


| <b>1 Company</b> |  |  |  |          |
|------------------|--|--|--|----------|
| <b>#</b>         | <b>Requirement</b>                               | <b>Description</b>   | <b>Standard</b>  | <b>#</b> |
| <b>1.1</b>       | Company Details - (on company letter head)       | Full Company details and registration number (on company letter head) with appointees contact details (mobile number, e-mail address)  | Legal & Other Requirements                                       |          |
|                  |  | Vendor Number & Contract with Vedanta/ Principal BP  |  |          |
|                  |  | Scope of work to be performed on site  |  |          |
| <b>1.2</b>       | Workmen's Compensation (Letter of Good Standing) | Valid with correct nature of business  | Legal & Other Requirements                                       |          |
| <b>1.3</b>       | SHE Policy                                       | Employees to be familiar with Vedanta`s Gamsberg Mine HSE Policy (written proof to be kept)  | Policy, Leadership and Responsibilities, Leadership & Commitment |          |
| <b>1.4</b>       | Sub Contractors                                  | Declaration of all sub contractors with Letters of Good Standing and Tax Clearance Certificates.   | Policy, Leadership and Responsibilities, Leadership & Commitment |          |
| <b>1.5</b>       | Tax Clearance Certificate                        | Copy of valid Tax Clearance Certificate  | Legal & Other Requirements                                       |          |
| <b>1.6</b>       | Templates  | All relevant checklists, registers, audit and inspections, PTO`s, VFL`s, and other relevant documentation to be used in blank format as supporting documents to the HSE efforts. |  |          |

# Gamsberg Mine Operations

|   |                                  |                            |   |
|---|----------------------------------|----------------------------|---|
|  | Safety & Sustainable Development | Doc #                      | ZI-GAM01-U0300-PLC-HS-0004  |
|   |                                  | Version #                  | 04  |
|   |                                  | Implementation Date:       | 2020/03/26  |
| Approval / Owner:   | General Manager                  | Last Reviewed/Update Date: | 2023/10/17  |
| Author:   | HSE Manager                      | Sanction:                  | General Manager, NUM Health and Safety Chairperson & Health and Safety Representative |
| HEALTH SAFETY AND ENVIRONMENT POLICY  |                                  |                            |   |

Gamsberg Mine Operations Health, Safety and Environment (HSE) policy conforms and takes guidance from the Vedanta Resources Sustainability policies. The principle of sustainable development is fundamental to our long-term success. This is underpinned by the two values of Care and Respect.

**We are committed to effective management of health, safety, and the environment as an integral part of our operation. The health and safety of our employees and any other person who may be impacted by Gamsberg mine's operations is of paramount importance and our aim is zero harm to people and minimal impact to the environment.**

Our management commitment is such that we:

- Promote a positive HSE culture through effective communication, participation and consultation with employees and contract business partners.
- Develop, implement, and maintain HSE management system aligned with our commitments and consistent with world-class standard.
- Ensure that our employees are trained, competent and responsible in all aspects of HSE
- Allocate adequate resources to effectively deal with HSE and community issues.
- Demonstrate active stewardship of our environment and its biodiversity.
- Continuously drive HSE through setting and reviewing targets using appropriate best available practice.
- Ensure the pandemic protocols are Implemented, Monitored, and enforced.

To prevent and control, we:

- Identify, assess, and prioritise the hazards and risks associated with all our activities.
- Implement regular health surveillance and risk-based monitoring of employees.
- Take prompt corrective action when accidents or incidents do occur, investigate root causes, and take remedial action.
- Actively seek to prevent recurrences and disseminate experiences learned.
- Conserve and protect environmental resources by adopting sustainable and energy-efficient technologies.
- Manage waste from our operations and adopt principles of waste avoidance, reuse, recycling, and beneficial utilisation to minimise discharge and disposal to the environment.
- Ensure tailings storage facility is managed, during its life cycle, in compliance with applicable laws and regulations and in alignment with accepted international best practices.
- Consistently assess our climate-related risk, take appropriate mitigation and adaptation measures, and communicate our climate strategy to our stakeholders.
- Avoid, reduce, and mitigate impacts to the environment and neighbouring communities and where feasible improve and enhance environmental conditions.

