



INCIDENT REPORTING AND MANAGEMENT PROCEDURE

DATE: 22 JULY 2020



DATE	NAME	CHANGE	APPROVED	REVISION
17/07/2019	Julia Lee	Supersedes Group Safety Standard 1 – Incident Reporting and Management	K. Ashby	9.2
22/07/2020	By working group comprising sites, exploration and corporate representatives	Comprehensive rewrite of procedure. Content pertaining to injury classification removed, new procedure created IGO Occupational Injury and Illness Classification and Reporting Procedure. Summary of changes in Appendix 1	Safety Steering Committee	10



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1. PURPOSE

The purpose of this Procedure is to describe the incident reporting and management process at IGO. It also outlines statutory obligations in regard to reporting of notifiable work-related injuries, diseases, and dangerous occurrences.

2. SCOPE

This Procedure applies to all persons on an IGO site, office or exploration area, including all contract personnel and visitors.

It applies to all incident and near miss events, including:

- Safety, health and hygiene
- Environments
- Process safety (plant and equipment integrity or damage)
- Production loss
- Non-compliance with legal or regulatory obligations
- Community, social and reputational
- External stakeholder complaint

This Procedure applies to:

- All incidents that occur within IGO's property or workplaces
- All incidents on IGO owned mining, exploration and related tenements
- All injuries and security incidents affecting IGO's employees whilst working irrespective of their location
- Any incident involving the spill or release of IGO's products or wastes in public or third party owned spaces
- Any incident wherein an IGO employee's actions (whilst working), or the activities of the operational parts of the business, cause a physical impact or harm to third parties

3. DEFINITIONS

Term	Definition
Incident	<ul style="list-style-type: none">• An occurrence arising out of, or in the course of, work that could or does result in injury, illness, or damage
Injury	<ul style="list-style-type: none">• An occupational injury or illness is an abnormal condition or disorder whose cause is attributed to exposure factors associated with employment. Refer to <i>IGO Injury & Illness Classification and Reporting Procedure</i>
Near Miss	<ul style="list-style-type: none">• A Near Miss is defined as an unplanned event that did not result in injury, illness, or damage – but had the potential to do so.
Serious Injury	<ul style="list-style-type: none">• Refer to <i>IGO Injury & Illness Classification and Reporting Procedure</i>

Term	Definition
Work Related	<ul style="list-style-type: none"> • Work related activities are those where IGO can set safety, health and environmental standards and can supervise and enforce their application. A case is considered work related if: <ul style="list-style-type: none"> – An event or exposure in the work environment (i.e. an IGO controlled site) caused or significantly contributed to an injury or illness – An event or exposure in the work environment significantly aggravates a disclosed pre-existing condition – It occurred at the workplace • IGO does not consider (in its statistical indicators) an injury or illness to be work related if it meets any of the exception criteria outlined in the <i>IGO Injury & Illness Classification and Reporting Procedure</i>

4. PROCEDURE

4.1 Incident Response

In the event of an emergency, follow the site's emergency procedure.

The responding front line supervisor identifies and implements immediate actions and isolate damaging energies to make the area safe and to prevent escalation of the incident. Other considerations include:

- Provision of first aid or assistance to any injuries
- Suspend the work and secure the incident scene to preserve evidence
- Spill containment
- Assess requirement for activating the site's Incident Management Team
- Assess requirement to local authorities/ external regulatory bodies
- Assess requirement for Employee Assistance Program (EAP)
- Assess requirement for alcohol or drug testing
- Preserving the evidence (photograph, Video, Measure, Draw, Survey, etc.)

4.2 Internal Notification

The HSEC Manager and Department Manager must be notified immediately for any serious injury, fatality, a near-miss with the potential for serious injury, or a prescribed event as defined in legislation. For these events, the workgroup must ensure the place where the event has occurred is preserved and secured (see section 4.4)

Verbal notification chain summarised in Table 1. Line management notification is required at all levels of IGO, timing and method may vary according to the incident severity.



Table 1 – Incidents and Verbal Reporting Responsibilities

Verbal Notification Matrix							
Notification by:	Verbal Notification to whom:	Minor	Significant	Major	Critical/ HPI	Catastrophic/ SPI	Electric Occurrence ¹
Internal Reporting							
Employee	<ul style="list-style-type: none"> Job Supervisor 	Potential/ Actual	Potential/ Actual	Potential/ Actual	Potential/ Actual	Potential/ Actual	Potential/ Actual
Job Supervisor	<ul style="list-style-type: none"> Department Manager HSEC Advisor Appointed Electrical Supervisor 		Potential/ Actual	Potential/ Actual	Potential/ Actual	Potential/ Actual	Potential/ Actual
Department Manager	<ul style="list-style-type: none"> HSEC Manager Registered Manager or Alternate² 			Potential/ Actual	Potential/ Actual	Potential/ Actual	Potential/ Actual
Registered Manger or Alternate	<ul style="list-style-type: none"> General Manager Head of HSEQ & Risk 			Potential/ Actual	Potential/ Actual	Potential/ Actual	
GM/ Head of HSEQ & Risk	<ul style="list-style-type: none"> COO Head of People & Performance (as required) 				Actual	Potential/ Actual	
External Reporting							
Registered Manger or Alternate/ HSEC Managers	<ul style="list-style-type: none"> District Inspector / Regional Inspectorate Office Department of Building & Energy (Electrical accidents) 				<ul style="list-style-type: none"> Actual – Immediate Potential - As soon as is practicable after the facts are known, & submit Notifiable incident report via SRS 	<ul style="list-style-type: none"> Actual – Immediate Potential - As soon as is practicable after the facts are known, & submit Notifiable incident report via SRS 	<ul style="list-style-type: none"> Immediate (if determined serious) Notifiable incident report via SRS

4.2.1 Incident Reports

All incident and near miss events will be reported using IGO’s online incident reporting system INX InControl 24 hours in which the incident occurred. Any person involved or witness to the incident event can submit the event in INX InControl. Overall responsibility of the incident event in INX is with the Job Supervisor.

