
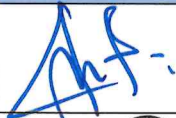




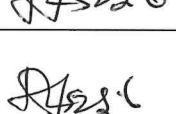
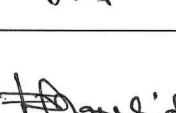
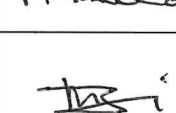
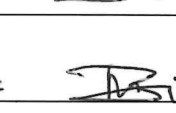

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RISK ASSESSMENT PROCEDURE

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1. PURPOSE

This procedure provides information on the utilization of TNCLs 'Physical Risk Assessment Tool, System Assessment Tool, and Safety Cost Justification Tool' and the Hazard Identification and Risk Management Process.

2. SCOPE

This procedure shall apply to all TNCL personnel, contractors, and subcontractors working for TNCL.


3. DEFINITIONS

Physical Risks: Hazards that have a physical effect on the human body or any other object. These include:

- a) Fire and Explosions
- b) Thermal (hot or cold)
- c) Noise and Vibration
- d) Pressure from vessels or burst pipes.
- e) Gravitational
- f) Physical Ergonomics and Manual Handling; and
- g) Lighting.

Table: 1

Term	Description
System Risks	Hazards that exist within processes or procedures adopted and operated by an organization
Risk:	The product of the degree of harm a hazard could cause. In TNCL's basic risk assessment system it is measured by considering the consequence and likelihood.
Hazard:	A source of unwanted or excess energy with the capacity to cause damage, loss, or injury. Hazards can be classified as follows:
Physical	As described above
System	As described above
Chemical	Through contact with, ingestion of, or inhalation of solids liquids, or gases
Biological	Through the effects of illness or infection from micro-organisms and animals
Radiation	Through ionizing radiation (from alpha, beta, gamma radiation, or x-rays) and non-ionizing radiation
Electrical	Through contact with a static or dynamic current
Mechanical	Through physical impacts, crushes, cuts lacerations, etc.; and
Psychological	Through stress, harassment, low self-esteem, workload, boredom, etc

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Consequence:	The outcome of an event or situation is usually expressed as a loss, injury, disadvantage, or gain.
Likelihood:	A qualitative (using words) description of the probability, frequency, or exposure of an event or occurrence
Frequency:	A qualitative (using words) measure of how often an event or occurrence takes place.
Exposure:	A quantitative (numerical) measure of how often an event or occurrence takes place
Probability:	A qualitative (using words) measure of the likelihood of an event or occurrence taking place.

4. ROLES AND RESPONSIBILITIES

Chief Operating Officer: has the responsibility to ensure that the TNCL Risk Management programs and tools are implemented within all areas of TNCL business and that Risk Assessment is an integral part of the decision-making process with adequate time and resources being made available to allow effective implementation of this procedure.

General Managers: have the responsibility to ensure effective use of this procedure to ensure hazards are identified; risks assessed, and risk mitigation measures are implemented in areas under their control. Sustaining Project Managers have the responsibility to ensure effective use of this procedure to ensure hazards are identified; risks assessed, and risk mitigation measures are implemented as part of the “Project Management in Action” (PMiA).

OHS Manager: is responsible for maintenance, interpretation, and updates for this procedure.


Site Management and Supervisors must:

Ensure all workers are trained and resources are provided to implement this procedure. be competent in the use and application of this procedure monitor and ensure compliance with the requirements stated in this procedure.

Formal Risk Assessment Facilitators: are responsible for facilitating risk assessments (where trained and capable), participating in the risk assessments, checking the status of completed actions through regular auditing, and providing feedback to management on the effectiveness of this process.

Workers (including Managers, Supervisors, and technical personnel) are responsible for participating in the risk assessment process when invited to be a Risk Assessment team member.

External Stakeholders (such as consultants, contractors, or local community members) may participate in risk assessments when their participation is deemed to positively contribute to the Risk Assessment results.

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5. PROCESS

5.1 SCOPING THE ASSESSMENT

Prior to the formal risk assessment commencing, a plan must be developed in order to determine the context and boundaries of the assessment. This will describe the “what”, “who”, “how”, “why”, “when” and “where”. This is the **scope** of the assessment, and it will vary in accordance with the size and scale of the risk assessment.

