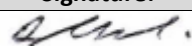






INCIDENT REPORTING PROCEDURE

Document Quality Review Process				
Document:	Incident Reporting Procedure			
Action:	Name:	Position:	Signature:	Date:
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Approved by:	Peter Mellor	Site Senior Executive		01/11/2020
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01				
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1 PURPOSE

The purpose of this Incident Reporting procedure is to provide a standard method for Incident Reporting of all Health, Safety Environmental and Quality Incidents that occur during the course of performing work on the Heritage Minerals Project.

2 SCOPE

This procedure applies to all Mount Morgan Gold Mine, functions and project within the responsibility of Heritage Minerals, including Mine Maintenance, Construction and Mining Operation. All Risks associated with this Procedure will be assessed and controlled in accordance with the Hierarchy of Control ISO 31000

3 LEGISLATIVE REQUIREMENTS

3.1 Acts and Regulations

- Qld Work Health Safety Act 2011.
- Qld Work Health Safety Regulations 2011.
- Qld Mining and Quarrying Safety and Health Act 1999.
- Qld Mining and Quarrying Safety and Health Regulation 2017
- Qld Workers Compensation and Rehabilitation Act 2003.
- Qld Workers Compensation and Rehabilitation Regulation 2014.
- Qld Electrical Safety Act 2002.
- Qld Electrical Safety Regulation 2013.
- Qld Heritage Act 1992.
- Qld Building Act 1975; and
- Fair Work (Commonwealth Powers) and Other Provisions Act 2009.

3.2 Environmental Acts and Regulations

Heritage Minerals has a suite of Environmental and Federal legislative obligations which shall be met through the adoption of best practices outlined in this Environmental Management Plan. Below provides a summary of applicable key legislation including:

- Qld Environmental Protection Act 1994.
- Qld Environmental Protection Regulation 2019.
- Qld Aboriginal Heritage and Cultural Act 2003.
- Qld Coastal Protection and Management Act 1995.
- Qld Coastal Protection and Management Regulation 2017.
- Commonwealth Environmental Protection and Biodiversity Conservation Act 1999.
- Qld Fisheries Act 1994.
- Qld Planning Act 2016.
- Qld Biosecurity Act 2014.
- Commonwealth Native Title Act 1993.
- Qld Native Title Act 1993.
- Qld Nature Conservation Act 1992.

- Qld Nature Conservation Regulation (Animals) 2020.
- Qld Nature Conservation Regulation (Plants) 2020.
- Qld Heritage Act 1992.
- Qld Heritage Regulation 2015.
- Qld Vegetation Management Act 1999.
- Qld Vegetation Management Regulation 2012.
- Qld Water Act 2000.
- Qld Water Regulation 2016.
- Qld Environmental Protection Regulation 2019.
- Qld Environmental Protection (Noise Policy) 2019.
- Qld Environmental Protection (Water and Wetland Biodiversity Policy) 2019; and
- Qld Environmental Protection (Air policy) 2019.

3.3 International Organisation Standardisation (ISO)

- ISO 45001:2018 Occupation any of the Management Systems,
- ISO 14001:2015 Environmental Management Systems.
- ISO 9001:2015 Quality Management Systems; and
- ISO 31000, 2019 Risk Management.

4 DEFINITIONS

4.1 Contract Definitions

Term:	Definition:
Environmental Aspect	An environmental aspect is defined in ISO 14001 as an element of an organisation's activities, products or services that can interact with the environment.
Principal	Landowner or current holder of the mining lease.
Project	The Mount Morgan mine exploration and care and maintenance activities.
Heritage Minerals Pty Ltd	Contractor for this project.
Contractor	Contractor means the Company, Business or Organisation bound to execute the work under the contract. The term Contractor is used within this document to indicate the party responsible to perform the scope of works. No other legal or contractual meaning is implied and on this project Heritage Minerals is the Contractor.
Sub-Contractor	Any person engaged by the Contractor to perform any work under contract, including a contractor / supplier, consultant or any approved Sub-Contractor, but not including a Worker of the Sub-Contractor.
Contract	Contract means the agreement between Heritage Minerals and the lease holder to perform the works outlined in the Scope of Work.
Worker	A Worker is a person who performs work in any capacity for a business or undertaking including any Workers employed, labour hire Workers,