For our performance, we:

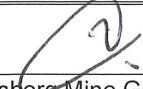

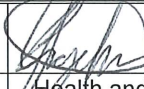
- Set appropriate objectives, targets, and performance indicators.
- Comply with applicable national, regional, and local HSE regulations and statutory obligations, in the absence of appropriate legislation, industry best practice and standards will be used.
- Adhere to all Vedanta and Zinc International policies, guidelines, and management standards.

To evaluate our effectiveness, we:

- Monitor and review our performance against our objectives, performance indicators, and applicable legal requirements.
- Ensure appropriate audits and reviews are undertaken regularly and its findings evaluated and communicated.
- Effectively address and rectify any identified non-conformances without undue delay.
- Establish a register to track the relevant associated documents to this policy

And in our stakeholder engagement, we:

- Respect people's culture and heritage by treating them with dignity and care.
- Influence our business partners and suppliers to adopt principles and practices that in alignment with our policies.
- Promote and maintain open and constructive dialogue and good working relationships with employees, local communities, regulatory agencies, business organisations and other affected and interested parties.
- Communicate with all our stakeholders on the progress and performance of HSE management.

|             |   |   |   |
|-------------|---|---|---|
| Authorisers |  |  |  |
|             | Gamsberg Mine General Manager   | NUM Health and Safety Chairperson   | Health and Safety Representative  |

| <b>2 People</b> |  |   |   |          |
|-----------------|--|---|---|----------|
| <b>#</b>        | <b>Requirement</b>   | <b>Description</b>  | <b>Standard</b>   | <b>#</b> |
| <b>2.1</b>      | Company Structure  | Organogram of organisation / reporting structure (including sub-contractors) Reflect Reg appointments | Policy, Structure and Responsibilities, Leadership and Commitment |          |
| <b>2.2</b>      | Occupations  | Inventory of all employees and their occupations (including sub-contractors)                          | Policy, Structure and Responsibilities, Leadership                |          |
| <b>2.3</b>      | Requirements for the <b>Site Manager</b><br><b>2.6.1</b> Appointee | CV  | Training, Awareness and Competence                                |          |
|                 |  | Copy of ID  | Policy, Structure and Responsibilities, Leadership and Commitment |          |
|                 |  | Driver's License, Pit Permit, Plant Permit (where required)   | Training, Awareness and Competence                                |          |
|                 |  | Personal Details  | Policy, Structure and Responsibilities, Leadership and Commitment |          |
|                 |  | Valid Vedanta Medical Certificate approved by OMP   | Legal and Other Requirement                                       |          |
|                 |  | Valid Gamsberg General Surface Induction  | Training, Awareness and Competence                                |          |
|                 |  | Trade Certificate & proof of verification   | Training, Awareness and Competence                                |          |
|                 |  | L1RA Training   | Training, Awareness and Competence                                |          |
|                 |  | Non-Disclosure and Search Agreement by employee   | Legal and Other Requirement                                       |          |
|                 |  | Legal Appointment Request Form completed and Legal Appointment Letter signed.                         | Legal and Other Requirement                                       |          |

| <b>2 People</b> |  |   |   |          |
|-----------------|--|---|---|----------|
| <b>#</b>        | <b>Requirement</b>   | <b>Description</b>  | <b>Standard</b>   | <b>#</b> |
| <b>2.4</b>      | Requirements for the <b>Supervisor</b><br><b>2.9.2</b> Appointee | CV  | Training, Awareness and Competence                                |          |
|                 |  | Copy of ID  | Policy, Structure and Responsibilities, Leadership and Commitment |          |
|                 |  | Driver's License, Pit Permit, Plant Permit (where required)                     | Training, Awareness and Competence                                |          |
|                 |  | Personal Details  | Policy, Structure and Responsibilities, Leadership and Commitment |          |
|                 |  | Valid Vedanta Medical Certificate approved by OMP                               | Legal and Other Requirement                                       |          |
|                 |  | Valid Gamsberg General Surface Induction<br>MHSA/OHASA Legal Liability Training | Training, Awareness and Competence                                |          |
|                 |  | Trade Certificate & proof of verification                                       | Training, Awareness and Competence                                |          |
|                 |  | First Aid   | Training, Awareness and Competence                                |          |
|                 |  | Basic Fire Fighting   | Training, Awareness and Competence                                |          |
|                 |  | L1RA Training   | Training, Awareness and Competence                                |          |
|                 |  | Non-Disclosure and Search Agreement by employee                                 | Legal and Other Requirement                                       |          |
|                 |  | Legal Appointment Request Form completed and Legal Appointment Letter signed.   | Legal and Other Requirement                                       |          |