The scoping session should be conducted by the Facilitator with the person/s responsible for the operation/project/function or requesting the risk assessment (i.e., the “Sponsor”).

The scope must include the identification and description of the following:

- a) the background and drivers for the risk assessment.
- b) the risk assessment objectives and risk statements.
- c) the operation/project/function / specific activities to be evaluated.
- d) the type of Hazard / Aspect / Threat of unwanted events to be considered if the scope is to be restricted, otherwise all must be included.
- e) the “mandate”, including the cut-off level of tolerable risk.
- f) the time estimate / allocated for the assessment.
- g) risk assessment facility requirements – venue size and equipment;
- h) the scope and deadline for the presentation of the team findings and recommendations;
- i) nominated Team members (including any technical expertise, external consultants, etc); and
- j) the name of the appointed Risk Assessment Team Leader (may be the Facilitator)

5.2 PRE-RISK ASSESSMENT REVIEW

Selecting the Team


The team selected for the Risk Assessment must be “fit for purpose”. Teams assembled for specific/focused risk assessments should comprise a blend of the following:

- a) operational (e.g. operators, maintenance technicians) personnel;
- b) technical (e.g. mining engineers, geotechnical) personnel;
- c) functional (e.g. finance, community affairs, security, legal) personnel
- d) management (e.g. supervisor, area manager/ superintendent); and
- e) External stakeholders (as appropriate).

Teams focused on functional or process issues should consider having members representing “touch points” or “customers” of the process or function.

Team members should have both knowledge and experience of the Hazard / Aspect / Threats associated with the objective/work area that is the subject of the assessment.

The Team should comprise not less than 4 or more than 10 persons, with 6 to 8 being ideal. A trained Facilitator must be used to guide the Team through the risk assessment process. It is recommended that the Sponsor consults with either the Senior Manager for Operations Risk

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and Change Management or the Operational Risk Advisor where the risk assessment is of a sensitive or highly technical nature to ensure that the most appropriate person(s) is identified to act as the Facilitator.

One member of the Team must be designated as Team Leader (it may be the Facilitator). This person will act as the liaison between the Sponsor and the Team and be responsible for ensuring the final report of findings is provided on time.

Team Members must be able to commit themselves “full-time” to the risk assessment timetable. This ensures that disruptions of people coming and going are kept to a minimum and that all members of the Team have a common level of understanding of the various issues being considered during the risk assessment.

Administrative Requirements

The formal part of the risk assessment is usually best undertaken in an area away from the workplace (e.g. training room, board room, etc.) where distractions can be minimised. The room must have basic facilities such as a data projector and materials for recording the assessment (flip charts, whiteboards, etc.).

Accurate recording of the risk assessment is essential. Direct entry into a computer using the Risk Assessment Record form will save considerable time in preparing the final report. The use of a data projector linked to the input computer allows all team members to view the assessment record as it evolves, improving participation and expediting the debate and data collection.

**Team Briefing
Introduction**


The Facilitator will initiate the assessment process by reviewing the scope of the risk assessment and confirming it is fully understood by the Team members. The expectations of the Sponsor should also be clearly explained and any amendments to the scope noted for approval by the Sponsor.

The roles of the Team Members, Team Leader, and Facilitator should be explained. The method to be used should then be discussed in as much detail as is needed for the team members to reach a common understanding of the process.

Team Roles

The roles of the various persons involved in the Risk Assessment Team are as follows:

1. Role of the **Team Member** is to:
 - a) input skills and experience into the risk assessment exercise;
 - b) understand the issue under review and the potential and actual threats;

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- c) have some understanding of what current controls are in place to prevent unwanted events and how effective they are; and
- d) actively contribute their knowledge to achieve a successful outcome

2. Role of the **Team Leader** is to:

- a) act as the Sponsor liaison;
- b) provide support to the Facilitator;
- c) make any logistical arrangements;
- d) help resolve any conflicts within the Team;
- e) ensure the final results of the risk assessment are communicated to the Sponsor per the agreed scope; and
- f) Assist the Sponsor in the review of the risk assessment results.