	volunteers, work experience students, Contractors, Workers of Contractors, apprentices, trainees and outworkers. Note: a 'person' in this context can include a whole business or government agency.
Competent Person	- A competent person is any person who has acquired through training a qualification or hold the experience the knowledge and skills to carry out the tasks in accordance with the Scope of Work and has been verified competent with a certified qualification.
Visitor	A Visitor is a person who attends the project who shall not conduct any work practises and be escorted by a fully inducted person at all times.
Project	A project is where work is carried out for a business or undertaking and includes a place where a Worker goes, or is likely to be, while at work.
Reasonably Practicable	<p>According to the Qld WHS Act 2011 and the Qld WHS Regulation 2011, reasonably practicable means that which, or was at a particular time, reasonably able to be done in relation to ensuring Health Safety Environmental and Quality, taking into account and weighing up all relevant matters including:</p> <ul style="list-style-type: none"> • The likelihood of the Hazard or Risk concerned occurring. • The degree of harm that might result from the Hazard or Risk. • What the person concerned know, or ought reasonably to know about. • The Hazard or Risk; and • Ways of eliminating the Risk. <p>The availability and suitability of ways to eliminate or minimise the Risk. After assessing the extent of the Risk and the available ways of eliminating or minimising the Risk – the costs associated with available ways of eliminating or minimising the Risk, including whether the cost is grossly disproportionate to the Risk.</p>
Stakeholder	<p>A stakeholder is intended to encompass all stakeholders who have a legitimate interest on the project. They may include:</p> <ul style="list-style-type: none"> • Government Authority. • Contractors. • Workers. • Interest groups. • Community organisations. • General public or Visitors the project. • Consultants. • Landowners. • Authority; and • Persons or businesses affected by the development.

Aspect	Aspect means those elements of Heritage Minerals activities, products or services that can interact with the environment can or does interact with the environment and may have a significant impact. These interactions and their effects may be continuous in nature, periodic, or associated only with events, such as emergencies.
Impact	Impact is a change to the environment, whether adverse or beneficial, wholly or partially resulting from the organisations aspects
Environmental Objective	An environmental objective refers to the overall environmental aim, arising from the elements of the environmental policy, that an organisation sets itself to achieve.
Environmental Target	Environmental target refers to the detailed performance requirement, quantified where practicable, applicable to the organisation or parts thereof, that arises from the environmental objectives and that needs to be set and met in order to achieve those objectives.
Must	Means when the requirement is documented it is mandatory; and deviation shall constitute non-compliance by law.
Shall	Means when the requirement is documented it is mandatory; and deviation shall constitute non-compliance by law.
Should	Indicates the requirement is recommended or expected.
May	Indicates that the requirement is optional or at the person's discretion.

4.2 Acronyms

Acronym:	Definition:
HM	Heritage Minerals
EA	Environmental Authority
HSEQ	Health, Safety, Environmental and Quality
WHS	Work, Health Safety Environmental and Quality
PCBU	Person Conducting a Business or Undertaking.
EPA	Environment Protection Act
DERM	Department of Environment Resources
EMS	Environmental Management System
EMP	Environmental Management Plan
EIS	Environmental Impact Statement
PRA	Project Risk Assessment
HAZID	Hazard Identification
SDS	Safety Data Sheet
SWMS	Safe Method Work Statement.

JSEA	Job Safety and Environmental Analysis
VOC	Verification of Competency.
ICAM	Incident Causal Analysis Method
NCR	Non-Compliance Report

4.3 Personal Acronyms

Acronym:	Definition:
CEO	Chief Executive Officer
SSE	Site Senior Executive
HSEQM	Health, Safety, Environmental and Quality Manager
SUP	Supervisor
WRK	Worker
VIS	Visitor

5 ENVIRONMENTAL MANAGEMENT SYSTEM

5.1 Overall Scope

The Environmental Management System (EMS) is to be used for the management and control of the Operation. The Environmental Management System is a hierarchical system of documentation with the primary objective to manage Risk, Environmental aspects of the Operation. It represents a framework and documentation that will be utilised by Heritage Minerals and Sub-Contractors in the delivery of the Operation.

This Environmental Management Plan contains the main elements of the environmental management for the Project. The interaction and reference to related documents described in this Environmental Management Plan includes but is not limited to:

- Environmental Policy.
- Environmental Management Plan.
- Environmental Procedures.
- Guidelines.
- Training Material; and
- Registers, Forms and Records.

6 EMS POLICY

6.1 Environmental Policy

The Heritage Minerals Environmental Policy is the principal document of this Environmental Management Plan. All health, safety and in particular environmental objectives, targets and practices are to be consistent with the commitments set out in the policy. The policy is to be communicated to all project Workers, including sub-contractors and where requested, be displayed and introduced during Worker inductions.

Heritage Minerals Environmental Policy describes and confirms the Heritage Minerals commitment to sound environmental management on the Project. Heritage Minerals is committed to sustainable development and recognises that the long-term sustainability of the Heritage Minerals is depended upon good stewardship in both the protection of the environment, and the efficient management of the exploration and extraction of mineral resources.

