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		Document Owner:	OHS Manager
	INCIDENT/INJURY REPORTING AND INVESTIGATION PROCEDURE	Revision:	01
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INCIDENT/INJURY REPORTING AND INVESTIGATION PROCEDURE

TNCL-OHS-SOP-0002





STANDARD OPERATING PROCEDURE

INCIDENT/INJURY REPORTING AND INVESTIGATION PROCEDURE

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APPROVALS:

Title	Name	Signature	Date
Author	Dr. Kudra Said Mfaume		27/04/23
Chairperson Committee	Standard		27/04/2023
OHS Manager	Dr Kudra said		28/04/23
OH Lead			27/04/2023
Safety Lead	AKIDA WARIA		28/4/23
ERT Coordinator	HABIBU MSABICA		27/04/2023
Safety & Training Specialist	Fulgence Bizimabe		27/04/2023
Workers Representative	Beattha Kibaleca		27/04/2023
SHE Reps Geology	Jackline Baheti		27/04/2023
SHE Reps Engineering	Lawrence Kamukama		27/04/2023
Geologist	Ray Kohlsmith		27/04/23
Engineering Manager	Michael Mwanika		27/4/2023
General Manager			28/4/23



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1. PURPOSE

This procedure is required to ensure that an effective system is in place for reporting, recording, investigating, and implementing corrective action associated with all incidents and injuries.

The purpose of incident and injury reporting and investigation is:

- a) To assess in a systematic way, the potential of all incidents and injuries.
- b) To identify the immediate and underlying causes of all incidents and accidents so that appropriate action may be taken to prevent recurrence; and
- c) To satisfy legal obligations.

2. SCOPE

This procedure covers the requirements associated with the reporting, recording, investigating, and implementing corrective action of incidents and injuries.

This Procedure specifically addresses:

- a) Initial reporting
- b) Investigations procedures
- c) Delegation and recording of action items arising from investigation.
- d) Close out of reports

3. RESPONSIBILITY

3.1 General Manager

Ensure Departmental Heads/Managers are aware of this procedure and effectively support and adhere to this procedure. Ensure that Departmental Heads/Managers are aware of their responsibilities, regarding incident and injuries reporting and investigation, to ensure effective information flow and co-ordination of remedial actions.

Authorise any external statutory notification that may be required.

3.2 Departmental Heads/ Managers (and Contractor Equivalent)


Ensure that employees are adequately trained in the requirements of this procedure.

Co-ordinate incident/injury investigation teams as required by this procedure and define their terms of reference within the required timeframe.

Inform the General Manager and OHS Manager immediately of incidents/injuries rated at a **HIGH** along with any incident/injury which is reportable to external government departments as per Tanzanian Mining Regulations.

Ensure all corrective actions arising from Incident/Injury Investigations are effective to ensure risk of recurrence of events is minimised and ensure they are completed within a reasonably practical timeline.

Review incident/injury reports, initiate further investigations and/or recommend additional corrective action as considered necessary to reduce risk. Complete all necessary legislative forms as per the Tanzanian Mining Regulations (copies to OHS Department).

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Agree by signing off all incident/injury Investigation reports related to respective work areas and agree that the actions identified will reduce the risk of recurrence of the incident/injury.

3.3 Supervisors (or Contractor Equivalent)

Ensure employees are aware of this procedure and implement its requirements.

Notify the Departmental Heads/Managers of any incident/injury as per **section 4.2** (of any incident/injury rated at a **HIGH** immediately, **MEDIUM** before the end of the current shift and **LOW** within 12 hours).

Ensure that all incidents/injuries within their respective areas, are identified, reported, and investigated in accordance with this procedure.

Ensure that corrective actions are appropriate to reduce risk of recurrence of the incident/injury. Complete the paperwork in the correct manner and in compliance with time frame detailed in this procedure and follow the paperwork through to the sign off stage.

Ensure that the Incident/Injury Investigation Report paperwork is received by the OHS Department for recording.

Ensure follow up of corrective actions from mishaps within their area are implemented and completed in a timely manner and ensure feedback to the OHS Department.

3.4 OHS Manager (or Contractor Equivalent)

Provide support to Departmental Managers in setting up appropriate teams for investigation and follow-up of serious incidents/injuries with high loss potential.

Review incident/injury reports, initiate further investigations and/or recommend extra corrective action as considered necessary to reduce risk within the stated timeframe.

Ensure the General Manager is notified of any incident or accident that is rated at a HIGH or which is reportable to a Government Department.

