

Annex F: ELC Initial Notification of Occurrence (INO) Reporting Template

Note: all blue text should be removed from this form before submission: it is purely a guideline

The attached information is required for each event reported to the ELC for classification. This should be submitted to the secretariat in written format for record purposes and to fulfill future audit requirements. This will enable the ELC to make a decision regarding the classification of an event as a “**contravention of legislation**” a “**contravention of legislation in terms of the SI**”, or an “**Event**”. Accurate and detailed will allow effective classification, and allow rapid resolution of the issue.

Please note that this is the initial reporting requirement, and does not replace the Tracking Certificate (Annex G) which is used to record progress in resolving the event once it is classified as a contravention of legislation.

Please submit the completed form to the Secretariat before the ELC meeting to allow duplication for ELC members. It is the responsibility of the Division Primary ELC member to submit this form and present the information to the ELC. The completed form should be submitted to the ELC secretariat by the Thursday preceding the ELC for circulation to primary members.

This and the following page can be copied electronically and used for submission. Please delete any Blue Text before completing the form. Alternatively this Form can be downloaded off eSDe Web, ELC page.

<i>Event Number</i>	Available from ELC Secretariat. The divisional reporter should phone Mapula Tshangela (8131-3613) to register the incident and obtain an incident number before submitting the form. The allocated number must be included on all documentation accompanying this note. This is not just a bureaucratic requirement but is intended to simplify event management
<i>Reference legislation</i>	The applicable Act with specific reference to the section of the act contravened should be included here. This data is available from Division Legal Registers. If not known, please state this.
<i>Nature of Contravention</i>	Full details of the event must be given
<i>Date of Event</i>	This refers to the date that the event occurred. If the event continued for more than one day, duration should also be recorded.
<i>Date of reporting to Divisional office</i>	Date the event was reported to the divisional corporate office or equivalent. Any other significant dates should also be recorded here.
<i>Details of Communication with regulatory authority</i>	List details of interaction with authorities. This should include dates and media used, and copies of any correspondence.
<i>Follow-up action</i>	Details of remediation, etc
<i>Root Cause of Event</i>	The basic root cause of event should be given. This can be related to People, plant or procedure. See ELC guideline for assistance if required
<i>Actions to prevent occurrence</i>	What reasonable action has been taken to prevent occurrence of the event?
<i>Current Status</i>	Current Status of the event at date of submission of this form, e.g. undergoing remediation.
<i>Date of Resolution / Expected date of resolution</i>	Date incident closed. It may not be possible to give at this stage, but event will not be closed until this is given. This could be included in the closure certificate.
<i>Responsible Manager and Contact Details</i>	Person for auditor to contact should further information be required.
<i>Proposed SI Status</i>	The Divisional Environmental Manager may make a recommendation as to the final classification of the event in terms of the SI, viz. Event, Legal Contravention, or Legal Contravention in terms of the SI. Any information that will aid this decision should be attached (See following Page).

Annex F (concluded)

ELC criteria for classification of legal and SI contravention's			
Element	Yes	N/A	No
1. Did the incident result in either: sterilising the soil, or, destroying rare, endangered or protected fauna or flora?		/	
2. Did the incident result in making any water resource unfit for its original purpose such as: domestic, agricultural, industrial use or reduce the water quality to such a state that human intervention is required to restore it to its original quality?		/	
3. Were reasonable measures taken to prevent pollution or degradation from occurring?			
4. Were measures taken to prevent pollution or degradation from continuing?			
5. Were measures taken to prevent pollution or degradation from recurring?			
6. Was the incident reported to the authorities?			
7. Were measures taken to contain and minimise the effects of the incident on the environment and to the health, safety and property of persons?			
8. Was an incident report submitted within 14 days to the authorities providing the information required i.t.o section 30(5)(a-e)?			
9. Contravention of any other environmental legislation? (List below if applicable)		/	
<p>CLASSIFIED AS LEGAL CONTRAVENTION (if "Yes" for 1, 2 or 9 or "No" for any from 3-9) (Any Shaded Area Marked)</p> <p>This selection needs to be done at Divisional level prior to the ELC Meeting. If, however, there is doubt or any uncertainty about the decisions it may be raised at the ELC for decision. This should be indicated to the ELC Secretariat prior to the meeting.</p>			
<p>Legislation Contravened</p> <p>Please list acts and sections, if available.</p>			
<p>Previous Contraventions of Legislation</p> <p>List previous contraventions at the business unit or region within the previous 24 months (Quote ELC reference only: if not known state this.)</p>			

If Classified as a Legal Contravention, check against following criteria. This classification will however be confirmed by the ELC

CRITERIA :	Yes	No
1. Contravention resulted in formal censure from Government		
2. Contravention reported within the Division.		
3. Contravention reported to appropriate Government department		
4. Registered on SI by ELC member in consultation with MD		
5. Contravention was addressed timeously		
SI INCIDENT (Any shaded area marked)		

Annex G: Tracking (Closure) Certificate

All information must be completed and forwarded to the ELC Secretariat to allow the Event to be closed on the Event Register .

This should be submitted within one month of the event closure.

Incident Number)	From INO
Nature of Contravention	From INO
Location	BU submitting Closure certificate
Month Reported to Divisional Office	
ELC Classification	Legal Contravention or Contravention in terms of SI
Details of further Communication with Regulatory Authority.	To Whom, when, and what reported.
Community Interaction related to event	
Follow-up action/s	Details of remediation, actions to prevent reoccurrence
Cost of remediation	
Date of Closure / Resolution	
Investigation in terms of ESKPVABN9 (if applicable)	Date of Investigation, Report Number and Date
Responsible Manager and Contact Details	If Different to INO
Closure by CTAD in case of SI incident	NA or Signed off by CTADM (This can be done at ELC)

Please attach any relevant documentation.

A copy of the full incident investigation is held by the Divisional ELC Representative.

Signed

BU Manager

Date

Accepted as correct

Divisional ELC Representative

Date

Authorised

Corporate Sustainability and Environment Manager

Date

