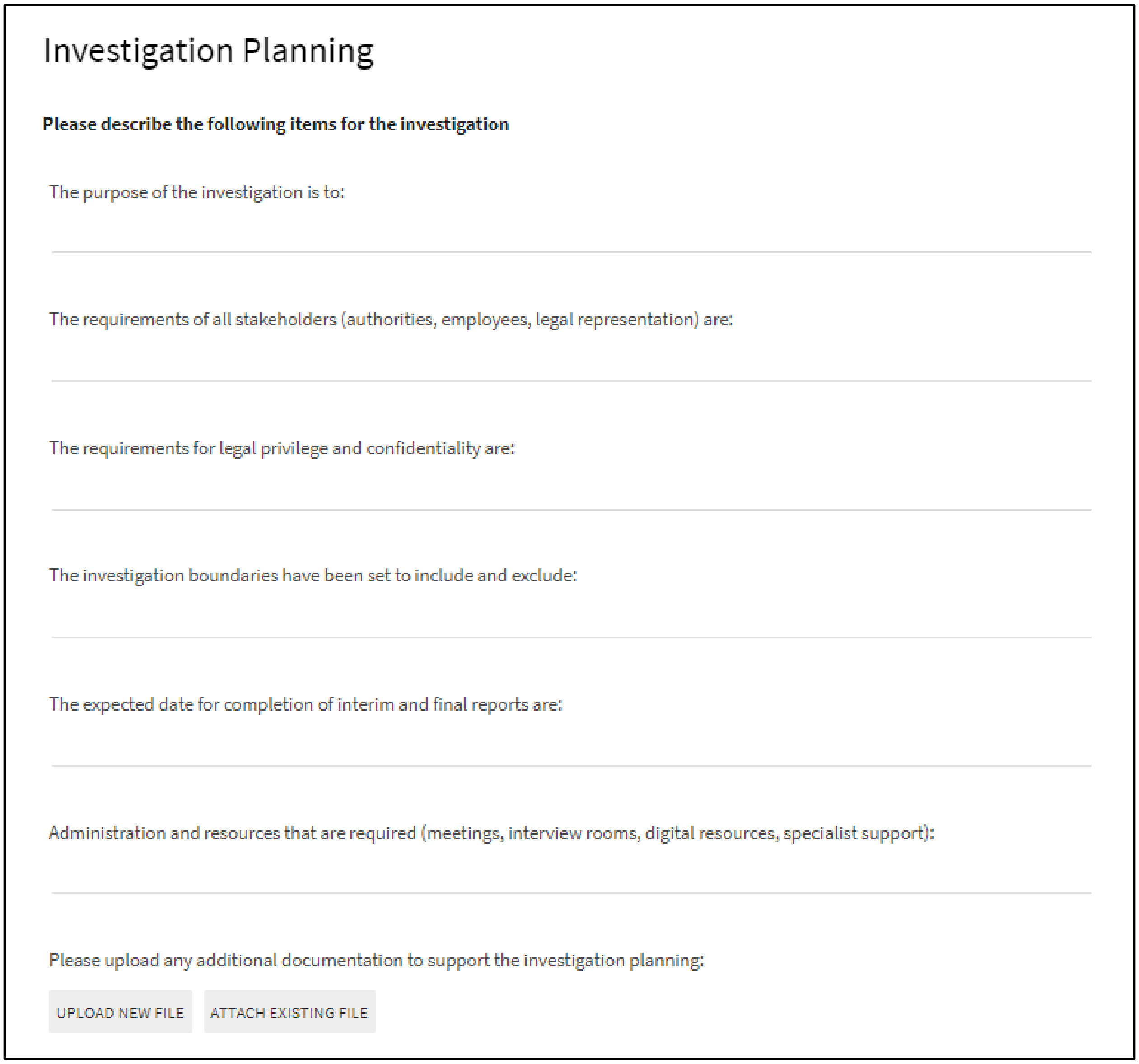
Immediate Actions

In the immediate actions section, you will see the information that the event reporter has filled in in the report phase of this event. You can use the comment box to add any information that might be relevant for the investigation of this event.



Investigation Planning

The following questions have been added to guide the investigators in the process and act as reminders to include all aspects of an investigation. Although the fields are not required, adding information here will help to make the investigation report as detailed and complete as possible. Use the buttons at the end of this section to add any relevant documents or material that relate to the planning (Time schedule, agreements, stakeholder requirements etc.).



