

## LANG Jennifer (Admin Review)

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**From:** Job, Andrew <andrew.job@angloamerican.com>  
**Sent:** Friday, 2 August 2013 7:04 AM  
**To:** SLEIGH John  
**Subject:** RE: Inquiry about accident investigation process  
**Attachments:** MetCoal\_11-4\_STD\_Incident Reporting.doc; SHMS.5.096 Incident Reporting Recording and Investigation - Surface Operations.doc

Hi John,

As discussed yesterday please find attached procedure for investigating accidents and incidents. We also have as reference the Anglo American Metallurgical Coal group standard which we use across the Anglo group.

The current SOP requires a review given that we use Apollo is not our preferred tool (ICAM is used) and the new group standard has been released. This procedural review will occur as a priority.

Also, I spoke with Darren late last night and asked him to detail to me this morning the specific responses to the points that you have raised, so if OK with you I will respond separately and later today on the other points that you raised.

Kind Regards,  
Andrew.

---

**From:** SLEIGH John [mailto:John.Sleigh@dnrm.qld.gov.au]  
**Sent:** Thursday, 1 August 2013 4:22 PM  
**To:** Job, Andrew  
**Cc:** MCWILLIAM Mick  
**Subject:** Inquiry about accident investigation process

Andrew,

During an investigation of a complaint by a coal mine worker about not being interviewed in relation to an incident causing serious bodily injury suffered at the mine, it became apparent:

- 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 92) of the regulation.

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. 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.

Inspection Officer Mick McWilliam has made a request to Darren Andrews for a copy of the mine's procedure required by section 15 of the Regulation. It has not yet arrived. Could you please advise me when it will be made available? I expect a reply as soon as possible, and if there is any delay, an explanation of the delay. I have also left a message on your phone.

**John Sleight**

(Acting) Manager, Safety and Health, Central Region  
District Inspector of Mines, Rockhampton

Department of Natural Resources and Mines  
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Web: <http://mines.industry.qld.gov.au>

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**INCIDENT REPORTING, RECORDING AND INVESTIGATION -  
 SURFACE OPERATIONS**

Document N°: SHMS.5.096.1

Copy N°: 2

Issued to: Capcoal Intranet

Approval: Alisdair Gibbons

ISSUE N°	ISSUE DATE	ORIGINATOR	REVIEWED RELEVANT MANAGER	REVIEWED S & H MANAGER	APPROVED SSE	SIGNATURE
1	27 October 2006	M. Collins				
			A. McLeod			
			G. Poulson			
			S. Stook			
			C. Newitt			
			C. Woodman			
			L Vecellio			
				M. Collins		
					A. Gibbons	

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**AMENDMENTS**

ISSUE NO.	ISSUE DATE	DESCRIPTION	INITIAL
1	27 October 2006	New document for Surface Operations - replacing SHMS.5089.3	MC
	06 August 2007	Section 7.1 Add training codes to S1, S2 and S3 competencies	HV

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## 1. PURPOSE

The purpose of this procedure is to provide a standard process for the reporting, recording and investigation of all work-related incidents.

This procedure is to be read in conjunction with the following SHEC Corporate Management System Standards that are located on the Anglo Coal Intranet:

- ◆ Reporting and Management of SHEC Incidents & Performance (Doc 4.2.COMCON.2);
- ◆ Non-Conformance, Corrective and Preventative Action (Doc 6.2.NONCONF.1);
- ◆ Reporting and Reviewing Fatalities and Other Serious Incidents (Doc 4.2.COMCON.3);
- ◆ Incident Investigation and Analysis (4.2 COMCON.4).

*Coal Mining Safety & Health Regulation 2001 - Regulation N° 15 - Investigating accidents and incidents*

## 2. SCOPE

This procedure is applicable to all incidents at Capcoal Surface Operations, which involve employees, contractors or visitors.

This procedure is to be applied when the following incidents have occurred:

- ◆ Injury/Illness;
- ◆ Personal Injury;
- ◆ Injuries when there is no treatment;
- ◆ Near Misses;
- ◆ Occupational Illness;
- ◆ Environmental harm;
- ◆ Equipment damage;
- ◆ Business Loss;
- ◆ Security;
- ◆ All incidents as defined in Schedule 1 of the Coal Mining Safety and Health Regulation 2001.