3. Role of the **Facilitator** is to:

- a) set up the assessment based on the original scoping document;
- b) introduce the team to the scope and risk assessment methodology;
- c) keep the process on track throughout the exercise;
- d) promote creative thinking in determining applicable controls;
- e) guide the Team through the exercise;
- f) resolve any conflicts within the Team;
- g) help reach consensus, where required;
- h) ensure the objectives are achieved within a specified time; and
- i) Highlight issues of significant difference in opinion – for further evaluation.

5.3 Record Hazard / Aspect /or Threat


Identify and list in the next column all the possible threats, hazards, or aspects associated with the individual activities, sections, components, or steps. Be aware of two types to look for:

Active hazards/aspects/threats are those associated with actually undertaking or performing a process, project, or task.

Passive hazards/aspects/threats are those that may occur as a result of not undertaking or performing a process, project, or task properly or not at all. These normally impact someone else at a later time. These are often “system” or procedural failures. It is important to note that external threats are generally passive in that they may be unexpected actions of outside parties, inadequate management of an issue, or “Acts of God”.

Record Unwanted Events

For each hazard/aspect/threat identified, the Team should list any unwanted events that can possibly occur in the appropriate column.

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When discussing potential unwanted events, important questions to ask are:

- a) “Can a failure of a single component of a machine or item of equipment or facility, or inadequate equipment/facility itself result in an unwanted event (e.g. brake/ steering failure, the wrong type of equipment, containment failure, etc.)?”
- b) “Can human error or people ‘failure’ result in an unwanted event (e.g. failing to comply with procedures, rules, etc.)?”
- c) “Can a system or procedure failure result in an unwanted event (e.g. inadequate training/ supervision/planning/ inspection/ documentation etc.)?”
- d) “Can adverse physical environmental conditions result in an unwanted event (e.g. poor visibility, inadequate lighting, ventilation, heavy rainfall, etc.)?”
- e) “Can complex operating environment conditions result in unwanted events (e.g. multiple legal or statutory jurisdictions, new equipment, technical transactions, very specialized activities, high reliance on rare and specific skill sets etc)”

It is **not essential** that every hazard/aspect/threat or resulting unwanted event be identified for a successful risk assessment. The focus should always be on those that will prevent the desired outcome of the objective/task being assessed; this may result in exclusions based on the ability to impact the desired outcome. It is crucial that all the hazards/aspects/threats that have a negative impact on the achievement of the objective/task be identified.


Those hazards/aspects/threats that have a low impact on the achievement of the objective/task but have a high frequency/likelihood should also be recorded and analyzed for the cumulative impact that they may have.

Record Life of Mine Threat

There are unwanted events that may be relevant across multiple stages of an operation’s life. To ensure that these are recognised and managed at the earliest opportunity unwanted events should be analysed and categorised as to their applicability for the various phases of an operation – Exploration, Study, Construction, Operations, and Closure. The outcome of the analysis should be recorded in the appropriate column. For example: an unwanted event resulting from an environmental aspect during the design phase may not have an impact during the operational phase but may have an impact during the closure phase which must be considered during the remainder of the risk assessment process.

Record Contributing Factors

Circumstances affecting the severity of an unwanted event or how likely it is to occur can be different depending on different factors. Determination of contributing factors leads to a better understanding of the threats and will increase the quality and innovation applied to the analysis of the preventative controls during the remainder of the risk assessment.

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5.4 Hazard Identification


Hazard identification is a critical step in the management of risk and no hazard should be excluded from the process. Hazard identification may include, but should not be limited to the following:

- Audits, Internal and External Audits, and Inspections
- Incident / Accident and Occurrence Reports
- Job Hazard Analysis, Five Point Safety Checks or Task Observations
- Internal or External Physical or other Risk Surveys
- Analysis of specific Risks such as Manual Handling
- Communication sessions like Safety Meetings or Toolbox Talks
- Normal performance of Work Tasks; and
- Analysis of new or modified Plant, Equipment, or Materials.
- Identified hazards should be 'Risk Assessed' and recorded by the OHS Department.
- Pre-job safety declaration.