Investigation Planning

Please describe the following items for the investigation

The purpose of the investigation is to:

The requirements of all stakeholders (authorities, employees, legal representation) are:

The requirements for legal privilege and confidentiality are:

The investigation boundaries have been set to include and exclude:

The expected date for completion of interim and final reports are:

Administration and resources that are required (meetings, interview rooms, digital resources, specialist support):

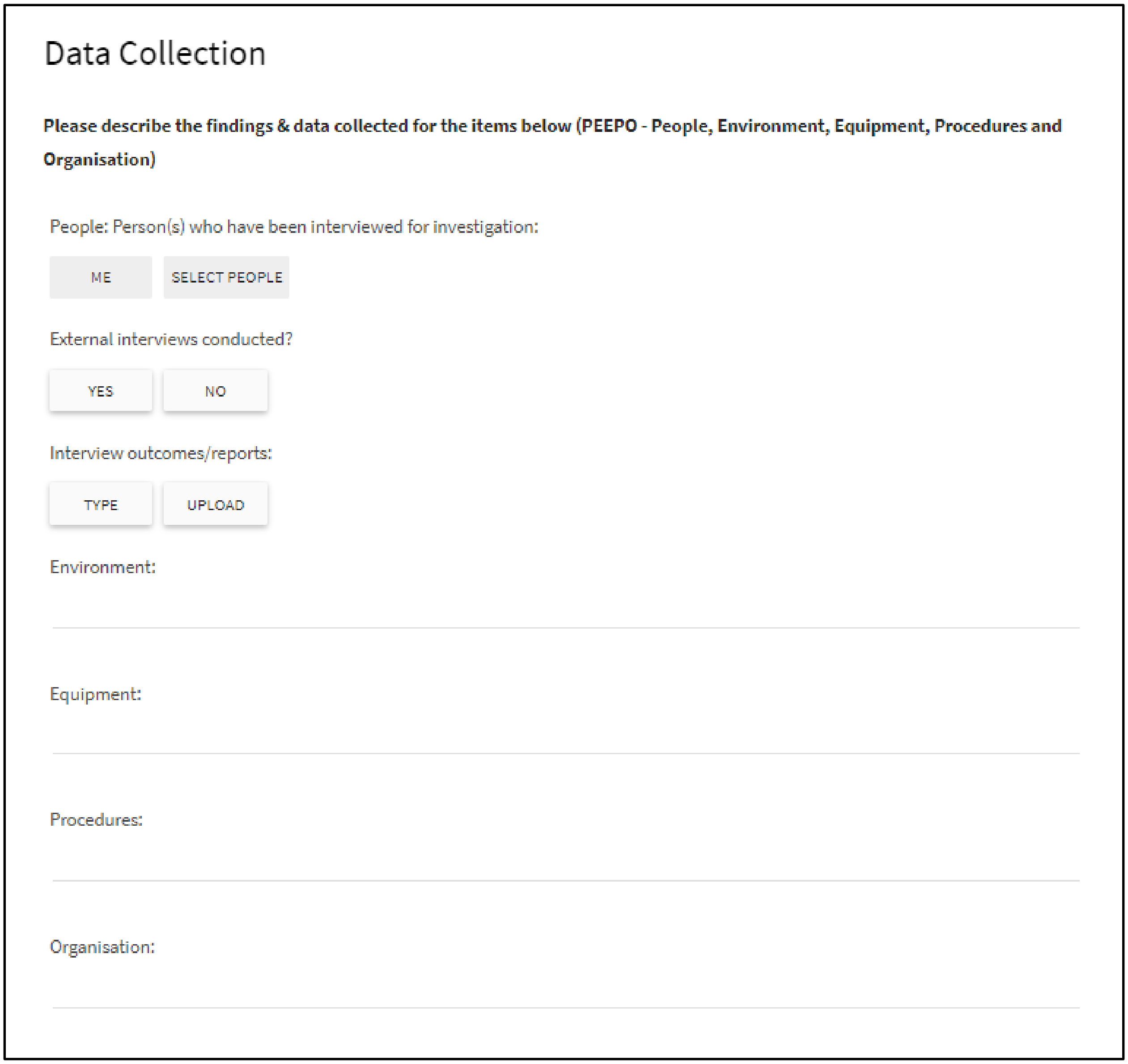
Please upload any additional documentation to support the investigation planning:

UPLOAD NEW FILE ATTACH EXISTING FILE

Data collection

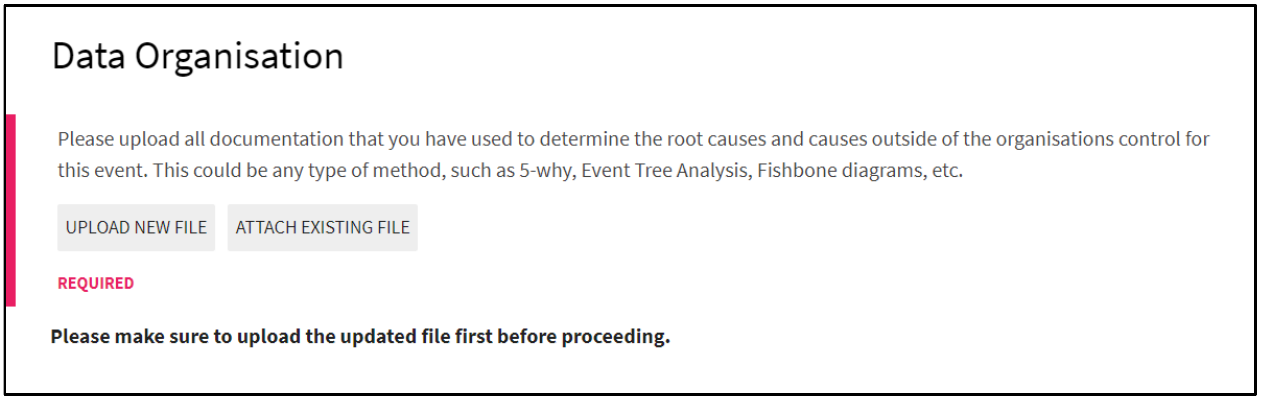
This section is used to record the information that was gathered during the investigation. You can select people who have been interviewed (no notification will be sent to them, nor will they get edit permissions to this phase) by typing/copying in the interview text or uploading a file (e.g. sound recording of the interview).

The PEEPO process (People, Environment, Equipment, Procedures and Organisation) categorise the information that has been collected. The free text field allow the user to add the findings of each category.