Maintain files of original incident/injury reports and database in accordance with prevailing company and legal requirements.


Establish the training standards required by this procedure.

Record Incidents/Accidents/results on Investigations in the company agreed record information system.

3.5 All Employees (and Contractor Employees)

Report all incidents/injuries to their supervisors **immediately**.

Take immediate action to eliminate or reduce any further risk to people or equipment immediately following an incident.

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Complete Incident/Injury Investigation Reports correctly and discuss corrective actions with supervisor.

3.6 Contractors

Contractors for Tembo Nickel have the same roles and responsibilities as employees to initiate incident/injury reports and take part in investigations as per this procedure.

The same investigation format and reports **SHALL** be submitted to OHS Department. A joint incident/injury investigation and/or follow-up may take place at the discretion of Tembo Nickel Management.

4. ACTIONS AND METHODS

4.1 Reportable Events

All incidents/injuries are reportable according to this procedure. The Incident/Injury Report form is available.

4.2 Incident/Injury Investigation Report Form

The Incident/Injury Investigation Report form is available.


4.2.1 Incident/Injury Investigation Report Distribution

When an incident/injury investigation report is generated, it is required to follow a flow to ensure due process.

For LOW potential incidents/injuries the Departmental Head and OHS Department are to be notified by the end of shift (latest within 12 hours). The Supervisor shall investigate and submit the report on the prescribed form within 24 hours. All findings and corrective actions are to be reviewed by the Department Manager and discussed by the employee's supervisor with the employee within 7 days. Completed reports should be forwarded to the OHS Department for recording purposes within 48 hours of completion.

For MEDIUM potential Incidents/injuries the Departmental Manager and OHS Department are to be notified within 12 hours (preferably not later than the end of shift). The Supervisor shall establish an investigation team and investigate within 24 hours. The workplace should be barricaded off and left undisturbed until the investigation team has visited unless doing so poses further risk of injury. All findings and corrective actions are to be reviewed by the Department Manager and the OHS Manager and discussed by the employee's supervisor with the employee within 7 days. Completed reports should be forwarded to the OHS Department for recording purposes within 48 hours.

For HIGH potential Incidents/injuries the General Manager, Departmental Manager, OHS Department are to be notified immediately. The workplace must be barricaded off as far as practicable, till after a visit by the investigation team. The Department Manager shall establish an investigation team. All findings and corrective actions are to be reviewed by the Department Manager and OHS Manager, discussed by the employee's supervisor with the employee within 7 days.

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Completed preliminary reports should be forwarded to the OHS Department for recording purposes within 24 hours or preferably earlier. Completed investigation reports should be forwarded to the OHS Department for recording purposes and communication to the respective stakeholders within 7 days post incident.

4.3 Assessment of Incident/Accident Potential

The following matrix shall be used to assign a level for the potential of the incident/accident and appropriate reporting and investigation requirements.

4.3.1 Table 1 - Risk Rating Chart

Probability	Consequence			
	Catastrophic	Critical	Marginal	Minor
Frequent	HIGH	HIGH	MEDIUM	MEDIUM
Occasional	HIGH	MEDIUM	LOW	LOW
Rare	HIGH	MEDIUM	LOW	LOW

4.3.2 Qualitative Consequence


Catastrophic	Death, permanent disability, loss of system or plant.
Critical	Lost time, severe injury, medical aid, major system damage or other event which causes some loss of production.
Marginal	First aid case, minor system damage.

4.3.3 Qualitative Probability of Recurrence

Frequent	Likely to occur very often during the life of an individual item or system or in the operation of many similar items (3 or 4 times a month)
Occasional	Likely to occur several times during the life of an individual item or system or in the Operation of several similar items (1 or 2 times every 6 months)
Rare	Unlikely to occur (not usual in 12 months)

4.4 Guide to Investigation

4.4.1 The Investigation Process

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For all **HIGH Potential** and **MEDIUM Potential** investigations, the incident scene should be preserved by barricading it off and preventing entry until the scene has been visited by the investigation team.

The investigation process for incidents/injuries will involve some or all the following steps, depending on assessment of the potential:

- a) Internal and external notification of the incident/injury.
- b) Definition of terms of reference and appointment of investigators.
- c) Detailed investigation including inspections, interviews, etc.
- d) Causal analysis (ICAM)
- e) Recommendation for remedial action.
- f) Investigation report.
- g) Management review and endorsement of recommendations.
- h) Implementation of action items.
- i) Distribution of investigation findings.
- j) Follow-up and close out.