6.2 Environmental Policy Statement

 HERITAGE MINERALS		Environmental Policy					
							
<p>Heritage Minerals Pty Ltd (the "Corporation") is committed to sustainable development and we recognise that the long-term sustainability of our business is dependent upon good stewardship in both the protection of the environment and the efficient management of the exploration and extraction of mineral resources. Our values and business principles as a Corporation are based on a "zero harm" environmental management performance; they underpin our environmental policy and represent the minimum guidelines for the Corporation in this respect. We will ensure that directors, officers, employees and contractors are aware of this policy as well as the relevant responsibilities which it sets out.</p> <ul style="list-style-type: none"> • We will comply with all applicable environmental laws, regulations and requirements. • We are committed to complying with relevant industry standards relating to the management of environmental risks, including the International Finance Corporation's ("IFC") Performance Standards; the IFC and World Bank Environmental, Health and Safety Guidelines; and the International Cyanide Management Code for the Manufacture, Transport and Use of Cyanide in the Production of Gold. • We are committed to establishing and maintaining management systems to identify, monitor and control the environmental aspects of our activities. Where appropriate, we may require employees to undertake training to ensure they are complying with best industry practices and all applicable environmental laws, regulations and requirements. • We will ensure that resources are available to meet our reclamation and environmental obligations. • We will ensure that our employees and contractors carry out their responsibilities in accordance with this Policy, applicable law and the industry standards we are committed to meeting. • We will work with local representatives in the communities in which we operate to educate the community on the environmental obligations associated with our activities. • We will conduct audits to monitor, measure and evaluate the effectiveness of our environmental management systems, and will communicate findings to the Safety, Health & Environment Committee of the Board of Directors, and, where appropriate, to external stakeholders. We will strive to increase transparency in our annual public disclosure on environmental matters, particularly those relating to risk management systems in place and mitigation of environmental risk. • We are committed to transparent communication and consulting with interested and affected parties on environmental aspects of our activities. • We will work to continually improve our environmental performance over time, including with regard to increasing our energy efficiency and reducing emissions and waste, and to promote sustainable development in the areas in which we operate. • We recognise the increasing awareness within our industry of climate change and the need to participate in solutions that address the long-term impact of climate change, including where feasible, the reduction of greenhouse gas emissions. In particular we recognise the sensitivity around water management and water scarcity, where we will aim to constantly improve water management systems and their efficiency, and to monitor our usage of water resources in our areas of operation. <p>The Board of Directors of the Corporation will review and evaluate this Policy on an annual basis to determine its efficacy. This Policy will be posted on the Corporation's website. Additionally, a copy of the policy will be posted at mine sites operated by the Corporation.</p>							
Heritage Minerals Representative:	Malcolm Peterson						
Position:	Chief Executive Officer (CEO)						
Signature:							
Date:	07/12/2020						
Doc No.:	HM-MMM-ENV-POL-001-R0A-Environmental	Rev Date:	01/11/2020	Rev No.:	0A	Page:	1 of 1

7 ROLES AND RESPONSIBILITIES

7.1 Project Responsibilities

Position:	Definition:
PCBU	<p>A person conducts a business or undertaking when:</p> <ul style="list-style-type: none"> • Whether the person conducts Heritage Minerals or undertaking alone or with others; and • Whether or not Heritage Minerals or undertaking is conducted for profit or gain. <p>And must:</p> <ul style="list-style-type: none"> • Providing the provision of any information, training, instruction or supervision that is necessary to protect all persons from risks to their health and safety arising from work carried out as part of the conduct of Heritage Minerals or undertaking. <p>A business or undertaking conducted by a person includes a business or undertaking conducted by a partnership or an unincorporated association. If a business or undertaking is conducted by a partnership, other than an incorporated partnership, a reference in the WHS Act to a person conducting Heritage Minerals or undertaking is to be read as a reference to each partner in the partnership.</p> <p>A person does not conduct a business or undertaking to the extent that the person is engaged solely as a Worker in, or as an Officer of, that business or undertaking. An elected member of a local government does not in that capacity conduct a business or undertaking.</p> <p>A regulation may specify the circumstances in which a person may be taken not to be a person who conducts a business or undertaking for the purposes of the WHS Act or any provision of the WHS Act. A volunteer association does not conduct a business or undertaking for the purposes of the WHS Act. Volunteer association means a group of volunteers working together for 1 or more community purposes where none of the volunteers, whether alone or jointly with any other volunteers, employs any person to carry out work for the volunteer association.</p>
Officers	<p>Under section 27 of the WHS Act, a PCBU has a duty or obligation under WHS legislation, an Officer of the PCBU must exercise 'due diligence' to ensure that the PCBU complies with the duty or obligation.</p> <p>The Officer's obligation of due diligence relates to any duty or obligation that the PCBU may have under the WHS Act or WHS Regulations and is therefore potentially extensive in scope. However, a definition of 'due diligence' is provided, which may help an Officer in finding practical ways to comply with the duty. In particular, section 27 (5) defines 'due diligence' as including taking reasonable steps including:</p> <ul style="list-style-type: none"> • To acquire and keep up-to-date knowledge of work health and safety matters. • To gain an understanding of the nature of the operations of the PCBU's business or undertaking and generally of the hazards and risks associated with those operations. • To ensure that the PCBU has available for use; and uses, appropriate resources and processes to eliminate or minimise risks to health and safety from work Company Vehicle out as part of the conduct of Heritage Minerals or undertaking. • To ensure that the PCBU has appropriate processes for receiving and considering information regarding incidents, hazards and risks and responding in a timely way of that information.

- To ensure that the PCBU has; and implements, processes for complying with any duty or obligation of the PCBU under WHS legislation; and
- To verify the provision and use of the resources and processes referred to in the five preceding dot points.