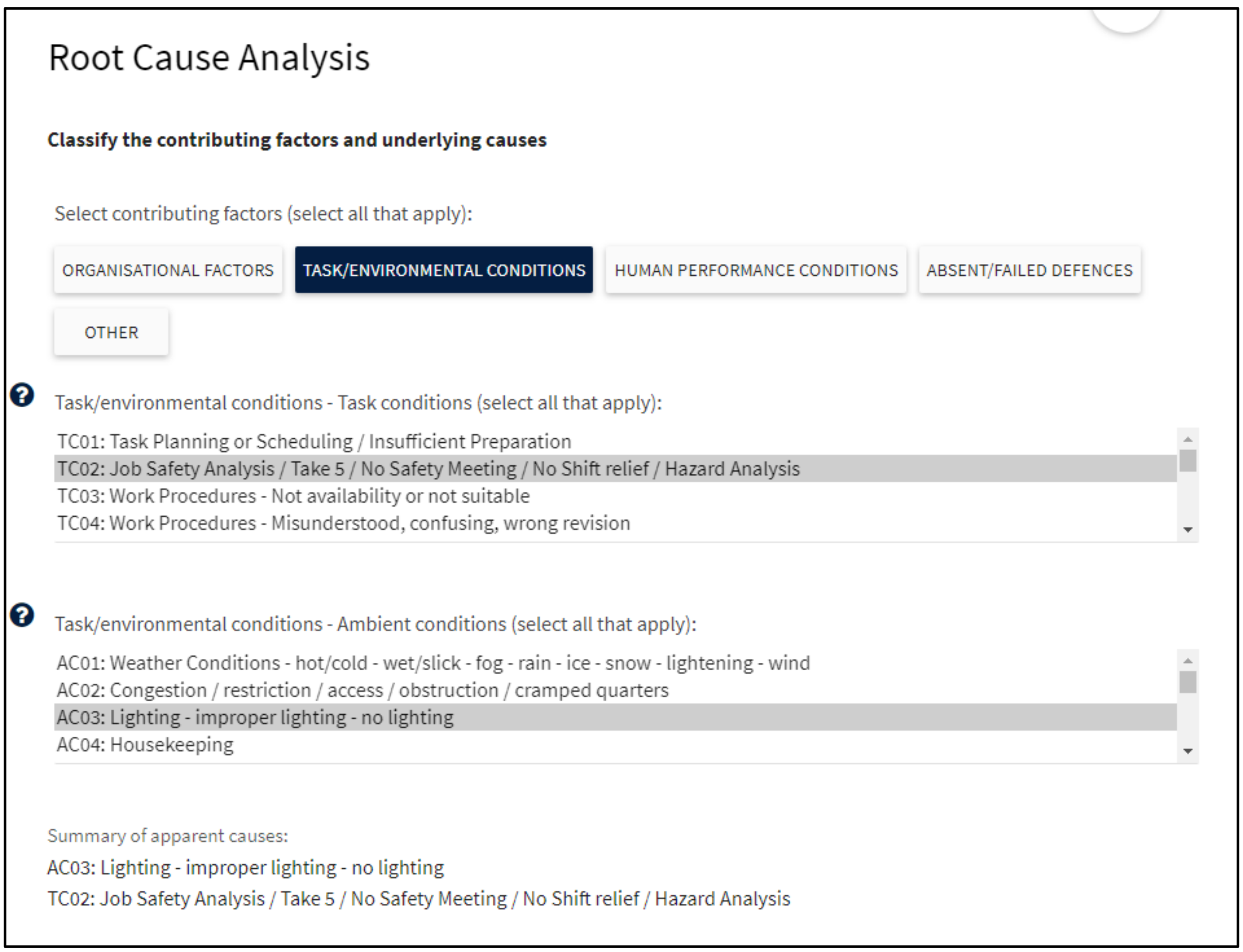
Data Organisation

This section is a required field because, once a document is attached, it allows the user to continue and finish of the investigation. For each investigation a different Root Cause Analysis method might be applicable so therefore this part allows users to upload whichever analysis they have done. From that analysis, several root causes and contributing factors will have been identified and these can be selected in the next field (which opens up when a file is uploaded in this section).



Root Cause Analysis

Once a file is uploaded in the previous section, this field will become available for users. By selecting one or more categories of the root causes/contributing factors, a dropdown list will appear where conditions can be selected. Use the CTRL button to select multiple items from the list. For an overview of all categories and conditions, please refer to the folder: Investigation documents on the ecoPortal support page. A summary of selected conditions will generate underneath the categories list.