Where there is no immediate access to INX, a formal initial event notification shall be completed as an intermediate step. There are several IGO approved initial event notification formats including:

- **Event Notification Form** (as found in the IGO DMS)
- **Incident Notification Report** (as found in REFLEX, applicable to IGO Regional Exploration)
- INX InControl mobile app

For remote exploration projects, the initial INX Event Report must be completed by the person designated as the ‘Sched Phone Operator’ as soon as practical after verbal notification of the event.

For contractors that do not have access to INX, the IGO representative responsible for the Contractor must ensure the incident event is recorded and managed in INX.

¹ Every electric shock or burn to a person and every dangerous occurrence involving electricity

² The Exploration Manager is both the Department Manager and Registered Manager for the Exploration Department in circumstances where a specified Registered Manager is not appointed to an Exploration Project.



4.2.2 Safety Incident Classification

An incident is an event where “something happened and there was a consequence”, Near misses are events “where something happened but there were no consequences” or “something was about to happen”.

Potential consequence is the worst credible consequence given the same event reoccurred, (the residual risk rating is applied), Appendix 4 - Classification of near misses and potential consequence.

IGO’s Injury and illness definitions and statistical reporting requirements are detailed in the ***IGO Occupational Injury and Illness Classification and Reporting Procedure***. This is inclusive of non-work related reporting requirements.

4.2.2.1 Final Accountability for Classification

The final accountability for a decision regarding safety incident classification rests with the General Manager of the site (or their equivalent). It is expected that this accountability will be delegated for routine situations to the HSEC Manager. It is strongly advised that this day-to-day responsibility is with one (1) person only to ensure consistency in injury classification.

If there is any debate regarding the classification, the issue should then be referred to the Head of HSEQ & Risk.

4.3 External Notification

Only authorised representatives of IGO are to report incidents to Regulatory Departments. Authorised representatives specifically include Registered Managers and HSEC Managers.

Guidance on statutory reporting in Western Australia for mining operations or on exploration leases can be found in Appendix 3. Refer to IGO’s Head of SHEQ & Risk for reporting in other jurisdictions.

4.4 Securing the Scene

The purpose of securing the incident is to ensure evidence is preserved. The scene must not be disturbed unless:

- It is necessary to save a person’s life or prevent injury to another person
- Authorised or directed by relevant regulatory body or Coroner (in the case of a fatal injury)
- It is to take essential action to make the site safe or to minimise the risk of a further notifiable incident

Evidence will develop the timeline, or chain of events of what happened based on the gathered facts. In addition to physical evidence remaining at the scene, preserving evidence includes:

- The collection of witness statements
 - Potential witnesses should be interviewed separately and statements (verbal or written) obtained as early as possible, with consideration to the witness’ emotional state. Consent of the interview(s) must be obtained, verbal statement(s) recorded and subsequently transcribed
- Documentation and digital evidence

- Site surveys (photography, drones and laser imagery)

Note: Human Resources are to be notified in the event IGO is approached by a trade union representative(s) intending to exercise their right of examining an incident site involving a member of the specific union.

4.4.1 Ensuring a Safe Restart

Following an incident, work may only restart subject to:

- Release of the incident scene by line management (and the DMIRS or other statutory bodies as relevant). Individuals should seek confirmation of this from their Supervisor if they are unsure
- Completion of the required corrective actions
- Completion of the personal risk assessment process as described in the **IGO Safety Risk Management Procedure**

4.5 Receipt of Incident

Once an Incident Event is submitted in INX InControl and an Event Report Manager assigned, an automated email notification will be sent to the responsible line manager of the person involved in the incident.

4.6 Incident Investigation

The basic investigation process is summarised in Figure 1 - Basic Event Investigation Process. The intention of investigating incidents is to understand:

- The conditions that influenced the event (e.g. environment, task design, culture), in order to change them to prevent reoccurrence
- What influenced the behaviours (in the context of systems and conditions) that were causal or contributory to the incident i.e. plants, tools and activities can be designed to reduce mistakes and manage risk better



Figure 1 - Basic Event Investigation Process

4.6.1 Investigation Planning

All investigation teams should act as soon as possible after an incident. The Investigation Team Leader, in consultation with line management and the site HSEC Manager (or equivalent) determines the size and composition of the investigation team (where required). Refer to summary in Appendix 2: Incident Action and Investigation for guidance.