Further assistance for Officers appears in examples at the end of section 27. The processes for complying with duties and obligations that the PCBU shall have in place and implement under section 27 (5) (e) may include processes for:

- Reporting notifiable incidents.
- Consulting with Workers.
- Ensuring compliance with notices issued under WHS legislation.
- Ensuring the provision of training and instruction to Workers about work health and safety; and
- Ensuring that health and safety representatives receive their entitlements to training.

The section 27 (5) definition of 'due diligence' is inclusive, rather than exclusive. As such, taking the specified steps does not guarantee compliance with the duty of due diligence. However, taking those steps is likely to ensure compliance in most cases.

Managers

Managers are responsible for:

- Champion the implementation and measurement of this Management Plan and exhibit strong leadership and absolute commitment to HSEQ throughout the project.
- Lead by example, modelling the behaviour expected from all Workers on the project.
- Ensure all works are conducted in a way that ensures the health and safety of all project Workers, the community and in general, the Environment.
- Provide adequate resources and budget for the implementation of this Management Plan.
- Establish clear responsibility and accountability for implementation of this Management Plan.
- Implement change culture in accordance with project requirements for continuous improvement.
- Thoroughly overview all investigations of all incidents, ensuring that corrective actions have been implemented to prevent a reoccurrence.
- Comply with all legislation requirements and Heritage Mineral's policies and procedures. Taking accountability of the effectiveness of the environmental management system.
- Ensuring that the environmental policy and environmental objectives are established and are compatible with the strategic direction and the context of the organisation.
- Ensuring the integration of the environmental management system requirements into Heritage Minerals processes.
- Ensuring that the resources needed for the environmental management system are available.

- Communicating the importance of effective environmental management and of conforming to the environmental management system requirements.
- Ensuring that the environmental management system achieves its intended outcome(s).
- Directing and supporting persons to contribute to the effectiveness of the environmental management system.
- Promoting continual improvement; and
- Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

Supervisors

Supervisors are responsible for:

- Ensure all Workers under their guidance, know, understand and comply with this Management Plan, associated project plans and procedures so they understand accept and fully carry out their responsibilities for HSEQ.
- Lead by example and work towards achieving all HSEQ objectives.
- Be familiar with; and enforce, work health and safety regulations applicable to Heritage Mineral's projects within their area of responsibility to ensure, as far as reasonably practicable, the safety and wellbeing of the Workers are maintained.
- Establish, maintain, comply and review with SWMS's, JSEA's, Inspections, Take 5's and all lawful instructions by Heritage Mineral Management.
- Implement culture change in accordance with Heritage Mineral requirements for continuous improvement.
- Ensure all injuries and incidents are reported. Thoroughly investigate all incidents that happen in relation to their crews, ensuring that corrective actions are implemented to prevent a reoccurrence.
- Ensure compliance with Heritage Mineral workers compensation and injury management policies and procedures.
- Ensure that all Workers under their supervision correctly use and are trained to maintain the personal protective equipment provided.
- Plan the work and organise the work zone so that work is executed without risk of personal injury or adverse effects on equipment and the environment.
- Facilitate Pre-Start / Toolbox meetings; and ensure corrective actions are followed up; and closed out.
- Carry out daily informal site inspections and initiate action to ensure the safety and wellbeing of Workers.
- Participate in documented project inspections.
- Conduct minimum of one HSEQ Audit monthly and record; and
- Ensure communication and consultation takes place on health and safety related matters.

Workers

Workers are classified as any person who carry out work, in any capacity, for a PCBU. Workers must:

- Participate in hazard identification and or elimination activities such as SWMS's preparation.
- Regard safety as a central theme in their actions and take reasonable care to ensure their own health and safety and the health and safety of others.
- Ensure that the correct tools and equipment are used for the job.
- Use the HSEQ equipment and protective clothing supplied as appropriate and trained.
- Maintain tools and equipment in good condition.
- Report any defects in plant or equipment to the Supervisor.
- Avoid any improvising task that involves risk.
- Warn other Workers of known hazards and report IMMEDIATELY to their Supervisor.
- Actively participate in Heritage Mineral's HSEQ Programs.
- Report to their Supervisor all incidents IMMEDIATELY.
- Participate in the necessary Incident investigation if required to do so.
- Follow all lawful instructions by their Supervisor; and
- At all times comply with the relevant guidelines formulated and disseminated through induction, pre-start / toolbox meetings; and daily site instructions.

8 GOVERNANCE

8.1 Good Governance

Broadly, good governance is about the processes for making and implementing decisions and trying to achieve the best possible process for making those decisions. The Environmental Management System (EMS) provides the framework for good Health, Safety, Environmental and Quality governance, it provides instruction and guidance on how to manage and execute a project in terms of Health, Safety, Environmental and Quality Management.

The Environmental Management System provides the HSEQ Team with the tools to successfully manage the Environmental Aspects of Heritage Minerals and their Stakeholders. This framework shall also enable Heritage Minerals to plan and execute the project with the required Quality, efficiency and cost effectiveness. Most importantly, it allows Heritage Minerals to manage the Environmental Aspects of its people and the Environment in which the project is set.

