

Lang Jennifer (Admin Review)

From: Andrews, Darren <darren.andrews@angloamerican.com>
Sent: Tuesday, 6 August 2013 5:24 PM
To: MCWILLIAM Mick
Cc: SLEIGH John; Job, Andrew
Subject: RE: Docs forwarded to John Sleigh by Andrew Job
Attachments: Reporting and investigation procedure.xps

Hi Mick,

Please find attached the copy of the original AAMC reporting and investigation procedure as requested.

Please call should you require any further information.

Regards,

Darren Andrews
Safety, Health & Environment Manager, Surface Operations



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A member of the Anglo American plc group

From: MCWILLIAM Mick [mailto:Mick.McWilliam@dnrm.qld.gov.au]
Sent: Friday, 2 August 2013 1:07 PM
To: Job, Andrew; Andrews, Darren
Cc: SLEIGH John
Subject: RE: Docs forwarded to John Sleigh by Andrew Job

Thanks Andrew

Regards

Mick McWilliam

Inspection Officer (Mechanical)
Mines Inspectorate
Mine Safety & Health
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From: Job, Andrew [mailto:andrew.job@angloamerican.com]
Sent: Friday, 2 August 2013 12:32 PM
To: MCWILLIAM Mick; Andrews, Darren
Cc: SLEIGH John
Subject: RE: Docs forwarded to John Sleigh by Andrew Job

Mick,
Sorry I don't have that at hand. I will follow up your request with Darren and he will get back to you early next week if that suits.
Regards,
Andrew.

From: MCWILLIAM Mick [mailto:Mick.McWilliam@dnrm.qld.gov.au]
Sent: Friday, 2 August 2013 12:14 PM
To: Job, Andrew; Andrews, Darren
Cc: SLEIGH John
Subject: RE: Docs forwarded to John Sleigh by Andrew Job

Thanks Andrew

Just thinking about the current situation and the fact that the Bussola incident investigation commenced on or about 1st June 2013.

The new MetCoal Standard Version 2 that you forwarded earlier is dated 22nd July 2013.

Is it possible to obtain a copy of the Version 1 i.e. that which was in play at the time of the incident?

Regards

Mick McWilliam

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email: mick.mcwilliam@dnrm.qld.gov.au

<http://mines.industry.qld.gov.au/safety-and-health>

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From: Job, Andrew [mailto:andrew.job@angloamerican.com]
Sent: Friday, 2 August 2013 11:50 AM
To: MCWILLIAM Mick; Andrews, Darren

Cc: SLEIGH John
Subject: RE: Docs forwarded to John Sleigh by Andrew Job

Mick,
Darren is offsite today. Attached is a copy of the requested document.
Regards,
Andrew.

From: MCWILLIAM Mick [mailto:Mick.McWilliam@dnrm.qld.gov.au]
Sent: Friday, 2 August 2013 11:21 AM
To: Andrews, Darren
Cc: Job, Andrew; SLEIGH John
Subject: Re: Docs forwarded to John Sleigh by Andrew Job

Darren

One of the documents that Andrew Job forwarded to John Sleigh earlier today is entitled Incident Reporting Standard (MetCoal_11-4_STD_Incident Reporting.doc). Version 2 - Date 22 July 2013

Within that document at Section 5.5 - LFI Investigations - The Anglo American Learning From Incidents Investigation Handbook is referenced.

May I request a copy of this document be forwarded to John and I please, as it states that:

"All incidents shall be investigated in accordance with the Anglo American Investigation Process described in The Anglo American Learning From Incidents Investigation Handbook.

This process defines the:

- Required composition of investigation teams (in accordance with the severity level of the incident).
- Key steps in the investigation process.
- Types of analysis tools that could be used.

Further information regarding this process may be obtained from Met Coal Safety personnel".

Regards

Mick McWilliam

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PROCEDURE FOR INCIDENT REPORTING AND INVESTIGATION

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AA S&SD PROCEDURE INSTRUCTIONS

This procedure provides instruction and guidance for standardisation of the SHEC Learning from Incidents process throughout the Company. Businesses Units and operations are responsible for tailoring this procedure (by **adding** Business Unit and/or site specific requirements as required) to ensure it is specifically applicable to their operating environments.