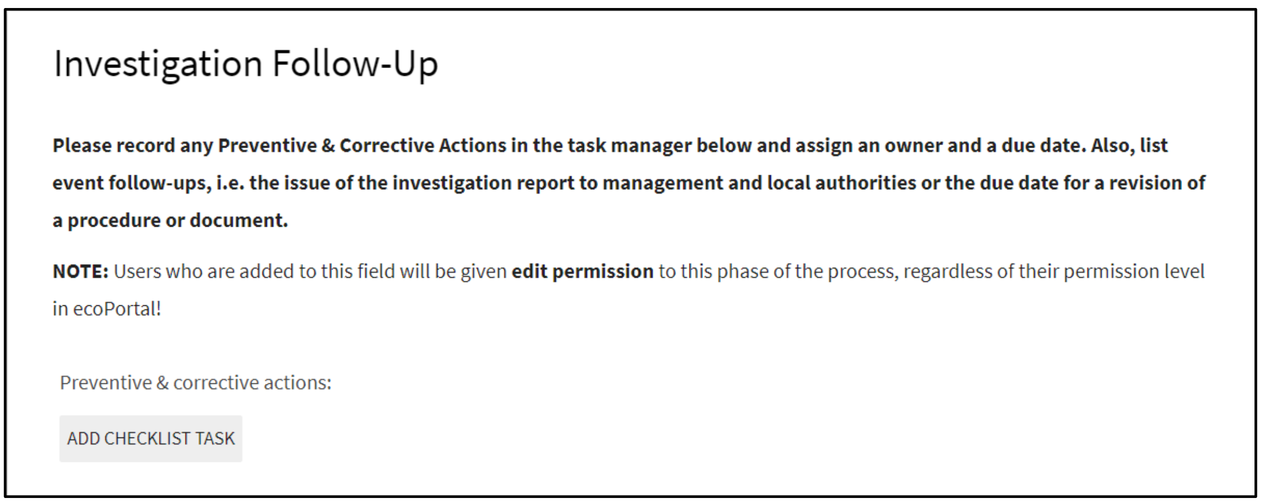


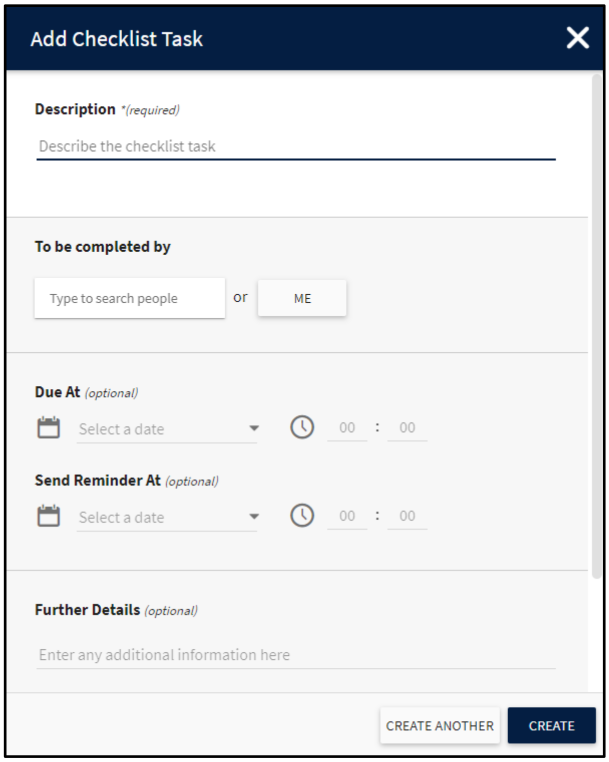
Investigation Follow-up

Once the root causes have been identified, the investigators can select follow up actions and assign these to different users. The checklist task button will show a pop-up where the task can be described and a person can be assigned the task. You can add a due date for the task and a reminder date for the person who was assigned.

NOTE 1: Users who have been assigned a task will receive a notification via email and will get a task in their task overview. This notification will be generated when the investigation page is saved (by pressing Save Progress) or when Save & Submit is pressed.

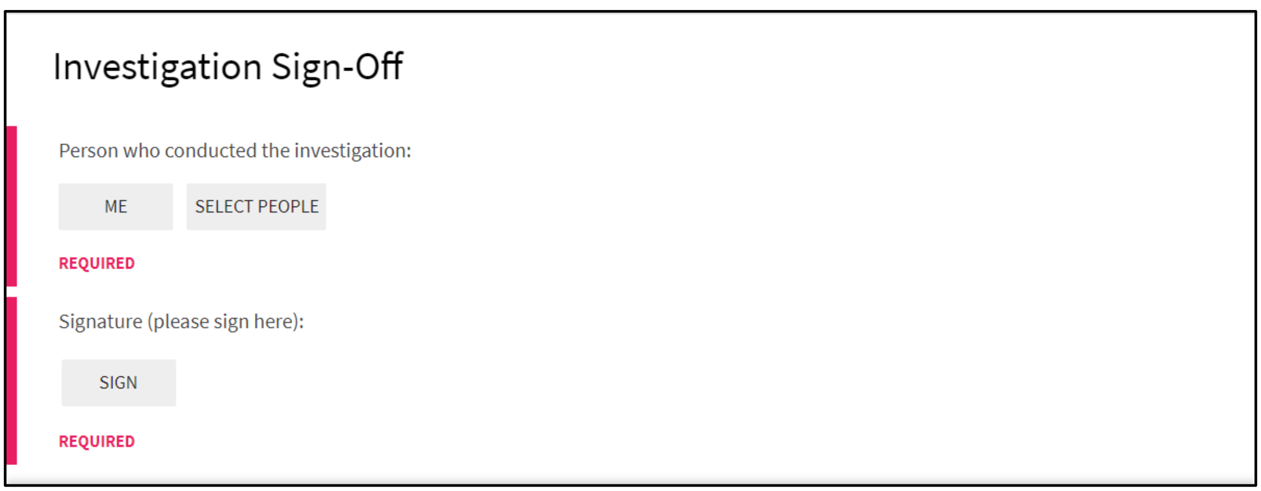
NOTE 2: Users who are added to this field will be given **edit permission** to all phases of the process (report, assessment, investigation & close-out), regardless of their permission level in ecoPortal! Users who don't have access to information from this location/terminal will also be given permission to edit when you add them to this field.