Heritage Minerals project governance incorporates not only all the Management System including Management Plans, Policies, Procedures and forms outlined in the Health, Safety, Environmental and Quality Management processes at the activity or task-based levels in the Environmental Management System, including:

- Incident reporting.
- Change Management.
- Inductions.
- Complaints reporting.
- HSEQ Inspections.
- HSEQ Audits.
- Permits.

- Continuous improvement: and
- These processes provide the Management and control capabilities at the activity and task level.

9 CONTINUOUS IMPROVEMENT

9.1 Opportunities for Improvement

Heritage Minerals has Procedures which explain the method of planning and implementing the monitoring, measurement, analysis and improvement processes necessary for:

- Demonstrating compliance with the Health, Safety, Environmental and Quality requirements including the Consultation and Communication Procedure and processes.
- Ensuring Health, Safety, Environmental and Quality compliance by carrying out internal HSEQ Audits and Inspections according to the project Audit and Inspection Schedule.
- Improving the efficiency and effectiveness of the Environmental Management System within the Environmental Management System by the application and monitoring of the methods explained in the change Management process and the implementation of continuous improvement processes.
- Ongoing checks and reviews are conducted in order to ensure the capacity of the processes to reach the results planned, as well as the applicable legal and regulatory requisites, have been fulfilled.
- The degree in which the objectives have been reached depending on each of the process indicators is checked and if necessary when the planned results are not achieved, to establish corrective and or preventive actions, which ensure project compliance. Ongoing reporting of compliance is provided in the monthly project Reports; and
- Final reporting of all Health, Safety, Environmental and Quality Assurance, Risk Management, cost and scheduling shall be included in the Monthly project report that provides aggregated data on all criteria for review by the Senior Management Team in the Monthly Management Review Meetings.

9.2 Management Commitment and Participation

Heritage Minerals is committed to the Environmental wellbeing of all project aspects on the project and shall demonstrate leadership in achieving the highest attainable standards on the project's Environmental protection.

The Heritage Minerals project Management team engages through consultation and communication with Stakeholders and their Workers participating on the project to commit to Environmental principles and core values.

All Heritage Minerals team members shall participate in daily Pre-Start / Toolbox meetings, Inspections and Audit forums in line with the expectations of Key Stakeholders, this process shall be informed of their duties and participation shall be monitored throughout the project's lifecycle.

9.3 Environmental Accountability

Implementation of this Construction Environmental Management Plan requires clearly defined delegation of responsibilities, accountabilities and authorities. All Heritage Minerals Stakeholders involved in the management and daily onsite construction activities of the project shall have a general Environmental duty of care as defined in the Environmental Protection Act 1994, "no person must undertake an activity that causes or is likely to cause Environmental harm unless they take all reasonable and practicable measures to prevent or minimise such harm".

9.4 Seeking Continuous Improvement

Continuous improvement isn't about setting a high pace. It's about finding a rhythm that works for Heritage Minerals, it's about changing everyone's mindset to a systematic way of finding better ways to do things. Finding out how to work better as a team.

Showing our Workers that are important and that their thoughts, ideas and questions all matter. Everything shall be more fun if you get your team to take a greater interest in Heritage Minerals results and achievements, instead of just the individual members' goals. Employ the KISS principle, "Keep It Super Simple".

10 INCIDENT REPORTING PROCEDURE

10.1 Data Management System

The Data Management System is a commercially available electronic Management System that has been deployed by Heritage Minerals as its Data Management System for Data Management. The Data Management System allows Workers with access privileges to input data in relation to Incident notifications and investigations, allocate actions to responsible parties, escalate actions where timeframes are not being met, and enables the electronic sign off of Incidents.

All Incidents shall be entered into the Data Management System. All Incident Reporting will be initiated by the HSEQ Team through the Data Management System via the Incident Notification and Investigation form.

10.2 Incident Scene Prevention

There are legal obligations, duty to notify of notifiable Incidents to preserve sites where a Notifiable Serious Incident has occurred including.

- Plant at that incident scene is not used, moved or interfered with after it has been involved in a non-disturbance occurrence; and
- The area at that incident scene that is within 4 metres of the location of a non-disturbance occurrence is not disturbed.

Under Qld WHS Act 2011 non-disturbance provisions apply where a serious incident occurs. Up to 36 hours after the notifiable serious incident has been reported, Heritage Minerals must take measures to ensure that this does not prevent any action:

- To help or remove a trapped or injured person or to remove a body.
- To avoid an injury to a person or damage to property or asset.
- For the purposes of any police Investigation; and
- In accordance with a direction or permission of an Inspector in such other circumstance as may be prescribed by the Regulations.

10.3 Initial Incident Notification

As part of the Incident Notification process, the following information shall be relayed in the first instance as per Incident Reporting Timeframes:

- Who is reporting the Incident.
- When the Incident occurred.
- Location type.