In this regard, it must be noted that the requirements of this Anglo American Learning from Incidents Process are fundamental and minimum requirements for all Anglo American Operations. These fundamental requirements cannot be amended other than via a formal review process.

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DOCUMENT CONTROL FORM

NAME : PROCEDURE FOR INCIDENT REPORTING AND INVESTIGATION

DOCUMENT N° : AA_SSDP_00900

DOCUMENT OWNER:

Name: Mike Oswell Position: Group Head of Safety

Control Procedures

This procedure shall be reviewed and revised as required to ensure it remains current and applicable. The procedure shall be reviewed annually and re-issued as required. Concurrent with each re-issuance or revision, the procedure will be distributed to each procedure manual holder and will show the current document version number and the current issuance date. All revisions shall be managed through a formal document control system.

| VERSION | DATE | PREPARED BY: | REVIEWED BY: | APPROVED BY: | MODIFICATIONS | |
|-------------|-----------------|---|---|--------------------|---------------|----|
| | | | | | YES | NO |
| Final draft | 26 August 2010 | G. Smythe LFI Workstream L.Menéndez | BU Heads of S&SD / S&SD Executive | Group Head of S&SD | | |
| Version 1.0 | 05 October 2010 | Mike Oswell | Anglo S&SD Mancom | Group Head of S&SD | | |
| | | | | | | |

CHANGES IN THIS REVISION

New document.

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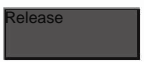
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1. PURPOSE

The purpose of this procedure is to define the process by which Anglo American managed operations report, investigate and close-out SHE incidents.

2. SCOPE AND OBJECTIVES

2.1 SCOPE

This procedure defines the requirements regarding SHE incidents that occur at Anglo American managed sites, projects, businesses or operations (hereafter referred to as “managed operations”). This document may be regarded as a high level ‘umbrella’ document that ‘sits’ over the top of Business Unit and site specific documents dealing with more specific and detailed aspects of incident reporting and investigation.

In order to provide Business Units and sites with specific direction on the reporting and investigation of health incidents, a further procedure – *Procedure for Health Incident Reporting*, has been developed. Consequently, this *Procedure for Health Incident Reporting* compliments this *Procedure for Incident Reporting and Investigation*.

2.2 OBJECTIVES

The objective of the procedure is to determine the direct, contributing and root causes of incidents so systemic improvements can be made to prevent future occurrences. All incidents should be investigated on a risk basis to support learning, prevention and “no repeats”. In this regard, the investigation and learning efforts should be highest for those incidents that have, or could well have, resulted in the most serious consequences.

3. DEFINITIONS

Business Unit One of the 7 “Commodity” businesses as per the new (2009) Anglo American organizational structure.

Corrective Action (Improvement Action) Any action intended to eliminate current deviations from existing practices, procedures or standards. Usually addresses direct/ immediate causes. The objective is to restore and / or improve the work environment and its associated equipment, people and systems related capacities.


Direct Cause (Immediate Cause) Immediate events or conditions (usually one or two specific factors) causing the incident. These immediate events normally comprise sub-standard acts and/or sub-standard conditions, including errors, mistakes and violations.

High Potential An incident with a **potential consequence** level / Incident Severity Rating

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Incident (HPI) (ISR) of 4 or 5 on the Anglo Risk Matrix Consequence table.

Incident Any event that could or does cause a) an undesired alteration in the operating process resulting in harm to people, property, environment, employees or communities or b) non compliance with applicable regulations or standards.

Significant unplanned deviations from standard formalised operating procedures are also classed as an incident. Additionally, ongoing conditions that have the potential to result in adverse consequences are considered to be incidents.

Indirect Cause (Contributing Cause) Events or conditions that increase the likelihood, or severity, of the incident

Incident Severity Rating- ISR The actual or potential severity of the incident as determined by the Anglo Risk Matrix consequence descriptions.