4.4.2 Immediate Response

Any person involved in or witnessing or identifying the potential for an injury/incident, must immediately initiate appropriate action to prevent consequential injury or loss at the incident/injury site. This must be followed up by verbal and written notification (Incident/Injury Investigation Report Form) of the circumstances to their immediate Supervisor.

All reported incidents/injuries must be investigated initially by the responsible supervisor. In each case the supervisor must ensure that an Incident/Injury Investigation Report Form is raised and that the relevant persons are advised.

4.4.3 Investigation Team


Persons carrying out investigations into incidents/injuries should use the **assistance** of the Safety personnel in completing the investigation and documentation.

HIGH Potential Incident

Requires an Investigation team to be established and should consist of the following persons, department involved or Contractor, but is not necessarily limited to this:

- a) General Manager
- b) Departmental Manager & Superintendent / Lead
- c) OHS Manager or OHS Specialist
- d) Technical Services staff (as required)
- e) Safety Officer
- f) Line Supervisors
- g) Governmental Agency / External Specialist (if applicable)

MEDIUM Potential Incident

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Requires an Investigation team to be established and should consist of the following persons, department, or agencies, but is not necessarily limited to this:

- a) Department Head / Manager
- b) Technical Services staff (as required)
- c) Safety Officer
- d) Line Supervisors
- e) Governmental Agency / External Specialist (if applicable)

LOW Potential Incident

Requires the Supervisor to complete an investigation with active participation from members of his crew.

Investigations should be based on the contributing factors to the incident/injury, such as:

- a) What was the environment at the time of the incident/injury?
- b) What personal factors were involved in the incident/injury?
- c) What operation methods were used or not used during the incident/injury?
- d) What materials were used during the incident/injury?
- e) What skill levels were required?
- f) What Supervision was provided?
- g) What Engineering controls were in place?
- h) Were procedures followed?
- i) Were procedures adequate?

4.4.4 Investigation by Outside Agencies

If outside agencies decide to conduct and manage their own investigation, a contact person will be nominated to liaise with the agency and to assist in assembling the information required. Notwithstanding the involvement of outside agencies, Tembo Nickel Personnel shall carry out their own investigation into the incident/injury.

4.4.5 Recommendations


The ultimate objective of the investigation is to initiate any action which may be required to prevent further incident/injury. It follows that there should be at least one recommendation addressed to each identified contributing factor.

Recommendations should be:

Actionable: Action description must be sufficiently defined to enable unambiguous implementation. The party responsible for the action must be specified.

Achievable: Actions must be feasible and reduce risk of recurrence, and reasonably practical deadlines set for implementation.

Appropriate: Actions must be proportional to the incident/accident posed and must act on a causal factor. (For example, "counseled employee" as a sole action is unacceptable in such

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cases, all workers in the area should be included in a discussion or “counseling” regarding the incident/injury and the future prevention of similar incident/injuries.)

4.4.6 Requirements for Formal Reports

All formal reports will be retained on file by the OHS Department and shall contain the following:

- a) Report Summary.
- b) Investigation Team and Terms of Reference.
- c) Description of Incident/Injury.
- d) Sequence of Events.
- e) Investigation Results and Cause Analysis.
- f) Recommendations on Corrective and Preventative Actions.
- g) Appendices:
 - i. Incident/Injury Report Form
 - ii. Witness(es) Statements (if necessary)
 - iii. Photographs (if taken)
 - iv. Other Relevant Documents

4.5 Implementation of Recommendations

Review of both investigation report and implementation of recommended actions must be formalised with an agreed time schedule to ensure effective follow-up. Appropriate resources must be made available for timely completion of action items.

4.5.1 Corrective Action Follow Ups


All corrective actions and recommendations are recorded in the Excel database for now until we have a designated OHS information management system. Regular reminders will be sent to persons assigned to complete actions. These must be signed off by the assignee or delegate once completed and returned to OHS Department for recording.

5. RECORDS

Recording and keeping of all Incident/Injury Investigation Reports, along with other relevant documents is undertaken by the OHS Department.

All Incident/Injury Investigation Reports will be analyzed for recording and follow-up on; -

- a) Incident/Injury Details
- b) Persons Involved
- c) Supervisors Names
- d) Department or Company involved.
- e) Injuries Sustained
- f) Corrective Actions follow up.
- g) Area incident/injury Occurred.
- h) Investigation outcomes
- i) Sign off.
- j) Classifications

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6. REPORTING

6.1 Internal Reporting

The OHS Department is responsible for the correct recording of incident/injury numbers and production of a brief section to be included within their respective Monthly reports.