The scale and intensity of effort should be proportionate to the significance of the incident and the learning potential. Purely basing an investigation on severity may not reveal the factors in less severe incidents that eventually lead to serious events. The criteria for selecting events with higher learning value may include:

- Those events which would yield most information about significant and major accident risks
- Low-probability / high consequence events (e.g. significant incidents)
- Events which could expose systematic factors as well as direct causes
- Events which are repetitive, either a type of event or location
- Events governed by regulatory requirements or where there is stakeholder interest

Team member considerations include:

- Investigation Team Leader who is independent from the immediate area where the incident occurred
- Facilitator with the skills, experience, operational knowledge and incident investigation competency
- Workgroup representatives that know how the work is done or the equipment involved
- Site HSEC Advisor depending on investigation type
- Elected Safety Representative for the area depending on incident impacts
- Subject matter experts (technical expertise dependent on the nature of the incident)
- IGO senior management, as required

The Appointed Electrical Supervisor (where applicable) must be a member of the investigation team for any events involving electricity.

4.6.2 Analysis

Regardless of the investigation methodology adopted for data organisation of the data collected, the analysis by the investigation team should aim to be:

- Deep, searching for causal and contributing factors or 'areas of interest' (if utilising 5 why methodology) based in management systems, leadership and culture as well as physical and human causes
- Broad, searching for factors that contributed to the event, and missed opportunities to prevent the event, as well as those things that directly caused it
- Spend sufficient time to understand the causes of the incident
- Explain human behaviour in the context of systems and conditions that apply to many people, not make a judgement on the individual's actions or decisions (i.e. understand the systems and conditions that led the individual into a situation and could lead others in to the same situation)
 - E.g. exploration of Work-As-Done, Work-As-Normal and Work-As-Written
- Theories or hypothesis must be supported by evidence

4.6.3 Findings and Recommendations

When making recommendations:

- Address the root causes, contributing factors (causes can be linked to actions in INX) or 'elements of interest' (if utilising the 5 whys)
- Make resulting actions SMART (Specific, Measurable, Achievable, Relevant, Timebound) and sustainable
- Apply the hierarchy of controls to assess if recommendations are reliable and sustainable

- Mitigating systematic causes has a greater impact on preventing multiple incidents than focusing on an individual's action/inaction or decision
- Consider both short and long term measures to address immediate and latent conditions

Recommendations for discipline or just culture should be avoided as they are not the objective of the investigation team and have potential to undermine trust in future investigations. Simply present the facts of what happened and how widespread issues might be. It may be appropriate to make recommendations to reinforce expectations or standards that weren't met during the incident, but decisions on discipline are for the line management of those involved to decide.

4.7 Corrective Actions

Corrective Actions must be agreed by the person to whom they have been assigned (the Actionee) with due dates logged into the INX system.

For corrective actions and controls that are either the outcomes of an ICAM investigation or affects a critical control, once the desired outcome has been achieved through implementation, monitoring of the system(s) must be ongoing to verify effectiveness.

Actions issued by regulatory departments in relation to an incident should also be logged as actions within the related INX incident event.

The Department Manager responsible for the area in which the incident has occurred is responsible for ensuring that the investigation is completed and monitoring the implementation of corrective actions within the specified timeframe in INX InControl.

5. COMMUNICATION OF INCIDENT OUTCOMES

The IGO HSEC team is responsible for coordinating the sharing information relating to the incident utilising the ***IGO Safety Alert Template***.

Alerts relating to the incident may include:

- Early notification that an incident has happened, with minimal details available at the time (mandatory for Significant Incidents, must be approved by the Registered Manager)
- Information on a hazard, that can be used to raise awareness / educate and encourage front-line personnel to take short-term action or change behaviour
- Information that an operating site can use to judge the level of risk presented by a hazard, and to decide on appropriate action
- Instructions to operating sites to determine level of risk and take action to manage risk

Any of these may be issued as soon as learning from an event becomes clear, including:

- During an investigation as facts emerge
- After an investigation when analysis shows underlying causes
- When investigations and other data are reviewed for patterns or themes

6. INCIDENT REVIEW

In the event of incidents of ‘Critical’ or ‘Catastrophic’ consequence, or incidents of potentially ‘Catastrophic’ consequence (i.e. SPIs), the responsible department manager will present the investigation findings and corrective actions to the IGO Safety Steering Committee.

The IGO HSEC team is responsible for maintaining and sharing:

- A set of key performance indicators, appropriate to the incident categories noted in this Procedure, are communicated to the Executive Leadership Team (ELT) and the IGO Board of Directors
- An annual review and data analysis of incidents and near misses for the incident categories to identify trends and common lessons

7. TRAINING AND COMPETENCY

Individuals in the following roles should be trained in the following level of incident investigation identified in Table 2.

Table 2 – Recommended Training for Investigation Team

Type of Investigation	Role
Simple Investigations E.g. <ul style="list-style-type: none"> • 5 Whys • ICAM Basic Investigation 	<ul style="list-style-type: none"> • Supervisors/ Superintendents • Line Managers/ Department Managers • Registered Manager/ General Manager • Elected Health & Safety Representative • HSEC professionals • Appointed Electrical Supervisor
ICAM Investigation	Lead Investigator/ Facilitators: <ul style="list-style-type: none"> • HSEC professionals • Nominated personnel required to undertake lead investigator roles for ‘critical’ or ‘catastrophic’ incidents