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### 3. DEFINITIONS

**Close Out Meeting:** A meeting at the completion of any Incident with an ISR actual / potential of 2 or greater. The intent of the close out meeting is to provide feedback to the incident originator and other persons involved. This meeting will be organised and attended by the accountable Department Manager.

**DME:** Department of Mines and Energy.

**FAC:** First Aid Case - 'any one time treatment and subsequent observation of minor scratches, cuts, burns, splinters, and so forth, which do not ordinarily require medical care by a physician. Such treatment and observation are considered 'First Aid' even though (when/if they are) provided by a physician or registered professional personnel.....'.

**HPI:** High Potential Incident - at Coal Mine is an event or a series of events that causes or has the potential to cause a significant adverse effect on the safety or health of a person, asset/equipment, environment or reputation. Any incident with an Actual or Potential ISR of 4 or 5.

**INCIDENT:** An unplanned event or chain of events, which has or could have caused Injury or Illness and/or Damage (Loss) to Assets, the Environment or Third Party/Parties.

**ISR:** Incident Severity Rating - a rating assigned to an incident to depict the actual and/or potential seriousness of the incident.

**LTI:** Lost Time Injury - where the person sustains an injury and as a result of this injury is unable to perform normal or regular duties on any day/s subsequent to this injury, the injury is an LTI. In this case "any day/s" includes rostered days off, weekend days, scheduled public holidays, annual leave days or days after ceasing employment.

**MTC:** Medical Treatment Case - is any work related injury that results in the injured person receiving treatment which under normal circumstances would be provided by a medical professional via medical treatment and/or

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prescription (as distinct from diagnosis). For the injury to be classed as a MTC, the injured person must be able to resume his/her regular duties on the day after the injury was incurred.

- OCCILL:** Occupational Illness - is a work-related condition or disorder caused predominantly by exposures at work, other than one resulting from a Work Injury. The primary difference between a Work Injury and an Occupational Illness is whether it resulted from a single event (a Work Injury) or from prolonged or multiple exposures to hazardous substances or work conditions.
- R.C.A:** Root Cause Analysis: An investigative process to analyse the root cause of incidents and determine appropriate actions to be implemented to prevent reoccurrence.
- RPO:** Report Only - An injury has occurred but no treatment has been administered or requested.
- Shall:** Indicates that a statement is mandatory.
- Should:** Indicates a recommendation.
- Supervisor:** Any person carrying out a supervisory role.
- SIR:** Significant Incident Report - for all incidents other than those incidents that are subject to protection under legal professional privilege that have an actual or potential consequence rating of 4 or 5 via the ACAP1 ISR.
- TRC:** Total Reportable Cases - are the sum of the all Fatalities, Disabilities, Lost Time Injuries and Medical Treatment Cases.

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#### 4. PROCEDURAL REQUIREMENTS

##### 4.1 Immediate Post-Incident Actions

When an incident occurs, the first action to be taken is to immediately notify the supervisor and Gatehouse.

If required, the following activities shall be undertaken depending on the severity of the incident:

- ◆ The site's Emergency Response Procedure is initiated;
- ◆ Arrange for any necessary medical treatment;
- ◆ Take measures to prevent the situation from escalating and causing either further injury or damage.

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Where possible and if required, the site should be left unchanged until an investigation team has inspected it or approval from DME to release area if serious incident or HPI. Where this is not possible, photographs should be taken or sketches should be made of the scene (*Coal Mining Safety & Health Act 1999 Section 200*). A preliminary assessment of the incident should be made to identify the extent of injury or damage and any potential for escalation. Persons involved in a vehicle accident shall be tested for Blood Alcohol Content (BAC) and drug impairment.

#### 4.2 Reporting an Incident

ALL incidents shall be reported to the immediate supervisor. This includes injuries where no first aid or medical treatment is sought.

The immediate supervisor of the employee involved in the incident shall rate the incident severity by using the ACAPlc Incident Severity Rating (ISR) Matrix (Appendix 1).