- Type of Incident.
- Whether the Incident was work related, or non-work related.
- Brief description of what happened allowing classification; and
- Immediate control measures implemented to ensure there is no reoccurrence.

All notifications of Incidents shall occur immediately, regardless of whether an Incident Investigation has been undertaken or completed.

Incident Notifications can be made via Heritage Minerals Notification Email.

10.4 Incident Reporting Timeframes

As soon as an Incident occurs the Supervisor of the work crew shall be notified and they shall then notify the HSEQ Team for Heritage Minerals at the time of the Incident. Then the state governing body of the project shall be notified within the particular reporting timeframe stipulated in the contract, legislation or this Incident Reporting procedure.

The initial Incident Notification shall be completed and sent to the Authority within 2 hours, if the cause and remedial action can be implemented straight away then the Incident can be closed out using the Notification Form. If the cause or remedial actions cannot be recognised or implemented an Investigation will need to be initiated with the full Incident and Investigation Report using Incident Investigation form.

The full Notification and Investigation Reports shall be sent to the Authority within a time period of 48 hours however if an extension is required due to the severity of the Incident there shall be written request to the Authority for extension. This Notification and Investigation Report shall examine the exact details of the Incident to determine causal factors and root cause. If the severity is too high then an ICAM process will be put in place and the Authority shall be notified.

10.5 Incident Details

Incident Notifications as detailed in Section 10.3 provide for basic information to be reported in the first instance. Further details regarding the Incident shall also be required to provide for Incident Reporting, classification and context-setting purposes. The type of detail required will depend on the type and potential risk of the Incident. Such details may include but are not limited to:

- Involved persons details, including witnesses.
- Potential risk classifications.
- Injury details including injury classifications Note: For work-related injuries, the HSEQ Team MUST be consulted prior to classification. Where an injury or illness triggers the injury management and Workers compensation process, the Return to Work (RTW) Coordinator shall keep the HSEQ Team informed of any subsequent changes to the classification of an injury and or illness.
- Equipment damage details including estimated cost of repair, equipment or asset number.
- Type and area of Environment affected; and
- Near Miss details, including potential consequences of the Near Miss.

Incident details must be entered into the Data Management System via the Notification and Investigation forms.

10.6 First Aid Facilities

Heritage Minerals will establish First Aid facilities as a minimum in compliance with Qld WHS Regulation 2011 and in accordance with the scope of works located on the Project for the treatment of project injuries.

10.7 Rehabilitation

Appropriate medical care is to be provided for Workers who sustain a work-related injury or illness. Any long-term treatment, specialist care, physiotherapy, workplace therapy, rehabilitation and Return to Work plans will be managed by Heritage Minerals.

Before an injured Worker returns to work, a medical certificate is to be provided to the Heritage Minerals Return to Work Coordinator for a full clearance. If a Worker returns to work in any restricted capacity the HSEQ Team in consultation with the involved Supervisor and restricted Worker to participate in developing and implementing suitable Return to Work Plans.

A Return-to-Work Coordinator (RTWC) function will be established for the duration of the Project. The HSEQ Team is to monitor trends in injuries and Workplace Health through regular review of the treatment records.

11 CONDUCTING AN INVESTIGATION

11.1 Investigation Type

The level of Investigation required will depend upon the potential risk of the Incident. Where more than one category is identified the level of Investigation shall be determined by the highest risk rating. Once the level has been determined the Investigation is carried out. The Process shall include various levels of management as per the category of risk including where required senior management involvement.

11.2 Evidence Collection

Evidence enables an Incident to be fully described, and the causes of the Incident to be determined. The key questions are: who, what, when, where, why and how? To answer these questions evidence is generally collected in three forms including:

Direct Observation - This is essential to avoid losing important evidence about the scene, configuration, relationships between parts, and involves but is not limited to:

- The location of the Incident.
- Access and egress.
- Plant and materials in use including any failed components.
- Location and relationship of physical parts; and
- Any post-event tests, checks, sampling or reconstruction of events.

Documents - These help establish what should have happened as well as providing evidence of prior risk assessment, job hazard analysis, inspections, tests etc., and comprises of:

- Written instructions, Procedures, risk assessments and hazard analysis.
- Records of maintenance, inspections, tests, examinations and surveys; and
- Work control documentation e.g., Permits to Work, copies of relevant drawings and specifications etc.

Interviews and Statements - Interviews and statements provide both direct testimony, timeline as well as an opportunity to check back on any issues arising from examination of the physical and documentary evidence. This involves information from:

- Those involved in the Incident.
- Line Management.
- Witnesses to the Incident; and
- Those observing or involved before the event e.g., maintenance or inspection personnel.

11.3 Collation and Governance of Evidence

It is necessary to collate the evidence to build up a picture of the Incident and its causes. This is often an interactive process, between evidence gathering and the development of causes, and may include:

- Collation of all evidence sources in chronological order.
- Construction of a time line diagram to organise the evidence showing chronological interrelationships.
- Ensure the Investigation goes far enough into the historical period prior to the Incident so that all contributory factors are covered.
- Cross-check evidence to find any time gaps, lack of evidence, or areas of inconsistency; and
- Re-interview or recheck evidence where disagreement or inconsistency occurs.