Low Risk Incident An incident with an actual or potential consequence level (ISR rating) of 1 on the Anglo Risk Matrix Consequence Table.

Managed Operation An operation (for example site, project or plant) where Anglo American has operational control.

Medium Risk Incident An incident with an actual or potential consequence level (ISR rating) of 2 or 3 on the Anglo Risk Matrix Consequence Table.

Near Miss (near hit) A common term used to describe an incident, occurrence or situation that has the potential for adverse consequences to people, the environment, property, and/or reputation.

Preventive Action Typically longer term actions that address root causes/systemic failures so incidents of a similar nature do not occur under the same or equivalent circumstance. These actions are often identified by trend analysis of a number of incidents or analysis of root causes.


Root Cause (Basic Cause, Underlying Cause) Higher-order, fundamental causal factors relating to failures to properly implement integral management and leadership controls, which lead to the direct and contributing causes. Root causes address classes of deficiencies, rather than single problems or faults and hence correction of root causes prevents recurrence of both similar incidents and other incidents. Root causes address personal factors and/or job factors, systems failures and organisational factors.

Significant Incident An incident with an **actual consequence** / ISR rating of level 4 or level 5 on the Anglo Risk Matrix Consequence Table.

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4 TASK REQUIREMENTS

4.1 INCIDENT NOTIFICATION

All incidents shall be reported immediately to the Supervisor by the person who becomes aware of the incident.

The supervisor shall take whatever steps are necessary to control the incident – preventing or minimising harm and damage, and ensuring no further negative outcome from the incident occurs.

The supervisor shall notify his or her manager of the occurrence of the incident in accordance with site or Business Unit (BU) procedures.

4.2 INITIAL ASSESSMENT/CLASSIFICATION

All incidents reported within Anglo shall be accurately and consistently assessed and classified in order to determine the appropriate level of investigation and higher level reporting.

Incident classification shall be determined by the affected Site Manager/Supervisor in conjunction with the appropriate site S&SD manager by comparing firstly the actual consequences of the incident against the "Consequence" level descriptions in the Anglo SHE 5X5 Risk Matrix and secondly by comparing the potential consequences of the incident against the 'Consequence' level descriptions in the Anglo SHE Risk Matrix Consequence Table (refer Appendix I)

The following considerations should be taken into account when assessing the potential of a particular incident:


- The potential consequences should be considered as the maximum reasonable consequences that could arise from the particular incident under consideration or a very similar incident with minor changes in circumstances (i.e. a vehicle roll-over that actually occurred on a normally busy haul road when no other vehicles were nearby, could have rolled and interacted with other vehicles if the incident had occurred a few minutes earlier or later);
- The potential consequences should be determined on the basis that any administrative controls that were or should have been in place failed or were not utilised (i.e. the consequences had PPE not been worn or utilized);
- The energies involved in the incident and the nature of the controls in place. Where substantial energies are involved and are released unexpectedly it would be expected that a high potential incident could result unless sufficient high level controls are in place to mitigate the high energy levels; and;
- Where a serious outcome was avoided simply due to a 'moment in time' or a 'fraction of distance' (i.e. where luck prevented an actual serious incident), it would be expected that the incident would be rated as a High Potential Incident.

In the event of any Significant or High Potential Incident, work shall cease in the area / process involved in the incident and shall only resume once the necessary actions, including re-evaluation of any relevant risk assessments, have been undertaken to ensure the activity or process can be re-commenced. The instruction to resume work shall be made formally by the most senior site official as determined by site procedures.

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4.3 REPORTING SIGNIFICANT INCIDENTS

All Significant Incidents shall be immediately reported by the affected general manager or most senior site manager to the BU Head of Operations and BU Head of S& SD.

Subsequently, as soon as emergency response activities permit (but not longer than two hours after becoming aware of the incident), the BU Head of Operations shall notify the BU CEO and other BU senior leaders of the emergency situation.