6.2 External Reporting

A summary of incidents/injuries will be included within the monthly, quarterly, and annual reports.

7. DETERMINING WORK RELATED:

Work relationship is established when an injury or illness results from an event or exposure in the work environment. The work environment is primarily composed of:

- a) Tembo nickel Operations, Country office and Exploration premises, or
- b) Locations where workers are engaged in work related activities or are present as a condition of employment.

When injuries or illnesses occur off Tembo Nickel property, work relationship must be established.

The following are work related criteria:

Worker, contractor, vendor, or supplier is on Tembo Nickel property and engaged in work or a work-related activity. On Tembo nickel property is defined by a point-of-control such as a gate or other access points which generally excludes the public.

The following are non-work-related criteria:

Death from natural causes.

An injury or illness that occurs while a worker is traveling to/from work as part of their normal commuting except when within the point-of-control.

Worker is attending or participating in a work-related function on a voluntary basis.

Worker is in travel status as part of the job/work requirement.


The following are not work related:

- Normal living activities (i.e., eating, sleeping, taking shower, recreation.)
- Deviations from a reasonably direct route of travel (site trip for vacation or other personal reasons.)

8. IMMEDIATELY REPORTABLE INCIDENTS:

Any incident that is immediately reportable to a government jurisdiction must also be immediately reported to Tembo Nickel Management. Examples of incidents that must be reported immediately include:

- a) A death of an individual on site
- b) An injury to an individual, which has reasonable potential to cause death.
- c) An entrapment of an individual on site.
- d) An unplanned inundation by a liquid or gas.
- e) An unplanned fire on site not extinguished in 30 minutes.

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- f) An unplanned ignition or explosion on site.
- g) An unplanned roof fall or wall failure at or beyond the anchorage zone in active mine workings where rock bolts are in use, or an unplanned roof or wall failure that impairs ventilation or impedes passage.
- h) A rock burst that causes withdrawal or evacuation of workers.
- i) Any event on a site that affects persons away from the mine site.

9. SPECIFIC DEFINITIONS

9.1 INCIDENT INVESTIGATION:

A determination by one or more qualified persons of the significant facts and background information relating to an incident, based, in part, upon statements taken from involved persons or witnesses and inspection of the incident scene, vehicles, machinery, or equipment involved. The result of an incident investigation is the determination of the root cause(s) of the incident and the formulation of recommendations to prevent the recurrence of this or similar incidents.

9.2 DAMAGE COSTS:

The cost of repairing/replacing damaged equipment, property, material, facilities, or the environment. These costs may be estimated for initial reporting and then updated when more accurate data is available. Damage costs include:

- a) direct material, labour and equipment costs associated with repairing or replacing the damaged equipment/material.
- b) direct material, labour and equipment costs associated with the removal of damaged equipment/material.
- c) the cost of temporary or interim facilities including rental equipment required while repair of damaged items is under way; and,
- d) Administrative overhead costs associated with the incident and its subsequent investigation, i.e., the cost of special investigation teams.


Damage costs do not include:

- a) The cost of improvements made above and beyond the original specification/scope of the material, equipment, or property (i.e., stainless steel replacing carbon steel).
- b) Opportune maintenance costs.
- c) Business related costs resulting directly or indirectly from the incident; or
- d) Cost of production loss. (These will be reported as indirect costs.)

9.3 FREQUENCY:

The Frequency of an incident is a subjective measure of how often an incident of a given type occurs, as determined by the individual responsible for that area.

- a) REMOTE – Not expected to occur during life of mine.
- b) UNLIKELY – May occur at more than 10 years.
- c) POSSIBLE – May occur between 5 and 10 years.
- d) LIKELY – May occur between 1 and 5 years.
- e) CERTAIN - has occurred or may occur annually.

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9.4 HIGH POTENTIAL INCIDENTS (HPI):

Any near-miss or undesired event involving an uncontrolled release of energy, or loss of control, that has the potential for a reasonable consequence of:

- a) single or multiple fatality, irreversible health effects,
- b) damage to a facility, structure, or equipment of significant cost to recover.

9.5 IMMEDIATE CAUSES:

Immediate Causes are the substandard practices and/or conditions that immediately precede the incident.

9.6 INCIDENT:

An incident is an undesired event which could have resulted (NEAR MISS) or resulted in harm to people, damage to property, degradation to the environment, or loss to planned production (INCIDENT).