11.4 Investigation Records

All data collated during the course of an Incident Investigation for example, witness statements, field notes, photos, maintenance records etc. shall be scanned and uploaded into the Data Management System.

11.5 Assigning Corrective Actions

Prior to assigning corrective actions, the assigning person shall consult with the proposed responsible person with regards to the actions and due dates.

Corrective actions shall only be assigned to persons within the assignee's own organisation, and never across organisations, for example, Contractor 1 shall only assign corrective actions within their own organisation, and shall not be permitted to assign corrective actions to Contractor 2.

Where there is a need for the assignment of corrective actions across organisations, the assigned corrective action shall be for the Manager to initiate a discussion on the matter.

Corrective actions arising from the Incident Investigation must be recorded in the Data Management System. The Incident Owner (Supervisor) is responsible for monitoring the close-out of these assigned action items. If the corrective action cannot be implemented by the due date, the responsible person shall request an extension from the Incident Owner. Where an action item is not closed out by the due date,

The Data Management System will provide two reminders via email to the responsible person. Where an action remains outstanding beyond this period, the Data Management System will automatically escalate the action notification.

11.6 Communication of Significant Incidents

Where a significant Incident has occurred on the Project an alert shall be issued from the SSE using the Significant Incident Alert Issued by the Project Manager. The issue timeframe shall align with the requirements outlined above.

12 INCIDENT CAUSAL ANALYSIS METHOD

Incident Cause Analysis Method may be carried out using one or a combination of the following techniques and or methods:

If the causal factors cannot be determined than Incident Causal Analysis Method (ICAM) shall be used to determine the root cause and the subsequent corrective actions required.

The ICAM methodology provides the following logic towards Incident and accident causation and supports the notion that most Incidents and accidents are caused rarely by a single act or condition, but rather by a number of causal factors working together.

12.1 ICAM Category 1: Organisational Factors

Organisational factors are those aspects which can be implicated in producing the task / Environmental conditions, individual or team actions, or absent / failed defences that have allowed the Incident or accident to happen.

These factors usually arise from organisational shortcomings which produce adverse conditions in the project. They can be hard to detect at times until combined with other local conditions such as leadership issues or errors in planning etc.

As the name implies, organisational factors are controlled by the organisation itself and improvement of those factors can only be achieved through the utilisation and constant upkeep of the Management Systems in place.

12.2 ICAM Category 2: Task & Environmental Conditions

Task and Environmental conditions are those conditions in existence immediately prior to or at the time of the Incident that directly influence human and equipment performance in the project.

12.3 ICAM Category 3: Individual & Team Actions

The ICAM code describes these as errors or violations that led directly to the Incident. They are typically associated with personnel such as operators and maintainers having direct contact with equipment or material. They are always committed actively someone did or didn't do something and have a direct relation with or to the Incident.

12.4 ICAM Category 4: Absent Failed Defences

Absent or failed defences are described as the 'last minute measures which did not prevent the outcome of the Incident or mitigate and or reduce its consequences.

The ICAM guide lists these as:

- Detection systems.
- Protection systems.
- Warning systems.
- Guards or barriers.

- Recovery.
- Escape.
- Rescue.
- Safety device operation.
- Personal Protective Equipment.
- Hazard identification and control systems.

12.5 Monitoring and Measurement

Where any Environmental controls have been implemented, the HSEQ Team shall perform a formal HSEQ Audit of the project and work crew to assess the effectiveness of the corrective actions implemented via this procedure.

If any non-compliance is observed, the details shall be included on the HSEQ Audit Form and recommendations entered and recorded on the form. When the Corrective Action is taken it shall be recorded in the Corrective Actions Register for close out.

13 TRAINING REQUIREMENTS

13.1 Training Maintenance

Training will be conducted in accordance with the National Training and Assessment Criteria of Australia. The type of training will typically include but not be limited to any requirements under statutory legislation.

Heritage Minerals shall supply the provision of any information, training, instruction or Supervision that is necessary to protect all Workers from risks to their Health Safety Environmental and Quality arising from work carried out as part of the conduct of Heritage Minerals or undertaking shall be given. A Training Needs Analysis will be completed where required for all Heritage Minerals Operations.

The Heritage Minerals Training Matrix is maintained for all Workers involved in the Heritage Minerals Operations. The Training Matrix will follow the Heritage Minerals Training Matrix format. All Worker records will be maintained on the Training Matrix, kept up to date and reviewed on a monthly basis to ensure that all records are accurate and complete.

14 PROCEDURE REVIEW

14.1 3 Yearly Review

This Procedure may be reviewed from time to time by the Site Senior Executive or the HSEQ Team, a review shall be mandatory every 3 years or before according to changes or circumstantial needs. New Procedures may be introduced or amended should the Site Senior Executive or the HSEQ Team determine that it is needed and appropriate to do so. Updates of the Procedures will be made available. Procedures are to be read in conjunction with the references below. All Risks associated with this Procedure will be assessed and controlled in accordance with the Hierarchy of Control ISO 31000.