The Business Unit CEO shall notify the Anglo American Chief Executive Officer and Group Head of S&SD. At the same time, the BU Head of S&SD shall report the incident to the Group Head of S&SD (verification) and corresponding Group Discipline Head (e.g. Safety) and S&SD Engagement Manager.

The purpose of these communications is to:

- Ensure all key Anglo personnel are made aware of the significant incident in a timely manner;
- Enable activation of Business Unit Emergency Response/Crisis Plan procedures, as required; and
- Ensure internal and external stakeholders as per local legislation and/or other agreements are notified of the occurrence of the significant incident

Further notification of Significant Incidents to the Group Management Committee, their first line reports; Business Unit CEOs and Heads of S&SD and corporate function S&SD personnel shall be managed by the Group Head of S&SD as per the Notification table in Appendix II.

All other staff shall be notified via the Source and through other appropriate business unit communication channels.

An initial review of the immediate facts pertaining to incidents and their applicability shall be conducted as soon as possible following any significant incident notification. This review would normally be conducted by the responsible supervisor and this information would be conveyed to the affected operational line managers and the operation's general manager.

4.4 INCIDENT INVESTIGATION

All incidents shall be investigated in accordance with the Anglo American Investigation Process described in **AA_SSDP_01100 – Incident Investigation Manual**. This process defines the:


- ◆ Required composition of investigation teams (in accordance with the severity level of the incident);
- ◆ Key steps in the investigation process; and
- ◆ Types of analysis tools that could be used.

Further information in this regard may be obtained from Business Unit, Regional and/or site based Anglo Lead Investigators and Safety personnel.

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4.5 SIGNIFICANT AND HIGH POTENTIAL INCIDENTS

Significant and High Potential incidents, at least, shall be investigated using the methods, tools and techniques specified in the Incident Investigation Manual.

Significant Incident investigation teams shall include at least one senior member (who might or might not be the lead investigator) who is independent of the workplace and those involved in the incident. The team should include subject specialists from either within the Business or the Group and, where required, should consult with other specialists such as key personnel from the Anglo American S&SD and/or Anglo American Mining and Technology Group.

A similar investigative approach is recommended for High Potential incidents, where this is practicable in the context of the numbers of High Potential Incidents being reported at the particular reporting entity.

Significant Incident investigation teams shall be supported by an Anglo American S&SD nominated Incident Investigation facilitator. All investigations should consider both direct, indirect and root causes, and actions at workplace, site and beyond site levels (including but not limited to the Business and the Group levels).

4.6 MEDIUM OR LOW RISK INCIDENTS

Incidents with Medium actual/potential consequence should be formally investigated using appropriate investigation and analytical tools as described in the Incident Investigation Manual.

Specific requirements in this regard should be formalised at Business Unit level.

Incidents with Low actual/potential consequence should be investigated in the workplace using methods approved at Business Unit level.

4.7 DEVELOPMENT OF CORRECTIVE / IMPROVEMENT ACTIONS AND PREVENTATIVE ACTIONS

Corrective (improvement) actions shall be determined from the incident investigation findings and conclusions. Corrective actions shall be subject to formal review to ensure a) the actions are progressed and closed out in accordance with agreed time frames; b) the effectiveness of these actions in addressing the issues arising from the incident investigation and c) that any change management issues are identified and addressed.

Preventative actions shall be determined from the incident investigation findings and conclusions; these are typically longer term actions that address root causes/systemic failures. These actions are often identified by trend analysis of a number of incidents or analysis of root causes.

4.8 INCIDENT CLOSE OUT

Business units shall develop and implement standardised 'Close-out' processes for all incidents that have an actual or potential severity rating 3 or higher.

Incident Close-out processes shall include a close-out meeting, the purpose of which is to:

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- ◆ Enhance and ensure the integrity of the application of the Anglo Incident Investigation Process;
- ◆ Review the corrective and preventive actions and agree the timelines and responsibilities for implementation; and
- ◆ Provide direct feedback to persons involved or associated with the incident on the outcomes of the incident

Persons involved in the incident Close-out process should include:

- ◆ Injured person/s (where possible), in the case of a safety related incident;
- ◆ Other affected / involved persons in the case of non-safety related incidents;
- ◆ Injured, affected or involved person's supervisor and department head or manager; and
- ◆ The managed operation senior or appropriate manager.