8. ACCOUNTABILITIES

Role	Responsibility
Job Supervisor	<ul style="list-style-type: none"> • Ensure all incidents and near miss events involving personnel under their direction are notified, reported, investigated, recorded and appropriate corrective actions implemented in accordance with this Procedure
Investigation Team Leader	<ul style="list-style-type: none"> • Must coordinate the investigation to the appropriate level and engage investigation team members
Department Manager	<ul style="list-style-type: none"> • Ensures investigations and the associated corrective actions are completed in a timely manner. This specifically includes data capture in INX Note (1) The Exploration Manager is both the Department Manager and Registered Manager for the Exploration Department in circumstances where a specified Registered Manager is not appointed to an exploration project
Registered Manager	<ul style="list-style-type: none"> • Ensures statutory reporting is completed, and ELT is notified • Must approve any business-wide Safety Alert before it is issued

Site HSEC Manager or equivalent	<ul style="list-style-type: none"> • Participate in incident investigation where required • Provide advice to Health and Safety Representatives and line management on incident reporting and investigation • Disseminate relevant information arising from incident reporting and investigations • Ensure Regulatory Authorities are notified in line with legislative requirements
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9. RELATED DOCUMENTS

Referenced and Related Documentation

Internal	<ul style="list-style-type: none"> • IGO Common Management System Standard 14 – Incident Management • IGO Occupational Injury and Illness Classification and Reporting Procedure • IGO Safety Alert Template
External	<ul style="list-style-type: none"> • <u>Department of Mines and Petroleum, 2013, Accident and incident reporting — guideline (3rd edition): Resources Safety, Department of Mines and Petroleum, Western Australia.</u>

APPENDIX 1: REVISION AMENDMENTS

Rev	Section	Description of Change
10	2	Consolidated 'spatial application' in previous version Appendix 5 and 'what must be reported' (s.5.1) into Scope.
10	4.1	<ul style="list-style-type: none"> Initial Response (section 4) updated to Incident Response (s.4.1) and includes recommended actions. Duplication in emergency management process (s.4.1 – 4.4) removed.
10	4.2	Addition of internal verbal notification chain (Table 1).
10	4.2.1	Initial 'Incident Data Capture' (s.5.5) moved to Incident Reports (s.4.2.1) – no content change
10	4.2.2	Safety Incident Classification moved to section 4.2.2, content pertaining to injury classification changed to <i>'IGO's Injury and illness definitions and statistical reporting requirements are detailed in the IGO Occupational Injury and Illness Classification and Reporting Procedure. This is inclusive of non-work related reporting requirements.'</i>
10	4.2.2.1	New section: 4.2.2.1 Final Accountability for Classification
10	4.3 & Appendix 3	<ul style="list-style-type: none"> Government Reporting changed to section 4.3 External Notification. Appendix 3 Reporting Incidents in Western Australia) simplified and references made to Department of Mines and Petroleum, 2013, Accident and incident reporting — guideline (3rd edition): Resources Safety, Department of Mines and Petroleum, Western Australia. Removed Appendix 2 (Reporting in Other Jurisdictions) and consolidated requirement in section 4.3.
10	4.4	Updated to be more specific on the purpose of securing a scene
10	Appendix 2	Removed section 5.6 'Starting the Investigation Process' and section 8 'Investigation Process' consolidated and summarised in a table format. Refer to Appendix 2 'Incident Action and Investigation Summary'
10	Appendix 2	<ul style="list-style-type: none"> Level of investigation updated in Appendix 2. ICAM required for actual 'Critical' or 'Catastrophic' and potential 'Catastrophic' consequence. Simple investigation process for other incidents (e.g. 5 Whys process) Added: all actual 'Critical' or 'Catastrophic' incident events will be externally facilitated.
10	4.5	Added: new section 'Receipt of Incident'
10	4.6	Added: new section 'Incident Investigation' which includes: <ul style="list-style-type: none"> Purpose Basic investigation process Scale and intensity of investigation factors in learning values as well incident severity Team considerations
10	4.7.1	Added: new section 'Analysis'

Rev	Section	Description of Change
10	4.7.2	<ul style="list-style-type: none"> Added: new section 'Findings and Recommendations' Removed: Section 10 'Were there Behavioural Factors to the Incident?' and Appendix 8 'Response to Behavioural Root Causes of Incidents'. Updated to <i>'Recommendations for discipline or just culture should be avoided as they are not the objective of the investigation team and have potential to undermine trust in future investigations. Simply present the facts of what happened and how widespread issues might be. It may be appropriate to make recommendations to reinforce expectations or standards that weren't met during the incident, but decisions on discipline are for the line management of those involved to decide.'</i>
10	7	New Section
10	N/A	Removed Appendix 5: Definition of Injury Types and replaced with new procedure. Refer to <i>IGO Occupational Injury and Illness Classification and Reporting Procedure</i>
10	N/A	Removed Appendix 8: Response to Behavioural Root Causes of Incidents