Investigation sign off

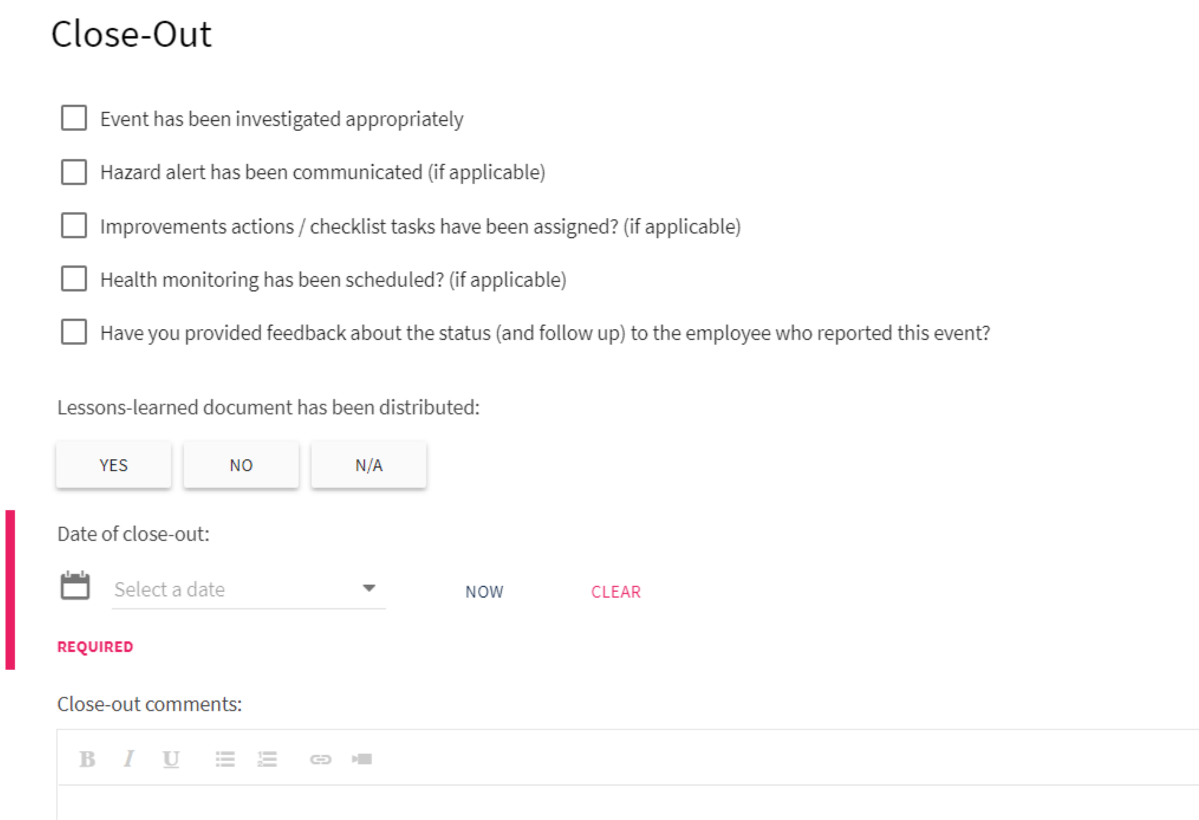
Once all information in the investigation phase has been completed, the investigation can be completed by signing off on the form. Click the sign button and use your mouse to sign in the open field that pops-up. Once completed, a timestamp will appear underneath to indicate when the investigation was signed off.



5 Close out an Event

The close out of an event is done to verify all information has been completed and the event can be close out. Generally this is done by the SHEQ manager or the General Manager, in line with local terminal way of working. Please refer to local procedures for this.

Once all information has been verified, click the Save & Submit button to close out the event.


Close-Out

- [ ] Event has been investigated appropriately
- [ ] Hazard alert has been communicated (if applicable)
- [ ] Improvements actions / checklist tasks have been assigned? (if applicable)
- [ ] Health monitoring has been scheduled? (if applicable)
- [ ] Have you provided feedback about the status (and follow up) to the employee who reported this event?