Details of the Close-out process shall be included in the final incident investigation report.

4.9 FINAL CLASSIFICATION OF INCIDENTS

Subsequent to the completion of the incident investigation, the initial classification of the incident (both severity and reportability) shall be reviewed and confirmed or amended in the light of the investigation findings. Where the incident involved injuries or occupational illnesses, the final classification of the incident will be determined and agreed in accordance with the Anglo American document AA_SSDSPEC_00100- 'Scope of Safety and Occupational Health Management, Stewardship and Reporting'.

5 ROLES AND RESPONSIBILITIES

The most senior management level at each Anglo American Project and Managed Operation is responsible for the application and execution of the Incident Reporting and Investigation procedure.

6 COMPETENCIES AND AUTHORITIES

Operations shall ensure that there is a good understanding of incident reporting requirements and that people participating in incident investigations have a good command of the investigation methodology.


Competencies in SD incident investigation can be achieved through the specific courses developed by Anglo.

- Line Managers shall complete the Learning from Incidents Managers Awareness course
- Lead Investigators shall complete the Lead Incident Investigators course
- Investigation team members shall complete the Incident Investigation Course

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7 VERIFICATION AND MEASUREMENT

Compliance with the requirements of this procedure will be verified through internal and external reviews, including ad-hoc SHEC systems assessments and risk audits undertaken by the Anglo American S&SD Assurance function.

8 REFERENCES

AA_SSDP_00800- Learning from Incidents Process

AA_SSDP_01000- Procedure for Sharing Lessons Learned

AA_SSDP_01100- Incident Investigation Manual

AA_SSDP_00300- Procedure for Baseline or Full Site Risk Assessment


AA_SSDP_xxxx – Procedure for Health Incident Reporting

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9 APPENDICES

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9.1 APPENDIX I – ANGLO RISK MATRIX CONSEQUENCE TABLE

| Impact Type (Additional 'Impact Types' may exist for an event; identify & rate accordingly) (S) – | Consequence Level (consider the maximum reasonable potential consequence of the event) | | | | |
|--|--|---|--|--|---|
| | 1 Minor | 2 Low | 3 Medium | 4 High | 5 Major |
| Harm to People-Safety | First aid | Medical treatment | Lost time | Permanent disability or single fatality | Numerous permanent disabilities or multiple fatalities |
| (H) – Harm to People-Occupational Health <i>Note – further definition on health incidents (beyond the information provided in the Anglo Risk Matrix), is included in this section to provide additional guidance on the nature of health incidents</i> | <p>Exposure to health hazard resulting in minor discomfort</p> <p><i>Further definition – health incidents:</i></p> <ul style="list-style-type: none"> Employee complaint about work environment Measured exposure above OEL or STEL on single occasion Signs of exposure (without symptoms) on medical surveillance Employee not wearing PPE Travel related illness not requiring medical treatment or lost time | <p>Exposure to health hazard resulting in symptoms requiring medical intervention and full recovery (no lost time)</p> <p><i>Further definition – health incidents:</i></p> <ul style="list-style-type: none"> Exposure to hazards with symptoms Repeated measurements over OEL indicating failure of controls Biological exposure index exceeded Exposure over the OEL discovered on investigation of medical incidents Minor occupational disease requiring treatment but with full recovery (no lost time) Travel related illness requiring treatment – no lost time | <p>Exposure to health hazards/ agents (over the OEL) resulting in reversible impact on health (with lost time) or permanent change with no disability or loss of quality of life</p> <p><i>Further definition – health incidents:</i></p> <ul style="list-style-type: none"> Minor occupational disease requiring treatment but with full recovery (lost time) Early signs of occupational disease resulting in job change without loss of income Exposures where there is an immediate threat to health but no danger to life e.g. exposures to very toxic substance without harm Travel related illness requiring treatment with lost time | <p>Exposure to health hazards/ agents (significantly over the OEL) resulting in irreversible impact on health with loss of quality of life (permanent disability) or single fatality</p> <p><i>Further definition – health incidents:</i></p> <ul style="list-style-type: none"> High level exposures where there is an immediate threat to life Occupational disease with permanent incapacity but not severe enough for compensation Failure of a major installation resulting in exposure with an immediate and widespread threat to health and life Disease outbreaks – multiple cases of occupational disease or community related disease e.g. food poisoning, cholera etc | <p>Exposure to health hazards/ agents (significantly over the OEL) resulting in irreversible impact on health with loss of quality of life of a numerous group/ population or multiple fatalities</p> <p><i>Further definition – health incidents:</i></p> <ul style="list-style-type: none"> Occupational disease with permanent disability severe enough to attract compensation Occupational disease resulting in medial retirement Exposure to health hazards / agents (significantly over the OEL) resulting in irreversible impact on health with loss of quality of life, death or numerous group / population or multiple fatalities |