APPENDIX 2: INCIDENT ACTION AND INVESTIGATION GUIDE

Severity	Actions	Investigation and Team Composition
Catastrophic	<ul style="list-style-type: none"> Suspend work Initiate emergency response, if required Immediate actions required to eliminate/ reduce risk Notification to GM, Head of SHEQ & Risk, COO, CEO Establish and agree on Terms of reference (avoid references to discipline and Just Culture) Incident scene preserved and secured Gather statements and evidence (physical, documentary and digital) Drug and alcohol post incident testing, as applicable Notification to the relevant regulatory body within required timeframe Determine if EAP service and/or HR, legal resource should be mobilised Event submitted into INX within 24 hours Evaluate and analyse information Business wide Safety Alert completed within 24 hours, to be issued by GM Formal investigation completed as soon as possible and should not be delayed without reason (e.g. 3rd party technical expert) Release of the incident scene communicated by Registered Manager or Alternate in consultation with GM, DMIRS or other statutory bodies as relevant Samples taken if required Incident and any lessons learnt communicated with the immediate workers (including contractors) and across site. Coordinated by HSEC team Corrective and preventative actions from investigation tracked to closure and verified (i.e. completed as intended) in INX Evaluate effectiveness of actions (e.g. learnings embedded? risks managed/ reductions sustainable? No unintended additional risks created by the action?) 	<ul style="list-style-type: none"> ICAM Investigation Team Composition: <ul style="list-style-type: none"> Ideally no more than 5 personnel inclusive of the Investigation Team Leader Elected Safety Representative to be included <p>Note (1) Actual 'Critical' & 'Catastrophic' – Independent Facilitator</p> <p>Note (2) Actual 'Catastrophic' – team to include the Head of SHEQ & Risk</p> <p>Note (3) Aviation incident - team to include IGO approved Aviation Safety Consultant</p> <p>Note (4) Electrical incidents –Appointed Electrical Supervisor must be a member of the investigation team for any events involving electricity</p> <p>Note (5) Subject matter experts (SME) /technical experts may be required at various stages of the investigation</p> <p>Note (6) A Regulatory Inspector investigating has full control of the incident site and will direct IGO resources as appropriate</p>
Critical		
Major	<ul style="list-style-type: none"> Work suspension may be required Immediate actions required to eliminate/ reduce risk Job Supervisor notified immediately and escalates notification, refer to Table 1 Gather statements and evidence Review all sources of potentially useful information Drug and alcohol post incident testing Event submitted into INX within 24 hours Notification to the relevant regulatory body within required timeframe, where applicable Investigation using the 5 Why's investigation methodology commenced immediately Business wide Safety Alert may be issued at the discretion of the General Manager Incident and any lessons learnt communicated with the immediate workers and across site(s) (includes contractors). Coordinated by HSEC team or Department Manager Corrective and preventative actions from investigation tracked to closure in INX and verified 	<ul style="list-style-type: none"> Simple investigation required, e.g. 5 Why's investigation methodology Team Composition: <ul style="list-style-type: none"> Ideally no more than 5 personnel inclusive of the Investigation Team Leader Investigation Team Leader generally the Line Manager (or delegate) <p>Note (7) Electrical Incidents – The Appointed Electrical Supervisor must be a member of the investigation team for any events involving electricity</p>
Significant	<ul style="list-style-type: none"> Immediate actions required to eliminate/ reduce risk Job Supervisor notified immediately; routine inspection ensures adequate controls have been implemented Event submitted into INX within 24 hours Notification to the relevant regulatory body within required timeframe, where applicable Incident communicated with the immediate workers and across the site(s) Corrective and preventative actions from investigation tracked to closure in INX 	<ul style="list-style-type: none"> Simple investigation <p>Note (8) Electrical Incidents – The Appointed Electrical Supervisor must be a member of the investigation team for any events involving electricity</p>
Minor	<ul style="list-style-type: none"> Job Supervisor's routine inspection ensures adequate controls have been implemented Event submitted into INX within 24 hours Notification to the relevant regulatory body within required timeframe, where applicable Corrective and preventative actions from investigation tracked to closure in INX 	<ul style="list-style-type: none"> Complete INX Report <p>Note (9) Electrical Incidents – The Appointed Electrical Supervisor must be a member of the investigation team for any events involving electricity</p>

APPENDIX 3: REPORTING INCIDENTS IN WESTERN AUSTRALIA

For DMIR's notification and reporting requirements for accidents, incidents and potentially serious incidents, refer to the [Department of Mines and Petroleum, 2013, Accident and incident reporting — guideline \(3rd edition\): Resources Safety, Department of Mines and Petroleum, Western Australia.](#)

The following events are listed under the **MSI Act 1994** as occurrences to be reported:

- Serious or potentially serious injury (including fatality)
- Extensive subsidence, settlement or fall of ground or any major collapse
- Earth movement caused by a seismic event
- An outbreak of fire above or below ground
- Breakage of a rope, cable, chain or other gear by which persons are raised or lowered
- Inrush of water
- Dust ignition below ground
- Presence or outburst of potentially harmful or asphyxiant gas
- Accidental, delayed or fast ignition or detonation of explosives
- Explosion or bursting of compressed air receivers, boilers or pressure vessels
- Electric shock or burn or dangerous occurrence involving electricity
- Poisoning or exposure to toxic gas or fumes where persons are affected
- Loss of control, failure of braking or steering of heavy earthmoving equipment
- 'Catastrophic' potential incidents (SPIs)
- Incidents affecting registered or classified plant or equipment

In any of these events, the District Inspector for the region should be immediately notified. Notification should be submitted in a notifiable incident report via SRS but, if the responsible manager considers that the incident is serious, the written notification should be preceded by a phone call. This must be done as soon as is practicable after the facts are known.

Notification must be provided regardless of whether an injury occurred, and/or whether or not there was any damage to property.

Potentially Serious Occurrence

The **MSI Act 1994** refers to the concept of a Potentially Serious Occurrence; this being defined as any event at a mine or exploration site that the Register Manager considers has the potential to cause serious injury or harm to health, even though no injury or harm has in fact occurred, but it is not included in the circumstances listed above as an occurrence.