Lessons-learned document has been distributed:

YES NO N/A

Date of close-out:

Select a date NOW CLEAR

REQUIRED

Close-out comments:

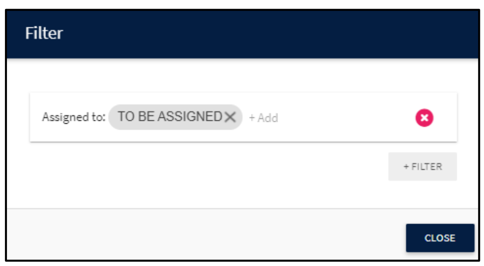
B I U

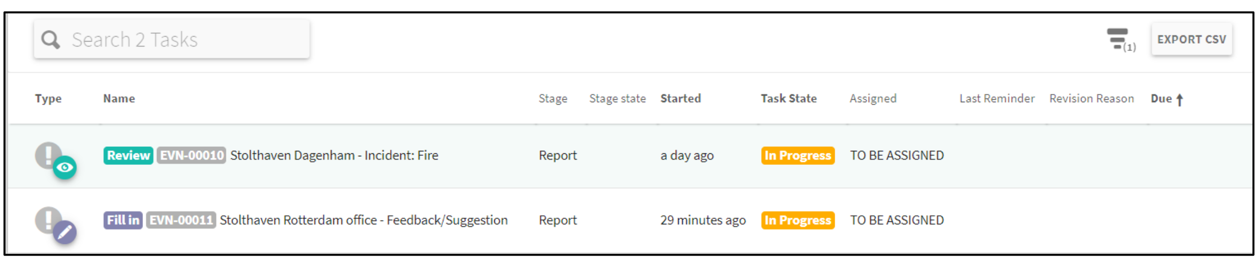
6 Notifications, tasks & assigning others

Within the system there are various triggers that notify others within the company. Please refer to the separate overview of the ecoPortal process flow & notifications. For more information please see the document “ecoPortal_Process_flow_&_notifications.pdf”.

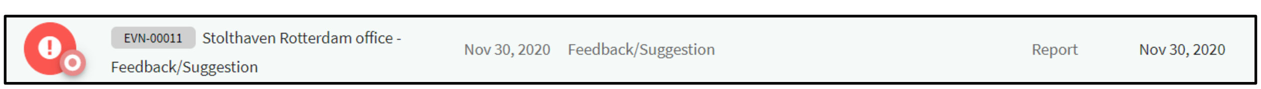
As mentioned in chapter 4.1, and applicable for level 1 & 2 users, please be noted about the steps to assign others for investigations. Specific instructions can be found in the document “ecoPortal_How_to_assing_open_investigations.pdf”

For SHEQ managers, please note the following. Some users who have been added to ecoPortal have a supervisor or manager who is not registered as SHVN employee. This means that the supervisor of that person does not have an account in ecoPortal. When the employee submits a report, the system cannot find a supervisor and will thereby assign the ‘dummy user’ “TO BE ASSIGNED”. As we cannot make any changes to this, we ask SHEQ manager to occasionally view for items assigned to the user ‘TO BE ASSIGNED’. You can do so by creating a filter in the ‘task manager’ module like below;





Also, the event will remain marked with a red circle in the ‘all events’ overview:



7 Dashboards

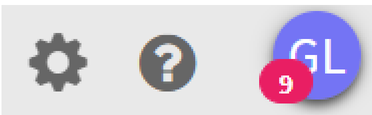
When launched, certain dashboards will have been configured by ecoPortal. Below is an overview of manuals that are available for users Please refer to the manuals on the Support page for creating your own dashboard.

Dashboard	Description	Accessible to:
All events	List of events that are viewable to the relevant user.	All users
General	Contains general SHEQ data about the events that have been submitted.	available for all users who have access to dashboards
SHEQ Overview	Contains day-2-day information on events	SHEQ Managers & team
SHEQ Analysis	In depth analysis of events, investigations etc.	SHEQ Managers & team
Open Investigations	List of investigations that have not yet been assigned	Level 1,2 & 3 users

8 Further support

8.1 ecoPortal Help

In the top right hand side of ecoPortal, next to your name icon, is another help button. By clicking the question mark, you will be directed to the ecoPortal support page where you can find a help guide and detailed information about how to work in the ecoPortal system.



8.2 SharePoint Support page

For more information, manuals & video's please visit the ecoPortal SharePoint page:

https://stolt.sharepoint.com/sites/group-shvn-processes-and-technology/SitePages/ecoPortal-support-page.aspx