| | | | | | |
|---|---|--|---|---|--|
| (E) Environmental Impact* | Lasting days or less; affecting small area (metres); receiving environment highly altered with no sensitive habitats and no biodiversity value (e.g. urban / industrial areas). | Lasting weeks; affecting limited area (hundreds of metres); receiving environment altered with little natural habitat and low biodiversity value | Lasting months; affected extended area (kilometres); receiving environment comprising largely natural habitat and moderate biodiversity value | Lasting years; affecting area on sub-basin scale; receiving environment classified as having sensitive natural habitat with high biodiversity value | Permanent impact; affecting area on a whole basin or regional scale; receiving environment classified as highly sensitive natural habitat with very high biodiversity value |
| (C) Social / Community Impact | Minor disturbance of culture/ social structures | Some impacts on local population, mostly repairable. Single stakeholder complaint in reporting period | On going social issues. Isolated complaints from community members/ stakeholders | Significant social impacts. Organized community protests threatening continuity of operations | Major widespread social impacts. Community reaction affecting business continuity. "License to operate" under jeopardy |
| (L&R) Legal & Regulatory | Technical non-compliance. No warning received; no regulatory reporting required | Breach of regulatory requirements; report/involvement of authority. Attracts administrative fine | Minor breach of law; report/ investigation by authority. Attracts compensation/ penalties/ enforcement action | Breach of the law; may attract criminal prosecution of Operating Co. and/or of Directors/ Mgrs. And penalties/ enforcement action. Individual licence temporarily revoked | Significant breach of the law. Individual or Class action law suits, criminal prosecution of Co., Directors/ Mgrs. Suits against parent Co.; permit to operate substantially modified or withdrawn |
| (M) Material Losses/ Damage/ Business Interruption | < 0.01 % of Annual Revenue/ Total Assets | 0.01 - 0.1 % of Annual Revenue/ Total Assets | 0.1 – 1.0 % of Annual Revenue/ Total Assets | 1 - 5 % of Annual Revenue/ Total Assets | > 5 % of Annual Revenue/ Total Assets |
| (R) Impact on Reputation | Minor impact: awareness/ concern from specific individuals | Limited impact: concern/ complaints from certain groups/ organizations (e.g. NGOs) | Local impact: public concern/ adverse publicity localised within neighbouring communities | Suspected reputational damage; local/ regional public concern and reactions | Noticeable reputational damage; national/ international public attention and repercussions |

** Note – environmental incidents are classified according to the duration and extent of impact, as well as the sensitivity of the habitat (receiving environment) and conservation value of the biodiversity. Refer to the 'Guideline for preparing Biodiversity Action Plans (BAR) – P. Coombes (2005), for definition of biodiversity value. Where doubt exists as to which consequence / severity level to use, be guided by that component of environmental impact that gives the most conservative (higher) consequence rating*