Note: A Potentially Serious Occurrence is an IGO classified Serious Potential Incident (SPI). For the purposes of interpreting this requirement see Appendix 4.

Accident 'Log-Book' (INX)

IGO sites are obliged to keep an 'accident logbook' of the type approved by the State Mining Engineer. In practice, the accident logbook used at IGO is the INX system. IGO is also required to ensure that any accident that occurs on site is recorded in the accident logbook (INX) without delay.

INX must be available for inspection at all reasonable times. Persons authorised by the **MSI Act 1994** to inspect or make requests of information contained in INX are:

- An Inspector
- A safety and health representative for the mine
- A representative of a trade union that has members employed at the mine
- Anyone else authorised by the State Mining Engineer.

Incident Record Security

Access to INX incident records, particularly personal injury data, must be restricted. For personnel, other than those authorised by the Registered Manager, this information must be available as 'read only' to disallow deletions or additions.

Reporting to Other WA Government Agencies

Department of the Environmental Regulation – WA

Under Section 72 of the **Environmental Protection Act 1986**, IGO is required to notify the CEO of the Department of Environmental Regulation (DER) regarding the discharge of waste or pollutant spills that are likely to cause pollution, material environmental harm or serious environmental harm. Discharges may be a consequence of an emergency, accident or malfunction.

It is a requirement that the DER CEO is notified as soon as practicable by either verbal or electronic notification, followed by written notification as soon as practicable after the discharge has occurred. Regulation 5K of the **Environmental Protection Regulations 1987** prescribes the details of the discharge and its impact which are required to be reported to the CEO. The prescribed details are:

- The time and the address of the premises on or from which the discharge occurred and a map of the premises showing the location of the discharge
- If the discharge of the waste was a result of the operation of equipment or otherwise, the name of the person operating the equipment or otherwise responsible for the discharge of the waste
- The composition of the waste
- The quantity of the waste discharged
- Whether or not the discharge caused pollution and if so, the nature and extent of the pollution
- The action taken by the occupier of the premises to minimize the effect on the environment of the discharge of waste
- Whether or not the waste involved in the discharge has been removed, dispersed, destroyed, disposed of or otherwise dealt with, and if so, the manner in which the waste was removed, dispersed, destroyed, disposed of or otherwise dealt with

Further guidance for reporting to DER can be found: <http://www.der.wa.gov.au/your-environment/reporting-pollution>

When determining the severity and consequence of an environmental incident, the IGO Consequence Assessment Table should be used (see Appendix 5: Categories of Consequence). For incidents classified 'Major' and above the Environment Department should be contacted to determine which regulatory agencies may need to be informed.

Spills are classified in accord with Appendix 6: Spills Matrix.



Depending on the outcome of the environmental incident, additional regulatory agencies may need to be notified, including DMIRS and Department of Parks and Wildlife (DPaW). The Environment Department is responsible for notifying all regulatory agencies as required.

Department of Building and Energy – WA

In addition to reporting electrical occurrence to DMIRS, all electrical accidents must be reported directly to the Network Operator (if known) or via the Department of Building and Energy (1800 678 198).

An electrical accident means an accident:

- That results from a sudden discharge of electricity or that otherwise has, or is likely to have, an electrical origin; and
- That causes, or is likely to cause, danger to life, a shock or injury to a person or loss of or damage to property

Electrical accidents include electric shocks, electrical injuries, fatalities, incidents that cause danger to life or loss or damage to property (for example damage due to fire or over/under voltage).

APPENDIX 4: CLASSIFICATION OF NEAR MISSES AND POTENTIAL CONSEQUENCES

For safety related incidents, the consequence is defined in terms of injury types. As a result, the worst credible potential consequence should be regarded as the injury that is most likely to occur given the same event occurred numerous times (see Appendix 5: IGO Categories of Consequence Matrix). IGO's injury types are defined in *IGO Occupational Injury and Illness Classification and Reporting Procedure*

Classification	Definition
Serious Potential Incident	An incident for which the worst credible potential consequence is determined to be a fatality or permanently disabling injury
High Potential Incident	An incident for which the worst credible potential consequence is determined to be a Serious Injury (an LTI of greater than 2 weeks), or a permanent partial disabling injury
Near Miss	All other unplanned safety related event that did not result in injury, illness, or damage – but had the potential to do so

It is accepted that the evaluation of the potential consequences of a safety incident is inherently subjective. However, the following matters must be considered:

- The level of damaging energy that was released or potentially released in the incident
- The potential for this energy to impact on a person
- The number of additional controls, checks or processes that would have needed to fail and so result in impacts on people

Potential Incidents

High Potential Incidents include:

1. All incidents for which the worst credible potential consequence is assessed as being a Serious Injury (an LTI of greater than 2 weeks), or a permanent partial disabling injury
2. Those incidents automatically defined as High Potential Incidents (HPIs) below:

Incidents that must be classified as HPIs are:

- For general incidents:
 - a work-related incident causing a person to become unconscious
 - an incident causing an unplanned emergency site evacuation
- For mobile plant and equipment:
 - a vehicle having more than two wheels go over the crest of a protection bund or windrow
 - a vehicle tipping or rolling onto its side or roof
 - a heavy vehicle (HV) impacting a light vehicle (LV) due to the HV operator not being aware of the LVs presence (irrespective of speed)
 - any incident where the operator of an LV or HV falls asleep at the wheel and the vehicle runs off the road or is involved in a collision (irrespective of speed), either on site or on work-required travel off-site
 - any collision between HVs where under slightly different circumstances the cabin of either vehicle could have impinged

- any incident or near miss where a pedestrian was struck or very nearly struck by a moving vehicle
- a parked vehicle rolling towards people or in the proximity of people
- an in-service failure of a vehicle's entire braking or steering system
- For fire and explosion:
 - a fire underground (including glowing embers) which has any of the following:
 - cannot be immediately extinguished by personnel on the scene
 - occurs in an unattended area
 - is in proximity to flammable or explosive materials (in storage or in transport)
 - a person burnt by an open flame, hot steam or hot water resulting in hospital admission
 - an unplanned ignition of explosives
 - an unplanned ignition or explosion of gas or dust
- For falling objects:
 - an object or load falling uncontrollably from a height into an area normally accessible to persons
 - in service failure of, or damage to, scaffolding affecting its structural integrity, exposing people to risk
 - where a person is found working at heights without critical control fall protection
 - where a person falls and is suspended by fall restraint or fall arrest equipment
 - where a person is found within any exclusion zone (with an associated fatality risk) without the prescribed critical controls in place
 - an unprotected and unattended open hole or missing section of walkway/handrail where
 - a person could fall more than 2m
 - a person falling into water or other liquid deeper than 1.5m, without a personal flotation device on, or while working alone
- For Geotech, inrush and ventilation:
 - a failure of ground support or reinforcement in an area where persons could have potentially been present
 - a fall of ground which prevents a person from exiting any work area (i.e. entrapment), or interrupts mine ventilation
 - an uncontrolled presence of an atmosphere containing less than 19% oxygen in an accessible work area
 - an incident which required personnel to put on self-rescue breathing devices due to an irrespirable atmosphere or fire
 - an inrush of water, mud, paste or similar with the potential to result in harm to a person
- For an electric shock:
 - Any electric shock that required medical treatment (see ***IGO Occupational Injury and Illness Classification and Reporting Procedure*** for Medical Treatment Injury (MTI) definition)
- For uncontrolled energy:
 - a person becoming entangled in moving or rotating equipment and requiring assistance to be extracted

- failure of isolation procedures resulting in a situation where a person was exposed to the potential energy source, and where it was likely that the equipment could have been energised or started while the person was exposed
- contact with energised overhead power lines
- failure to use the required Defined Hazardous Work Plan and follow the correct procedure for confined space, hot work, working around power lines, HV switching, or other high-risk activity requiring a Permit to Work
- For plant failure:
 - a catastrophic or major structural failure of plant
 - damage to, or failure of haulage or winding or lifting equipment that had the potential to result in a significant impact on a person
 - catastrophic failure of a pressure vessel
- For aviation
 - a load dropped from an aircraft or helicopter in a populated area
 - loss of control of a load during helicopter sling loading, i.e. swinging in the proximity of people during hook-up / positioning
- Security
 - in-flight shut down of an engine or critical flight system in an aircraft security
 - theft or other loss of explosive
 - unauthorised discharge of a firearm, or use of a weapon, within the site-controlled boundaries

Significant Potential Incidents (SPIs)

Not all SPIs are reportable to the authorities as per local law (e.g. those risk rated 'Major' or lower). Where the likely potential outcome is risk rated 'Catastrophic', i.e. a fatality, permanently disabling injury, irreversible or widespread health impacts the SPI must be reported to DMIRS.

Incident Classification Guidance – Non-Safety

For incidents with other potential outcomes (i.e. besides safety), the consequence table of the IGO risk matrix is used to determine the investigation level. The actual or likely potential outcome is referenced against the definitions in Appendix 5: Categories of Consequence.