| 2 People |   |   |   |   |
|----------|---|---|---|---|
| #        | Requirement   | Description   | Standard  | # |
| 2.5      | Requirements for the <b>Safety Officer</b><br><b>2.17.1</b> Appointee | CV  | Training, Awareness and Competence                                |   |
|          |   | Copy of ID  | Policy, Structure and Responsibilities, Leadership and Commitment |   |
|          |   | Driver's License, Pit Permit, Plant Permit (where required)                   | Training, Awareness and Competence                                |   |
|          |   | Personal Details  | Policy, Structure and Responsibilities, Leadership and Commitment |   |
|          |   | Valid Vedanta Medical Certificate approved by OMP                             | Legal and Other Requirement                                       |   |
|          |   | Valid Gamsberg General Surface Induction                                      | Training, Awareness and Competence                                |   |
|          |   | MHSA/OHSA Legal Liability Training  |   |   |
|          |   | Basic Fire Fighting   | Training, Awareness and Competence                                |   |
|          |   | L1RA Training   | Training, Awareness and Competence                                |   |
|          |   | Non-Disclosure and Search Agreement by employee                               | Legal and Other Requirement                                       |   |
|          |   | Comsoc 1 & 2 / Samtrac / NDSMN / NEBOSH                                       | Training, Awareness and Competence                                |   |
|          |   | Legal Appointment Request Form completed and Legal Appointment Letter signed. | Legal and Other Requirement                                       |   |

## Gamsberg Contractor Requirements

| 2 People |  |   |   |   |
|----------|--|---|---|---|
| #        | Requirement  | Description   | Standard  | # |
| 2.6      | Requirements for the <b>Artisan / Technician</b><br>(per employee) | CV  | Training, Awareness and Competence                                |   |
|          |  | Copy of ID  | Policy, Structure and Responsibilities, Leadership and Commitment |   |
|          |  | Driver's License, Pit Permit, Plant Permit (where required)   | Training, Awareness and Competence                                |   |
|          |  | Personal Details  | Policy, Structure and Responsibilities, Leadership and Commitment |   |
|          |  | Valid Vedanta Medical Certificate approved by OMP   | Legal and Other Requirement                                       |   |
|          |  | Valid Gamsberg General Surface Induction Trade Certificate & proof of verification (MIE / SAQA / ID refcheck) | Training, Awareness and Competence                                |   |
|          |  | L1RA Training   | Training, Awareness and Competence                                |   |
|          |  | Non-Disclosure and Search Agreement by employee   | Legal and Other Requirement                                       |   |
|          |  |   |   |   |