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9.2 APPENDIX II - SIGNIFICANT INCIDENT NOTIFICATION PROCESS & TEMPLATE

| Step No. | Step | Responsibility / who notifies | Who gets notified | Timing | Communications channel / medium |
|-----------|---|--|---|-------------------------|--|
| 1a | Immediate Site Notification - verbal | Affected site line manager | - Affected site General Manager / most senior Site Manager | Immediate | Verbal |
| 1b | Immediate Notification - verbal | Affected General Manager / most Senior Site Manager | - BU Head of Operations or alternate - Business unit (BU) Head of S&SD - BU Legal | Immediate | Phone |
| 2a | Immediate Notification - verbal | BU Head of Operations (Emergency / Crisis Co-ordinator) | Senior BU leaders: - BU CEO - Country/BU Head of External Affairs - BU Head of S&SD (confirmation) - BU Head of HR - BU CFO - BU Legal team - Other senior BU managers | 0-2hours | By phone to Business Unit distribution list |
| 2b | Immediate Notification – verbal followed by Email (1) | BU Head of S&SD | - Group Head of S&SD - Group Discipline Head (e.g. Head of Safety) - S&SD Engagement manager | 0-2 hours | Phone / SMS/email Notification template to be used in email |
| 3 | Immediate Notification - Verbal | BU CEO | Group senior leaders - AA plc CEO - AA plc Chairman - Group Head of S&SD (confirmation) | 0-4 hours | By phone /SMS |
| 4a | Immediate Notification Confirmation | Group Head of S&SD or delegate (e.g Group Head of Safety) | - AA plc CEO (confirmation) | 4-12 hours | By phone/ SMS |
| 4b | Immediate Short Notification (Email/SMS) | Group Head of S&SD or delegate (e.g Group Head of Safety) | - Exco/GMC members/Chair S&SD Committee - S&SD Executive - Group Head of Discipline (e.g. Safety) - Group Head of Investor Relations - Head of Govt Rels/PA (LDN & JHB) - Group Head of Corporate Comms - Group Head of HR - Crisis Comms Co-ordinator (Ldn/JHB) - Group Head of Legal - S&SD Engagement manager | 12-24-hrs of incident | Email (immediate and SMS using Significant Incident Immediate Notification list (insert email address) |
| 5 | Immediate Notification (Email) | Group Head of S&SD or delegate (e.g. Group Head of Safety) | Senior leadership teams in BUs, functions & significant incident email list | 24- 36 hrs of incident | Email using S&SD Alerts & LFI distribution list |
| 6a/ 6b | Immediate Notification (theSource) | Group S&SD Comms – web editor | All staff with access to the Source | 36-48 hours of incident | Safety dashboard/ the Source |

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Significant Incident Notification template

The following internal email notification template shall be used.

| |
|---|
| <p>Title: Significant Incident - Immediate Notification e.g. Fall of Ground – 20.05.07</p> <p><i>The title of the email should include the type of incident (general energy type) and date</i></p> <p>Date: 20.05.2007</p> <p>Location: XYZ Site, Business Unit, Country</p> <p><i>Site name, BU, country (not everyone who sees the notification may know this)</i></p> <p>Time: Approximately 03:00 hrs</p> <p>Involved: 2 employees and 1 contractor</p> <p><i>Note number of employees, contractors or third parties involved.</i></p> <p>Injuries: 2 fatalities (1 Employee, 1 Contractor), 1 in a serious condition in hospital (1 Employee)</p> <p><i>Summary of injuries (Employee, Contractor and Third Party)</i></p> <p>Description:</p> <p><i>A brief, factual and neutral description of what happened – 2-3 sentences.</i></p> <p><i>Although the name of any deceased / injured parties may be included, other personal information should not be included.</i></p> <p><i>There should be no attempt to predict the potential cause(s) of the incident.</i></p> <p>Comment:</p> <p><i>Additional comment area – optional (includes any early learning from the incident)</i></p> <p>e.g. “The site management have stabilised the situation and initiated an investigation to Business unit standards and further updates on the situation are being provided by NAME.”, or</p> <p>“Suggest other operations to review the specifications of support material versus the Mine Support Plan”</p> <hr/> <p>Distribution of this Significant Incident Notification is for preliminary information only. It does not imply a judgement regarding the Anglo classification of the incident.</p> |
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Lang Jennifer (Admin Review)