APPENDIX 5: CATEGORIES OF CONSEQUENCE

		Type of Consequence					
		Health	Safety	Environment	Community & Reputation	Financial Loss or Exposure	Compliance
Severity of Consequence	5 - Catastrophic	<ul style="list-style-type: none"> Chronic exposure of numerous employees to elevated levels of Class A carcinogen or similarly hazardous material resulting in disease A widespread outbreak of infectious disease 	<ul style="list-style-type: none"> Fatality Permanently disabling injury 	<ul style="list-style-type: none"> Widespread environmental damage Extinction or a credible risk of species extinction Destruction or a credible risk of destruction of a listed ecosystem 	<ul style="list-style-type: none"> Very serious widespread social impacts causing site closure Irreparable damage to highly valued structures/items/locations of cultural significance Government or police intervention in operations Operations/production stopped by community action Prolonged or national media focus on the Company's activities or impacts Community fatality as a direct consequence of IGO's actions 	<ul style="list-style-type: none"> loss of >\$100M cash flow loss of > 25% market capitalisation 	<ul style="list-style-type: none"> Prosecution resulting in imprisonment of Company officer, or Suspension of the operating licence of a mine
	4 - Critical	<ul style="list-style-type: none"> Chronic exposure of numerous employees to elevated levels of Class A carcinogen or similarly hazardous material - no symptomatic disease A localised outbreak of infectious disease among numerous employees. Numerous employees demonstrate symptoms of an industrial disease (e.g. functionally significant hearing loss) 	<ul style="list-style-type: none"> Serious Injury (LTI of greater than 2 weeks) Permanent partial disability 	<ul style="list-style-type: none"> Environmental damage extending beyond IGO's land tenure A material threat to listed species Destruction or a credible risk of destruction of listed biological communities 	<ul style="list-style-type: none"> Ongoing serious social issues Significant damage to structures/items of cultural significance Significant infringement/disregard of cultural heritage Aggressive action causing restrictions on operations Protestors on IGO property External arbitration required Limited short-term national media focussing on the Company activities or impacts Community fatality where IGO is seen as having some responsibility (e.g. contractor hauling our product from the site) 	<ul style="list-style-type: none"> between \$10M to \$100M loss of between 15% and 25% market capitalisation 	<ul style="list-style-type: none"> Prosecution of the business for breach of the law, or Material non-compliance with the law as identified by a Company officer requiring disclosure and for which no immediate remedy is available, or Breach of Code of Conduct, or Breach of Critical Safety Control
	3 - Major	<ul style="list-style-type: none"> Chronic exposures that require an extended period (> 2 weeks) of alternate duties to alleviate symptoms. 	<ul style="list-style-type: none"> Lost time injury (LTI) 	<ul style="list-style-type: none"> Extensive unapproved environmental damage within IGO's property boundaries (>10 ha) A credible threat to listed species or ecosystems Nuisance impact (e.g. dust, noise) to neighbours resulting in a complaint(s) or investigation by a Regulator 	<ul style="list-style-type: none"> Ongoing social issues Minor damage to structures/items of cultural significance Infringement/disregard of cultural heritage/sacred locations Strong community complaints/reaction: a threat to operations; small scale protests near operating sites Isolated national media on the event Local media attention 	<ul style="list-style-type: none"> between \$500k to \$10M attributable loss of market capitalisation but <15% 	<ul style="list-style-type: none"> Regulators issue corrective action directives, or Material non-compliance with the law as identified by Company officer for which no immediate remedy is available (> 1 month), or Major non-compliance with Company policy or procedures
	2 - Significant	<ul style="list-style-type: none"> Exposures that require a short period (<2 weeks) of alternate duties to alleviate symptoms 	<ul style="list-style-type: none"> Injury requiring medical treatment (MTI) and/or An injured person required to complete alternative or restricted work duties (RWI) 	<ul style="list-style-type: none"> Significant environmental impact (between 1 and 10 ha) within IGO property. Impact to flora/fauna localised and contained (single animals and plants) 	<ul style="list-style-type: none"> Minor social/cultural impact Damage or loss of minor community asset Minor infringement of cultural heritage No media coverage or some isolated local media discussion 	<ul style="list-style-type: none"> between \$20K to \$500K 	<ul style="list-style-type: none"> Statutory non-compliance identified by Company officer requiring more than a month to remedy, or Statutory non-compliance identified by Company officer requiring external disclosure Non-compliance with Company policy or procedures, requiring more than a month to remedy
	1 - Minor	<ul style="list-style-type: none"> Working conditions or impacts causing discomfort or physical strain that may result in industrial disease (e.g. continuous exposure to vibration) immediately alleviated by changes in work method 	<ul style="list-style-type: none"> First aid or minor supportive treatment 	<ul style="list-style-type: none"> Minor environmental impact (<1ha) within IGO property Impact to flora/fauna localised and contained (single animals and plants) 	<ul style="list-style-type: none"> Communication of complaint or concern (letters, emails, social media, telephone calls, etc) from an external party 	<ul style="list-style-type: none"> <\$20K 	<ul style="list-style-type: none"> Statutory non-compliance identified by Company officer for which an immediate remedy is available, or Non-compliance with Company policy or procedures

APPENDIX 6: SPILLS MATRIX

Spill Matrix		Spill Volume (Litres)			
Spill Matrix	Chemical	<1	1 to 10	10 - 100	>100
	Hydrocarbon	<10	10 – 100	100 - 1,000	>1,000
	Process Liquor/Tailings	<100	100 - 1,000	1,000 - 10,000	>10,000
	Contaminated/hypersaline water (TDS >150,000)	<1,000	1,000 - 10,000	10,000 - 100,000	>100,000
	Saline water (TDS 40,000 - 150,00)	<10,000	10,000 - 100,000	100,000 – 200,000	>200,000
	Brackish Water (TDS 5000 – 40000)	<100,000	100,000 – 200,000	200,000 – 300,000	>300,000
Receiving Environment	Bund or impervious surface	Not reportable	Not reportable	Minor	Minor
	Compacted surface (hardstand, road or work/production area)	Not reportable	Minor	Minor	Significant
	Permeable (but disturbed) surface, drainage channel or standing water	Minor	Minor	Significant	Major
	Flowing water or undisturbed surface	Minor	Significant	Major	Critical
	Sensitive ecosystem (undisturbed vegetation, groundwater)	Significant	Major	Critical	Catastrophic

Category Level	Internal Notification	External Notification
Minor	Line Manager, Department Manager	None
Significant	Site GM	Dependent on severity - notify DER/DMIRS
Major	Site GM, COO,	Notify DER and DMIRS within 24 hours
Critical	Site GM, ELT	Notify DER and DMIRS within 24 hours
Catastrophic	Site GM, ELT, Board	Notify DER and DMIRS within 24 hours