15 REFERENCE DOCUMENTS

15.1 Standards

Document Number:	Document Title:
ISO 14001:2015	Environmental Management Systems

15.2 EMS Management Plans

Document Number:	Document Title:
HM-MMM-ENV-PLN-001-R0A	Environmental Management Plan

15.3 EMS Policies

Document Number:	Document Title:
HM-MMM-ENV-POL-001-R0A	Environmental

15.4 EMS Procedures

Document Number:	Document Title:
HM-MMM-ENV-PRO-001-R0A	Legal Obligations Procedure
HM-MMM-ENV-PRO-002-R0A	Risk Management
HM-MMM-ENV-PRO-003-R0A	Objectives and Targets
HM-MMM-ENV-PRO-004-R0A	Monitoring and Measurement
HM-MMM-ENV-PRO-005-R0A	Dust and Air Management
HM-MMM-ENV-PRO-006-R0A	Waste Management
HM-MMM-ENV-PRO-007-R0A	Water Management
HM-MMM-ENV-PRO-008-R0A	Noise and Vibration
HM-MMM-ENV-PRO-009-R0A	Heritage and Cultural
HM-MMM-ENV-PRO-010-R0A	Hazardous Substances
HM-MMM-ENV-PRO-011-R0A	Flora Management
HM-MMM-ENV-PRO-012-R0A	Fauna Management
HM-MMM-ENV-PRO-013-R0A	Fire Management
HM-MMM-ENV-PRO-014-R0A	Consultation and Communication
HM-MMM-ENV-PRO-015-R0A	Audit and Inspection
HM-MMM-ENV-PRO-016-R0A	Management Review
HM-MMM-ENV-PRO-017-R0A	Emergency Management
HM-MMM-ENV-PRO-018-R0A	Stakeholder Consultation
HM-MMM-ENV-PRO-019-R0A	Document Control
HM-MMM-ENV-PRO-020-R0A	Procurement
HM-MMM-ENV-PRO-021-R0A	Soil Management
HM-MMM-ENV-PRO-022-R0A	Incident Reporting

15.5 EMS Registers

Document Number:	Document Title:
HM-MMM-HSE-REG-001-R0A	HSEQ Registers

15.6 EMS Forms

Document Number:	Document Title:
HM-MMM-ENV-FRM-001-R0A	Environmental Compliance Matrix
HM-MMM-ENV-FRM-002-R0A	Management Review Meeting
HM-MMM-ENV-FRM-003-R0A	Management System Audit
HM-MMM-ENV-FRM-004-R0A	Weed and Seed Declaration
HM-MMM-ENV-FRM-005-R0A	HSEQ Induction Questionnaire
HM-MMM-ENV-FRM-006-R0A	Pre-Start-Toolbox
HM-MMM-ENV-FRM-007-R0A	Contractor Evaluation
HM-MMM-ENV-FRM-008-R0A	EMP Review
HM-MMM-ENV-FRM-009-R0A	HSEQ Monthly Report
HM-MMM-ENV-FRM-010-R0A	Annual EA Audit
HM-MMM-ENV-FRM-011-R0A	Objectives and Targets Guideline
HM-MMM-ENV-FRM-012-R0A	Aspects and Impacts Guideline
HM-MMM-ENV-FRM-013-R0A	HSEQ Monthly Audit
HM-MMM-ENV-FRM-014-R0A	HSEQ Inspection
HM-MMM-ENV-FRM-015-R0A	Water Testing
HM-MMM-ENV-FRM-016-R0A	Erosion and Sediment Audit
HM-MMM-ENV-FRM-017-R0A	Corrective Action Plan
HM-MMM-ENV-FRM-018-R0A	Fauna Inspection
HM-MMM-ENV-FRM-019-R0A	Heritage Inspection
HM-MMM-ENV-FRM-020-R0A	Air Quality Inspection
HM-MMM-ENV-FRM-021-R0A	Waste Management
HM-MMM-ENV-FRM-022-R0A	Noise Audit
HM-MMM-ENV-FRM-023-R0A	Ground Disturbance Permit
HM-MMM-ENV-FRM-024-R0A	EMS Document List
HM-MMM-ENV-FRM-025-R0A	Environmental Risk Assessment
HM-MMM-ENV-FRM-026-R0A	Management Observation
HM-MMM-ENV-FRM-027-R0A	Emergency Contact
HM-MMM-ENV-FRM-028-R0A	Emergency Drill

HM-MMM-ENV-FRM-029-R0A	Incident Notification
HM-MMM-ENV-FRM-030-R0A	Vegetation Removal Permit
HM-MMM-ENV-FRM-031-R0A	SWMS
HM-MMM-ENV-FRM-032-R0A	JSEA
HM-MMM-ENV-FRM-033-R0A	Incident Investigation
HM-MMM-ENV-FRM-034-R0A	Chemical Risk Assessment