Table: 2

RISK RATING MATRIX							
LIKELIHOOD RATING	Almost Certain - The event will occur 90%-100% Probability	A	L ₁₈	M ₁₁	H ₆	H ₃	H ₁
	Expected - The event will probably occur in most circumstances 55%-90% Probability	B	L ₂₀	M ₁₄	M ₁₀	H ₄	H ₂
	Likely - The event could occur at some time 30 %-55% Probability	C	L ₂₂	L ₁₉	M ₁₂	H ₇	H ₅
	Unlikely - The event may occur at some time 5 - 30% Probability	D	L ₂₄	L ₂₁	M ₁₅	M ₁₃	H ₈
	Rare - The event may occur only in exceptional circumstances < 5% Probability	E	L ₂₅	L ₂₃	M ₁₇	M ₁₆	H ₉
SEVERITY RATING			1	2	3	4	5
Revenue - Production Variance to budget (i.e. AU -oz NRCU - lb, etc.)			< 1%	1-2%	2 - 5%	5 - 10%	> 10%
Cost - Variance to budget			< 1%	1-2%	2 - 5%	5 - 10%	> 10%
Safety & Health			Minor injury or minor reversible health effects of no concern	Medical Treatment case or reversible health effect of concern, no disability	Lost time injury/illness or severe, reversible health effect resulting from acute, short term exposure or progressive chronic condition, infectious disease	Single Fatality or Permanent Disability or exposures resulting in irreversible health effect of concern	Multiple fatalities or Health effects resulting in multiple disabling illness leading to early mortality
Environment			Limited environmental impact / no regulatory reporting / minor closure delays of 1-2 years.	Minor on-site environmental impact / reportable to regulators / closure delays of 3-6 years.	Moderate environmental impacts / extends beyond site boundary / regulatory violations with fines / significant closure delays of 6-10 years.	Serious medium term environmental impacts / major regulatory violations / long term closure impacts of > 10 years.	Severe long term environmental impacts / severe breach of regulations with operation suspended / closure severely impacted.
Stakeholder Relations & Reputation			No impact on stakeholder confidence in management of the company	Limited impact on stakeholder confidence in management of the company	Medium impact on stakeholder confidence in management of company	High impact on stakeholder confidence in management of company	Loss of stakeholder confidence in management of company

To carry out a physical risk assessment the following tool is utilised:

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Residual Risk Level & Ranking

For each category of Impact identified, record the risk level and ranking.

Using the recorded severity and likelihood value of each category of Impact, the corresponding **number** (1 – 5 for severity) and **letter** (A – E for likelihood) can be transposed onto the vertical and horizontal scales of the “Risk Matrix” (Appendix F) and the level of **risk** determined at the intersection point.

- a) The corresponding letter (H, M, L) for the level of risk is entered into the risk level column of the Residual Risk section of the Risk Assessment Record Form.
- b) The corresponding letter (1 - 25) for the risk ranking is entered into the residual risk rank column of the Residual Risk section of the Risk Assessment Record Form.

Note: The Risk Assessment Record sheet template automatically computes the Residual Risk level/Rank and enters the value into the appropriate field once the Likelihood and Severity ratings have been entered.

The ‘TNCL Physical Risk Assessment Tool’ is designed to be used at two different levels:

- a) As a basic risk assessment, and
- b) As a detailed risk assessment

The basic risk assessment is designed for general usage by all TNCL employees or contractors and should be utilized in situations where it may be difficult to quantify the levels of exposure or risk to a physical hazard. The detailed risk assessment takes into consideration the probability and exposure to a physical hazard and has been designed for use mainly by Safety Professionals, Management Team Members, or Safety Representatives.

The outcome of the physical risk assessment is a physical risk score and ranking that can be used to prioritize identified or potential physical risks (Note that all risks should always, where appropriate, be addressed according to their risk score and ranking. The higher the score or rank the greater their priority).

Likelihood rating

To carry out a basic physical risk assessment the following steps are required.

1. Determine the most likely or typical ‘Consequence’ that could result from exposure to the physical hazard. These are selected from the following list:


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Table: 3

LIKELIHOOD RATING	Almost Certain - The event will occur	90%-100% Probability	A
	Expected - The event will probably occur in most circumstances	55%-90% Probability	B
	Likely - The event could occur at some time	30 %-55% Probability	C
	Unlikely - The event may occur at some time	5 - 30% Probability	D
	Rare - The event may occur only in exceptional circumstances	< 5% Probability	E

Once a ‘**Risk Ranking**’ has been determined a decision will need to be made as to what to do about the physical risk. Acceptability of a physical risk depends on the ‘value judgments’ of individuals, groups, workplaces, industries, and the community.