## Gamsberg

### Contractor Requirements


| 2   | People   |   |   |   |
|-----|--|---|---|---|
| #   | Requirement  | Description   | Standard  | # |
| 2.8 | Requirements for the <b>Health &amp; Safety Rep 6.9 (a)</b> Appointee<br>(if more than 20 people will be working on site - Section 25 & 28 MHSA) | CV  | Training, Awareness and Competence                                |   |
|     |  | Copy of ID  | Policy, Structure and Responsibilities, Leadership and Commitment |   |
|     |  | Driver's License, Pit Permit, Plant Permit (where required)                   | Training, Awareness and Competence                                |   |
|     |  | Personal Details  | Policy, Structure and Responsibilities, Leadership and Commitment |   |
|     |  | Valid Vedanta Medical Certificate approved by OMP                             | Legal and Other Requirement                                       |   |
|     |  | Valid Gamsberg General Surface Induction                                      | Training, Awareness and Competence                                |   |
|     |  | L1RA Training   | Training, Awareness and Competence                                |   |
|     |  | Basic Fire Fighting   | Training, Awareness and Competence                                |   |
|     |  | MHSA Legal Liability Training   | Training, Awareness and Competence                                |   |
|     |  | Non-Disclosure and Search Agreement by employee                               | Legal and Other Requirement                                       |   |
|     |  | Legal Appointment Request Form completed and Legal Appointment Letter signed. | Legal and Other Requirement                                       |   |



## Gamsberg Contractor Requirements

| <b>2 People</b> |   |   |   |          |
|-----------------|---|---|---|----------|
| <b>#</b>        | <b>Requirement</b>  | <b>Description</b>  | <b>Standard</b>   | <b>#</b> |
| <b>2.90</b>     | <b>Requirements for the Assistant / Labourer/Operators.</b> | Copy of ID  | Policy, Structure and Responsibilities, Leadership and Commitment |          |
|                 |   | Driver's License, Pit Permit, Plant Permit, Operator certificate (where required) | Training, Awareness and Competence                                |          |
|                 |   | Personal Details  | Policy, Structure and Responsibilities, Leadership and Commitment |          |
|                 |   | Valid Vedanta Medical Certificate approved by OMP                                 | Legal and Other Requirement                                       |          |
|                 |   | Valid Gamsberg General Surface Induction  | Training, Awareness and Competence                                |          |
|                 |   | Fire awareness training (Operators only)  | Training, Awareness and Competence                                |          |
|                 |   | L1RA Training   | Training, Awareness and Competence                                |          |
|                 |   | Non-Disclosure and Search Agreement by employee                                   | Legal and Other Requirement                                       |          |



|           |                  |   |   |
|-----------|------------------|---|---|
| Date      | 2018             | <b>Contractor Management System</b><br><br><b>Employee Personal Details</b> |  |
| Revision: | Personal details |   |   |
| Project:  | Gamsberg         |   |   |
| Page No:  | 1 of 2           |   |   |

THESE CRITERIONS ARE REQUIRED FOR ALL CONTRACTOR EMPLOYEES PERFORMING WORK AT ANY OF THE GAMSBERG PROJECT OPERATIONS.

CONTRACTOR COMPANY: \_\_\_\_\_


DATE: \_\_\_\_\_

### 1. PERSONAL DATA

|                               |  |
|-------------------------------|--|
| ID Number                     |  |
| Surname                       |  |
| Initials                      |  |
| Name                          |  |
| Gender                        |  |
| Marital status                |  |
| Date of birth                 |  |
| TEBA Number                   |  |
| Pension number                |  |
| Medical aid                   |  |
| Medical aid membership number |  |
| Private doctors name          |  |
| Existing medical conditions   |  |
|                               |  |

### 2. CONTACT DETAILS

|                              |  |
|------------------------------|--|
| Physical address             |  |
|                              |  |
|                              |  |
| Work Tel                     |  |
| Home Tel                     |  |
| Cell number                  |  |
| Email                        |  |
|                              |  |
| <b>Next of kin</b>           |  |
| <b>Physical home address</b> |  |
|                              |  |
|                              |  |
|                              |  |

|           |                  |   |   |
|-----------|------------------|---|---|
| Date      | 2018             | <b>Contractor Management System</b><br><br><b>Employee Personal Details</b> |  |
| Revision: | Personal details |   |   |
| Project:  | Gamsberg         |   |   |
| Page No:  | 2 of 2           |   |   |

|                    |  |
|--------------------|--|
| <b>Work Tel</b>    |  |
| <b>Home Tel</b>    |  |
| <b>Cell Number</b> |  |
| <b>Email</b>       |  |

### 3. WORK DETAILS

|                      |  |
|----------------------|--|
| <b>Workplace</b>     |  |
| <b>Occupation</b>    |  |
| <b>OREP Category</b> |  |

---

I .....ID.....  
 hereby declare that the information on this form is accurate and true to the best of my knowledge.