From: Andrews, Darren <darren.andrews@angloamerican.com>
Sent: Thursday, 8 August 2013 5:55 PM
To: SLEIGH John
Cc: Job, Andrew; Turnbull, Krystal
Subject: Response to your inquiry.
Attachments: DNRM Response 08082013.pdf

John,

Please find attached our response in regards to your EMAIL regarding "Inquiry about accident investigation process" received on 1 august 2013.

Please call should you require any further information.

Regards,

Darren Andrews
Safety, Health & Environment Manager, Surface Operations



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METALLURGICAL COAL

Anglo Coal (Capcoal Management) Pty Ltd

CAPCOAL OPEN CUT OPERATIONS

P.M.B. 1, Middlemount, Qld, 4746

www.angloamerican.com

A member of the Anglo American plc group

RTI DL RELEASE - DNRM

John Sleigh

(Acting) Manager, Safety and Health, Central Region
District Inspector of Mines, RockhamptonDepartment of Natural Resources and Mines
Level 5, 34 East St Rockhampton, 4700

6 August 2013

**RE: YOUR EMAIL REGARDING "INQUIRY ABOUT ACCIDENT INVESTIGATION
PROCESS" RECEIVED ON 1 AUGUST 2013**

Dear John,

I write in response to your email above.

In your email, you raised the following concerns in relation to the incident involving the injury of a coal mine worker at the Capcoal Surface Operations Coal Mine on 1 June 2013:

- *The report on the accident was not forwarded to an inspector within 30 days, as required by section 201 (1) (c) of the Act and section 14 and Schedule 2 of the Regulation*
- *There was no OCE involved in the investigation, as required by section 15 (2) of the regulation.*

The incident is not of a type prescribed by regulation for which I am required to forward the investigation report to an inspector within 1 month under section 201(1)(c) of the Coal Mining Safety and Health Act 1999. Despite this, I caused an investigation report to be prepared in relation to the incident and to be submitted online on 1 July 2013 using the Form 5A. I understand that this form was approved by the Chief Inspector of Mines for this purpose.

The investigation team prepared a further investigation report in relation to the incident. A copy of that further report was provided to Mr Mick McWilliam following his request on 16 July, 2013.

In relation to the involvement of an OCE during the investigation, I can confirm that the OCE on duty at the time of the incident, Mr Blain Robertson, was involved in the investigation including to verify account of the incident details. The OCE was not listed in the report as one of the members of the investigation team because he was not in attendance for the full duration of the investigation.

You also stated that "We were also advised that the injured person was not interviewed as part of the investigation required by section 201 (1) (a) of the Act and section 15 of the Regulation". And that "We were told that when he asked about the incident, the findings of the investigation were not given to him, as required by section 15 (1) of the Regulation".

Member of the Anglo American plc groupAnglo Coal (Capcoal Management) Pty Limited
Level 11, 201 Charlotte Street, Brisbane 4000 Australia GPO Box 1410 Brisbane 4001 Australia. T +61 (0)7 3834 1333 F +61 (0)7 3834 1390.
ABN 73 010 037 564

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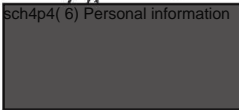
This is not correct. A statement was taken from the injured person on the morning following the incident. This was the first opportunity available to take his statement as he was taken to hospital immediately following the incident for medical treatment.

The injured person contacted the coal mine operator and requested a copy of the "full investigation report". The coal mine operator understood this to be a request for a copy of the further investigation report mentioned above. He was advised that the requested report had not been finalised and was subject to legal professional privilege.

I trust this response provides clarification of the relevant events.

Yours sincerely

sch4p4(6) Personal information



Darren Andrews on behalf of:

Andrew Job

SSE

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RTI DL RELEASE - DNRM