Severity Rating

For each category of Impact identified predict the severity of the unwanted event. The severity rating can be considered as the “most credible severe outcome” which can reasonably be expected, should the unwanted event occur.


5.5 Physical Risk Assessment

A physical risk assessment involves the analysis of a physical hazard (See Definitions). The process involves identifying the most likely consequences that may result from a physical hazard and the likelihood that a sequence of events possibly could, or already has, lead to an outcome. Initial risk assessments should not take into account any existing safety management methods, control methods, technical systems, or procedures as these will occur later.

The likelihood of an event and the magnitude of the consequences are evaluated to give a physical risk assessment ranking which can be utilized to prioritize the risk and evaluate control or monitoring requirements.

Estimate how often people are exposed to the physical hazard.

Estimate the ‘Probability’ of the event once exposure to the physical hazard occurs. (Refer to The matrix section 5.4)

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5.6 Physical Risk Control

The physical risk control step is where the 'Risk Control Options' are considered. Recommendations for corrective actions shall be managed in accordance with the 'Hierarchy of Controls'. The 'Hierarchy of Control' choices is as follows:

Table: 4

HIERARCHY OF CONTROLS	
Elimination	Remove the hazard from the workplace
Substitution	Replace the material or process with something less hazardous
Engineering	Redesign the hazard or hazardous process
Separation	Isolate or guard the person from the process
Administrative	Provide training, procedures, job rotation, etc.
Personal Protective Equipment (PPE)	Utilise appropriate PPE where other controls are not practicable

Control options can be selected individually or as a combination and their selection should be made on the basis of the greatest impact for the level of risk being evaluated and considered. Corrective actions need to be practical and fit both the short and long-term resources and requirements of the TNCL operation.

6. REVIEW AND MONITORING


Hazard identification, risk assessment, and control an ongoing processes. Therefore, regularly review the effectiveness of risk assessment and control measures at least every 2 years, to ensure that TNCL undertakes a hazard and risk assessment when there is a change to the workplace including when work systems, tools, machinery, or equipment change.

TNCL considers and provides additional supervision when new employees with reduced skill levels or knowledge are introduced to the workplace. The effectiveness of control measures can be checked through regular reviews as well as consultation with workers.

Maintaining records of the risk management process assists when undertaking subsequent reviews or risk assessments as it demonstrates decision-making processes and informs how controls were intended to be implemented.

7. RISK REGISTER

A baseline risk assessment log of all the risks recorded on a system is referred to as a Risk Register. Safety Department is responsible for maintaining this register, ensuring the risk information it contains is up-to-date and review dates have not expired

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8. REFERENCES

Table: 5

Standard / Doc #	Title	Clause	Section
BS EN ISO 45001	OHS management system requirements	6.1.2	6.1.2
BS EN ISO 45002-1	Guidance on managing occupational health	6.2.1	6.1.2
TNCL-OHS-PLN-0004	Fatigue Management Plan	-	General
TNCL-OHS-SOP-0008	Hazard Identification and Control Procedure	-	General
TNCL-OHS-PLN-0001	Emergency & Crisis Management Plan	-	General
TNCL-OHS-POL-0002	Alcohol & Other Drugs Policy	-	General
TNCL-OHS-POL-0003	Health and Safety Requirements for Contractors	-	General
TNCL-OHS-FRM-0029	Job Safety Analysis Process	-	General
TNCL-OHS-FRM-0048	Management of Change Procedure	-	General
TNCL-OHS-FRM-0005	Request for Change & Function Area Review	-	General

9. SYSTEM EVALUATION

This procedure shall be reviewed at least two yearly by members of the OHS department and Management and or when required as part of internal and external audits. The TNCL Document Controller will monitor compliance with the document control system on a going basis.