\_\_\_\_\_  
 [Employee signature]

\_\_\_\_\_  
 [Date]

# **BLACK MOUNTAIN MINING (PTY) LTD**

## **REQUIREMENTS FOR OCCUPATIONAL MEDICALS CONDUCTED BY 3<sup>RD</sup> PARTY / OFF-SITE MEDICAL FACILITIES**

**THE MANDATORY CODE OF PRACTICE ON MINIMUM STANDARD OF FITNESS TO PERFORM WORK AT A MINE APPLIES (copies can be supplied on request)**

**The following requirements must be met in the event that occupational medicals are conducted by 3<sup>rd</sup> party / off-site medical facilities**

**Please attach the following documents for each worker:**

1. Occupational & Medical history (including treatment)
2. Medical Report (Including Weight / Urine / Sight / CVS / Respiratory / CNS / ENT / Skin / Muscular Skeleton etc.)
3. Chest X Ray report by specialist radiologist (full size = 35 cm x 43 cm)
4. Lung Function Test
5. Audiometry (audiogram with baseline)
6. ECG (patients above 50 years of age)
7. Blood Sugar Test (HGT)
8. Blood Lead - only applicable to lead risk areas
9. Full vision screening for all drivers / operators (Keystone)
10. Exit medical certificate from previous mine

**PLEASE NOTE: THE ABOVE MUST BE SIGNED OFF BY AN OCCUPATIONAL MEDICAL PRACTITIONER (DOCTOR) & NOT AN OCCUPATIONAL HEALTH NURSE**

- Certificate of fitness will be issued by Black Mountain Occupational Department only after all documents and requirements have been submitted.
- Any abnormality may be retested and any deviation from normal is going to be unfit for working on heights or working on a mine
- Drug testing may be conducted at anytime
- Alcohol testing at all times when entering BMC premises
- Please make sure that any worker with any chronic disease is taking his/her medication and have enough stock (State clinic do not have the staff or stock)
- Anybody with newly diagnosed TB is going to be unfit for work in a mine

**Certificate of fitness will be issued by Black Mountain Occupational Medical Department only after all requirements have been met and all relevant documents have been submitted.**

**Last Update: 2020/08**

| <b>3 Tools / Equipment / Vehicles</b> |  |  |                     |          |
|---------------------------------------|--|--|---------------------|----------|
| <b>#</b>                              | <b>Requirement</b>                                 | <b>Description</b>   | <b>Standard</b>     | <b>#</b> |
| <b>3.1</b>                            | Tools & Equipment                                  | Inventory of all tools / equipment Tools and equipment all inspected and approved by BMM Engineer  | Operational Control |          |
| <b>3.2</b>                            | Calibration Certificates (where required)          | Original calibration certificates of all equipment as per the manufacturer's requirements to be filed in this section.   | Operational Control |          |
| <b>3.3</b>                            | List of TMM`s, Registration Certificates / Permits | All LDV's, TMM's etc., shall be inspected and authorised by Engineer in writing before entering site.  | Operational Control |          |
|                                       |  | Registration certificate of all vehicles   | Operational Control |          |
| <b>3.4</b>                            | Cranes   | All legal requirements with regards to certification to be met. (Ie. Hook spread certificate, Rope certificate, Load test and callibration certificate, 6 monthly and annual test certificates.) | Operational Control |          |
| <b>3.5</b>                            | Pressure vessels                                   | All relevant certificates to be attached   | Operational Control |          |

## CBP TOOLS AND EQUIPMENT REGISTER

|                                   |  |
|-----------------------------------|--|
| Contractor Company Name:          |  |
| Contract / Order N <sup>o</sup> : |  |
| BM Engineer:                      |  |
| Date:                             |  |



[illegible]

