



COMMON MANAGEMENT SYSTEM STANDARD 14 INCIDENT MANAGEMENT

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1. OVERVIEW

This document sets out IGOs standard for Incident Management.

In overview, it is intended that hazards, risks and incidents are properly reported and, where appropriate, are effectively investigated and managed, and that corrective actions are identified, implemented, verified and communicated to prevent recurrence.

2. APPLICATION

This standard applies to all IGO operations and managed activities. It is applicable to all incident types, including but not limited to:

- Health, Safety, Environment and Community (HSEC) incidents and near misses
- security
- theft and fraud
- breaches of the law
- non-conformance with IGOs business systems
- process safety (plant and equipment integrity)
- production loss
- external stakeholder complaints.

3. INCIDENT REPORTING AND MANAGEMENT

IGO will ensure procedures and supporting documents are implemented and maintained for managing all incidents and near misses across all IGO sites. These documents describe the processes for:

- site preservation and safe restart procedures
- reporting and recording incidents and near misses and encouraging this reporting and recording
- classification of risk level
- linkages with emergency management, crisis management and business continuity plans
- defining the personnel responsible for, and involved in, all aspects of incident recording, reporting, investigation, follow-up, corrective action, preventative action, verification and communication
- establishing timeframes for incident and near miss recording and reporting. All safety incidents and near misses are to be recorded in the relevant IGO system within 24 hours of an occurrence
- mandatory regulatory reporting of incidents within the timeframes required in the jurisdiction of the activity
- determining the minimum level of investigation based on the risk level of the incident or near miss
- ensuring legal advice is sought and/or obtained when appropriate
- determination and management of corrective actions and preventative actions
- communication of outcomes/learnings, including sharing learnings across the organisation and with stakeholders as appropriate
- the closure of incident reports.



IGO will ensure that review of the IGO risk registers are completed such that unwanted events and controls have been identified where appropriate.

IGO will identify and establish record retention requirements for each incident type in each jurisdiction of activity in accordance with ***IGO Common Management System Standard 8 - Document Control, Records and Data Management***.

4. ELECTRONIC INCIDENT DATA MANAGEMENT SYSTEM

IGO will ensure that the recording, reporting, information storage and action management requirements associated with incident management, and internal audit and review, are fully incorporated into an electronic incident data management system and database (INX) with specific defined exceptions. IGO will ensure that the INX system and database:

- has a defined workflow
- automates reporting to the required authority levels once an incident is recorded and the risk level determined
- automates the determination of the minimum level of investigation based on the risk level of the incident
- highlights mandatory regulatory reporting obligations when required
- is a repository that can store all information relating to an incident
- records when mandatory regulatory reporting has occurred
- records the allocation of corrective actions and preventive actions to personnel and tracks them to completion
- contains security features that ensures that data, including completion dates for actions, cannot be changed without approval at an appropriate authority level
- automatically escalates outstanding actions
- does not allow closure of an incident report until all actions are 'signed-off' as completed (and where required effectiveness verified)
- personnel are trained in entering incident reports into the electronic incident system as appropriate.

Some specific 'incident' (see inclusions in section 2) information may not be captured in INX in circumstances approved by IGOs Executive Leadership Team (ELT) or IGO legal counsel. In such circumstances, IGO will establish alternate documented processes.

5. INCIDENT INVESTIGATION METHODOLOGY

IGO will ensure a standard incident investigation methodology is adopted Company-wide and is used as the basis for all incident investigations.

The incident investigation methodology used by IGO is the Incident Cause Analysis Method (ICAM). The investigation process must:

- establish the facts
- identify contributing factors
- result in the review of the adequacy of the existing controls and procedures reports the findings
- result in corrective actions which can reduce the risk and prevent recurrence.

IGO will ensure that:

- the risk level of an incident or near miss is determined using the IGO risk matrix (refer to **IGO Common Management System Standard 3 - Risk Management**) and based on the actual and potential consequences and most credible outcomes. Incidents are investigated at a level of detail and independence appropriate to the highest risk level of the incident
- all personnel who are nominated to lead an investigation or participate in an investigation as a team member are provided with an appropriate level of training in IGOs incident investigation methodology
- timeframes for investigation initiation and completion are established and monitored
- The IGO manager responsible for the area in which the incident has occurred is responsible for ensuring that the investigation is completed and closed-out in the electronic incident management system within a specified timeframe.

In certain circumstances the nature of an incident may require IGO to obtain internal and/or external legal advice and/or require IGO to engage the police or other investigative agencies. In these circumstances, certain investigations or additional activities may be required based on, or for the purposes of, that legal advice or aid investigative agencies.

6. COMMUNICATION OF LESSONS AND OUTCOMES

IGO will ensure that:

- the lessons and outcomes of investigations are shared across the organisation to the extent permissible and subject to legal requirements
- a process is established to ensure ELT and the IGO Board are made aware of material incidents and the associated lessons and outcomes of investigations.

7. REPORTING

IGO will ensure that:

- a set of key performance indicators (KPIs) appropriate to the incident categories (noted in this Standard) are communicated to the ELT and the IGO Board
- an annual review/data analysis is undertaken of incidents and near misses for the incident categories to identify trends and common learnings.

8. RELATED DOCUMENTS

- IGO Common Management System Standard 3 - Risk Management
- IGO Common Management System Standard 8 - Document Control, Records and Data Management