9.7 INCIDENT CLASSIFICATION:

The classification of actual or potential loss experienced as a result of an incident or occupational illness. Below are the classifications,

9.8 INJURY (OCCUPATIONAL):

Any injury, such as a laceration, fracture, sprain, amputation, etc., which results from a work-related incident or exposure involving a single incident in the work environment.

9.9 ILLNESS (OCCUPATIONAL):

Any abnormal condition or disorder, other than one resulting from an occupational injury, caused by exposure to environmental factors associated with employment. It includes acute and chronic illnesses or diseases which may be caused by inhalation, absorption, ingestion, or direct contact. This also may include disorders associated with repeated trauma.

9.10 DAMAGE:


Any reduction of the value or usefulness of equipment, material, facilities or property that results from an unplanned or unexpected event.

9.11 PRODUCTION LOSS:

Reduction of the planned production of a piece of equipment, process unit or mining area.

9.12 INJURY/ILLNESS CLASSIFICATION:

Tembo Nickel has four classifications to describe the types of injuries and illnesses, as defined below:

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9.13 LOST TIME (LTI):

A Lost Time Injury (LTI) is a work-related injury resulting in the employee/contractor being unable to attend work on the next calendar day after the day of the injury. This does not include time required for transportation to medical support for observation or diagnosis.

9.14 RESTRICTED DUTY INJURY (RDI)

Any occupational injury or illness that results in a person being deemed unfit for their normal duties but deemed fit for restricted duties by a medical practitioner. Restricted duties being duties that are conducted at a Tembo Nickel facility that meets a valid business need. This does not include time required for transportation to medical support for observation or diagnosis. The number of restricted workdays does not include the day of the injury.

9.15 MEDICAL TREATMENT INJURY (MTI):

Any occupational injury or occupational illness that requires medical treatment administered by a physician or by registered medical personnel.

*Specifics on medical treatments would be summarized in an Appendix.

9.16 FIRST AID CASE (FAC):

Any occupational injury or occupational illness that results in first aid treatment or observation that does not meet the criteria for medical treatment.

9.17 INCIDENT REPORT FORM:

A standard Tembo Nickel form that is used to record pertinent information regarding all incidents. The information collected on the form provides a summary of the initial investigation of the incident.

9.18 NEAR MISS:


An incident, which under slightly different circumstances, could have resulted in harm to people, environment, damage to property, loss to production.

9.19 POINT OF CONTROL:

A point where property boundary, gate, security checkpoint, fence or other means separates the company from the public domain. Inside point of control indicates that Tembo Nickel is responsible for and controls roads, walkways, traffic, maintenance, etc. Outside the point of control indicates that the local jurisdiction is responsible for those items mentioned above.

9.20 ROOT CAUSES:

Root Causes are the system failures that result in incidents.

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9.21 SEVERITY:

The Severity of an incident is a measurement of the seriousness or the criticality of the incident. Severity is identified as LOW, MEDIUM, or HIGH.

10. SUPPORTING DOCUMENTS

- a) Incident Report Form
- b) Investigation Report Form
- c) ICAM Investigation report Template
- d) OHS Management System Manual
- e) Injury Classification – Quick Reference

11. SYSTEMS EVALUATION

This procedure shall be reviewed by members of the OHS Department and Standards Committee at least annually or earlier depending on business need.

12. DISTRIBUTION

List physical locations which require a controlled copy of this document.


Table 2

Copy	Controlled Document Folder Location
Master	Controlled Documents Central Filing System

13. REASON FOR CHANGE

Table: 3

A	As a result of incidents	F	Change in training requirements
B	As a result of the audit findings	G	Results of risk assessments
C	New / changes in governance documents	H	Change due to spelling or grammatical error
D	Changes in legislation	I	New document format
E	Changes in technology	J	To integrate special instruction into the document control system

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14. HISTORY OF CHANGE

Table: 4

Date of change	Revised Item (Paragraph number reference if required)	Reason Code	Name of reviewer

15. RECORD CONTROL

Table: 5

Identification	Reference number	Responsible for maintenance	Responsible for filing	Location of storage area	Retention period	Method of disposal
Contractor Management	Document controller	Standards Committee	Document controller	SHE Managers office	Hard copy two years	Hard copy shared file electronic

16. APPENDIX


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		Approval Date	11th April 2023

Table 6: Declaration

I hereby declare that I have taken part in the discussion of this procedure, and I understand its contents and do commit that I shall ensure compliance hereto:

	Name and Surname	Company Number	Designation / Role	Signature	Date Signed
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					