**A** = Acceptable **U** = Unacceptable

BM Engineer

**CBP to keep original signed document in Red File.**

Date \_\_\_\_\_

|  |  |   |   |
|--|--|---|---|
| Document No:   | ZI-GAM01-U0100-ISP-EN-0001   | HSE Management System   |  |
| Revision:  | 00   |   |   |
| Project:   | Gamsberg   |   |   |
| Page No:   | 1 of 1   |   |   |
| TMM INSPECTION REQUEST<br>GAMSBERG   |  |   |   |
| Business partner: _____  |  | Hiring Company (If applicable): _____   |   |
| Date: _____  |  |   |   |
| TMM Description:   |  |   |   |
| #  | Description  | Reg. No.  | Inspected by BMM engineer (Signature)   |
| 1  |  |   |   |
| No.  | Documents Required   | Checklist   |   |
| 1  | OEM Operators (safety) manual  | Y / N   |   |
| 2  | OEM machine specification sheet  | Y / N   |   |
| 3  | OEM certificate of fitness for use   | Y / N   |   |
| 4  | OEM risk assessment/Safety Instructions/Procedures   | Y / N   |   |
| 5  | OEM maintenance manual   | Y / N   |   |
| 6  | Machine Service Record (Latest Service)  | Y / N   |   |
| 7  | Machine Maintenance Schedule   | Y / N   |   |
| 8  | Vehicle registration & License   | Y / N   |   |
| 9  | Details of rental company (if applicable)  | Y / N   |   |
| 10   | OEM Approved Pre-Start Checklist   | Y / N   |   |
| 11   | Crane 6 monthly and 12 monthly inspection & load testing (for mobile cranes & lifting equipment) | Y / N   |   |
| Note: OEM (Original equipment manufacturer) manuals may be provided on soft copy   |  |   |   |
| Verified by Vedanta Safety Officer: Name: _____ Signature: _____ Date: _____   |  |   |   |
| Approved by Chief Safety Officer   |  |   |   |
| Name: _____ Signature: _____ Date: _____   |  |   |   |
| Inspected and approved by Vedanta Engineer   |  |   |   |
| Name: _____ Signature: _____ Date: _____   |  |   |   |
| Form to be returned to the HSE department after inspection together with all relevant documentation for capturing on Contractors Pack.         |  |   |   |
| Any Document printed after 2 days of the Printed date is deemed as unauthorized & a printed version cannot guarantee it is the latest version. |  |  |   |

## Gamsberg Contractor Requirements

| <b>4 Work</b> |  |   |                            |          |
|---------------|--|---|----------------------------|----------|
| <b>#</b>      | <b>Requirement</b>   | <b>Description</b>  | <b>Standard</b>            | <b>#</b> |
| <b>4.1</b>    | Baseline Risk Assessment<br>(Safety, Health & Environment) | a) Documented Functional Baseline risk assessment   | Risk and Change Management |          |
|               |  | b) Significant risk profile ratings   | Risk and Change Management |          |
|               |  | c) Approval by Vedanta Chief Safety Officer and<br>Section Engineer                           |                            |          |
|               |  | d) Proof of appointees involvement in risk assessment<br>process                              | Risk and Change Management |          |
| <b>4.2</b>    | Hazardous Substances                                       | Index of all hazardous substances to be used on the<br>project and supporting MSDS`s attached | Operational Control        |          |



## HIRA / SWP / CA Integrated Workplace Risk Assessment



**GAMSBERG**

## 2. Site / Area

## 5. WRAC Custodian

**NORMAL**


## 8. Operational Condition

### 3. Risk Rating

## 6. WRAC Specialist Advisor

## 10. Date and Owner Signature

[illegible]