10. DISTRIBUTION

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


Table: 6

Copy	Controlled Document Folder Location
Master	Controlled Documents Central Filing System

11. REASONS FOR CHANGE

Table 7


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. APPENDIX 1 - Risk Register

Table: 10

Site: TNCL - Kabanga		Location / Work Area: GEOLOGY		Facilitator: Akida Waria		Document No: TNCL-OHS-SOP-0032 Document Owner: OHS Manager Revision: 00 Issue Date: 14-07-2023		Review Date: 07.07. 2023						
Activity / Step / Area or Category	Hazard/ Aspect or Threat	Unwanted Event	Life of Mine	Existing Controls and Contributing Factors					Impact Categories	Residual Risk	Recommended Action (Improve existing controls / implement new controls)	Potential Revised Risk		
				Factors contributing to unwanted event / Contextual information / Storybook	Current Controls	Type of Control	Frequency	Severity					Probability	List Reasons "Why" the Controls Are or Not Effective
	Stored Energy	Injury, Property damage; Production loss; Financial loss; Possible legal liability;	H N T Y H	<p>The following may contribute to an unwanted event:</p> <ol style="list-style-type: none"> Inadequate training Inadequate experience/knowledge Inadequate supervision 	<ol style="list-style-type: none"> FLRA VFL JSA SOP's P10 PPEWearing Training & Competence Supervision Equipment Inspection Machine Guard <p>Standard Procedure TNCL-OHS-SOP-0009 TNCL-OHS-SOP-0020 TNCL-OHS-FRH-0007</p>	Maintenance Engineering	FPE	E	E	Low	Safety and Health	A C 2 L H	Maintain Current Control	C 2 L H
	Struck by	Injury, Property damage; Production loss; Financial loss; Possible legal liability;	H N T Y H	<p>The following may contribute to an unwanted event:</p> <ol style="list-style-type: none"> Inadequate training Inadequate experience/knowledge Inadequate supervision Inadequate Maintenance 	<ol style="list-style-type: none"> FLRA VFL JSA P10 SOP's PPEWearing Training Supervision House-keeping Machine Guard Assessment <p>Standard Procedure TNCL-OHS-SOP-0009 TNCL-OHS-SOP-0020 TNCL-OHS-FRH-0007</p>	Maintenance Engineering	FPE	E	E	Low	Safety and Health	A C 2 L H	Maintain Current Control	C 2 L H
1. SAMPLE PACKAGING														
1. Sealing sample bags; 2. Nitrogen filling / bag sealing 3. Sample loading on the truck 3. Transporting Samples	Stored Energy	Injury, Property damage; Production loss; Financial loss; Possible legal liability;	H N T Y H	<p>The following may contribute to an unwanted event:</p> <ol style="list-style-type: none"> Inadequate training Inadequate experience/knowledge Inadequate supervision 	<ol style="list-style-type: none"> FLRA VFL JSA SOP's P10 PPEWearing Training & Competence Supervision Equipment Inspection Machine Guard <p>Standard Procedure TNCL-OHS-SOP-0009 TNCL-OHS-SOP-0020 TNCL-OHS-FRH-0007</p>	Maintenance Engineering	FPE	E	E	Low	Safety and Health	A C 2 L H	Maintain Current Control	C 2 L H
	Struck by	Injury, Property damage; Production loss; Financial loss; Possible legal liability;	H N T Y H	<p>The following may contribute to an unwanted event:</p> <ol style="list-style-type: none"> Inadequate training Inadequate experience/knowledge Inadequate supervision Inadequate Maintenance 	<ol style="list-style-type: none"> FLRA VFL JSA P10 SOP's PPEWearing Training Supervision House-keeping Machine Guard Assessment <p>Standard Procedure TNCL-OHS-SOP-0009 TNCL-OHS-SOP-0020 TNCL-OHS-FRH-0007</p>	Maintenance Engineering	FPE	E	E	Low	Safety and Health	A C 2 L H	Maintain Current Control	C 2 L H

	STANDARD OPERATING PROCEDURE	Document No:	TNCL-OHS-SOP-0032
		Document owner	OHS Manager
	RISK ASSESSMENT PROCEDURE	Revision	00
		Approve Date	25 th July 2023

15. Appendix 2 - 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:

Table 11:

	Name and Surname	Company Number	Designation / Role	Signature	Date Signed
1.					
2.					
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