|  |                    |  |  |   |  |  |   |  |
|--|--------------------|--|--|---|--|--|---|--|
|  <b>Gamsberg Mine Risk Matrix</b> |                    |  | <b>Hazard Effect / Consequence</b>   |   |  |  |   |  |
|  |                    |  | (Where an event has more than one 'Loss Type', choose the 'Consequence' with the highest rating) |   |  |  |   |  |
| <b>Loss Type</b>   |                    |  | <b>1</b>   | <b>2</b>  | <b>3</b>   | <b>4</b>   | <b>5</b>  |  |
| (Additional 'Loss Types' may exist for an event; identify & rate accordingly)                                      |                    |  | <b>Insignificant</b>   | <b>Minor</b>  | <b>Moderate</b>  | <b>Major</b>   | <b>Catastrophic</b>   |  |
| <b>(S/H)</b><br>Harm to People (Safety / Health)   |                    |  | First aid case / Exposure to minor health risk   | Medical treatment case / Exposure to major health risk          | Lost time injury / Reversible impact on health   | Single fatality or loss of quality of life / Irreversible impact on health | Multiple fatalities / Impact on health ultimately fatal                     |  |
| <b>(EI)</b><br>Environmental Impact  |                    |  | Minimal environmental harm – L1 incident   | Material environmental harm – L2 incident remediable short term | Serious environmental harm – L2 incident remediable within LOM   | Major environmental harm – L2 incident remediable post LOM                 | Extreme environmental harm – L3 incident irreversible                       |  |
| <b>(B/MD)</b><br>Business Interruption / Material Damage & Other Consequential Losses                              |                    |  | No disruption to operation / US\$20k to US\$100k   | Brief disruption to operation / US\$100k to US\$1.0M            | Partial shutdown / US\$1.0M to US\$10.0M   | Partial loss of operation /US\$10M to US\$75.0M                            | Substantial or total loss of operation / >US\$75.0M                         |  |
| <b>(L&amp;R)</b><br>Legal & Regulatory   |                    |  | Low level legal issue  | Minor legal issue; non compliance and breaches of the law       | Serious breach of law; investigation/report to authority, prosecution and/or moderate penalty possible | Major breach of the law; considerable prosecution and penalties            | Very considerable penalties & prosecutions. Multiple law suits & jail terms |  |
| <b>(R/S/C)</b><br>Impact on Reputation / Social / Community  |                    |  | Slight impact - public awareness may exist but no public concern                                 | Limited impact - local public concern                           | Considerable impact - regional public concern  | National impact - national public concern                                  | International impact - international public attention                       |  |
| <b>Likelihood</b>  |                    | <b>Examples</b><br>(Consider near-hits as well as actual events)   | <b>Risk Rating</b>   |   |  |  |   |  |
| 5  | (Almost Certain)   | The unwanted event has occurred frequently; occurs in order of one or more times per year & is likely to reoccur within 1 year | 11 (M)   | 16 (H)  | 20 (H)   | 23 (Ex)  | 25 (Ex)   |  |
| 4  | (Likely)           | The unwanted event has occurred infrequently; occurs in order of less than once per year & is likely to reoccur within 5 years | 7 (M)  | 12 (M)  | 17 (H)   | 21 (Ex)  | 24 (Ex)   |  |
| 3  | (Possible)         | The unwanted event has happened in the business at some time; or could happen within 10 years                                  | 4 (L)  | 8 (M)   | 13 (H)   | 18 (H)   | 22 (Ex)   |  |
| 2  | (Unlikely)         | The unwanted event has happened in the business at some time; or could happen within 20 years                                  | 2 (L)  | 5 (L)   | 9 (M)  | 14 (H)   | 19 (H)  |  |
| 1  | (Rare)             | The unwanted event has never been known to occur in the business; or it is highly unlikely that it will occur within 20 years  | 1 (L)  | 3 (L)   | 6 (M)  | 10 (M)   | 15 (H)  |  |
|  | <b>Risk Rating</b> | <b>Risk Level</b>  | <b>Guidelines for Risk Matrix</b>  |   |  |  |   |  |
|  | 21 to 25           | (Ex) – Extreme   | Eliminate, avoid, implement specific action plans/procedures to manage & monitor                 |   |  |  |   |  |
|  | 13 to 20           | (H) – High   | Proactively manage   |   |  |  |   |  |
|  | 6 to 12            | (M) – Medium   | Actively manage  |   |  |  |   |  |
|  | 1 to 5             | (L) – Low  | Monitor & manage as appropriate  |   |  |  |   |  |