The following escalation of verbal notification shall occur, based on the ISR:

**A = Actual    P = Potential**

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ISR A=Actual P=Potential		Immediate Supervisor	Department Manager/s	Safety & Health Manager	GM / SSE	SSHR Refer to Section 8 Roles & Responsibilities	BCO Refer to Section 9 Roles & Responsibilities	DME Refer to Section 8 Roles & Responsibilities	ISHR Refer to Section 8 Roles & Responsibilities
1 (P,E,A,R)	A	Immediately	Immediately or before end of shift	Via SiteSafe	Via SiteSafe	Immediately or before end of shift	2 P within 24 hrs	2 P (if MTC) Verbal immediately & written within 48hrs	2 P (if MTC) Verbal immediately & written within 48hrs
2 (P,E,A,R)									
	P	Immediately	Immediately or before end of shift	Via SiteSafe	Via SiteSafe	Immediately or before end of shift	Not Applicable	Not Applicable	Not Applicable
3 (P,E,A,R)	A	Immediately	Immediately	Immediately	Immediately	Immediately	Within 24 hrs	Verbal immediately & written within 48hrs	Verbal immediately & written within 48hrs
	P	Immediately	Immediately or end of shift	Immediately	Immediately	Mine Manager Immediately or end of shift	Not Applicable	Not Applicable	Not Applicable
4 (P,E,A,R)	A	Immediately	Immediately	Immediately	Immediately	Immediately	Immediately	Verbal immediately & written within 24 hrs	Verbal immediately & written within 24 hrs

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	P	Immediately	Immediately	Immediately	Immediately	Immediately	Immediately	Verbal immediately & written within 24 hrs	Verbal immediately & written within 24 hrs
5 (P, E, A, R)	A	Immediately	Immediately	Immediately	Immediately	Immediately	Immediately	Verbal immediately & written within 24 hrs	Verbal immediately & written within 24 hrs
	P	Immediately	Immediately	Immediately	Immediately	Immediately	Immediately	Verbal immediately & written within 24 hrs	Verbal immediately & written within 24 hrs

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**4.2.1 Notification to External Authorities**

Depending on the potential or actual severity of the incident, there may be a requirement to report the incident to Anglo Coal Australia Pty Ltd (ACApI) (Brisbane Coal Office - BCO) and relevant external authorities. As soon as practicable, the relevant external bodies and ACApI shall be notified that a significant incident has occurred.

**4.2.1.1 Reportable Incident is any one of the following:**

Any **actual** incident rated as a having a consequence of 2P rating on the ACApI ISR. This includes injuries and occupational illnesses that constitute Medical Treatment Cases or Minor Lost Time Injury type cases.

Any **actual** incident rated as having an actual consequence rating of 3 on the ACApI ISR. This includes:

- ◆ Injuries resulting in lost time or permanent partial disability;
- ◆ Occupational Illnesses resulting in lost time or permanent partial disability;
- ◆ Damage arising from specific incidents which result in direct losses exceeding \$100,000 but less than \$1000,000;
- ◆ Serious harm to environmental values which have high local conservation significance or cause loss or damage to property resulting in costs of between \$100,000 and \$1000,000 to control the impact and rehabilitate or restore the environment to its condition before the harm occurred;
- ◆ Any SHEC incident that results in 'considerable impact' on the reputation of ACApI or one of its operations through regional or broader public concern.

Any incident that is required to be reported as per the requirements of any safety, health and environmental legislation that pertains to the operation in question;

Any incident rated as having a potential ISR consequence rating of 4 or 5 on the ACApI ISR.

An initial phone call to the Department of Natural Resources and Water (DME) and the Industry Safety and Health Representative (ISHR) is required. A formal notification to both the DME and ISHR shall follow via email as soon as

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practicable. The Department Manager shall notify the DME and ISHR. The Safety and Health Manager or the delegated member of the Surface Safety Department shall notify BCO.

**4.2.2 Notifying of Incidents via SiteSafe**

All incidents shall be entered, *as a minimum*, to completion of the "Incident Details" page into SiteSafe, prior to Supervisor's/Contract Holder's completion of shift.

**4.3 Incident Recording**

The Supervisor/Contract Holder of the Involved or Affected Person shall enter the incident directly into SiteSafe once the incident has been notified verbally to the relevant parties.

To assist with this process the Incident Report/Investigation Form (See appendix 2) may be used as an information guide to capture all required fields.

Once the incident has been completely entered into SiteSafe the Incident Report/Investigation Form may be discarded.

**4.4 Incident Investigation**

All incidents at Capcoal shall be investigated.

All incidents shall be subjected to a degree of investigation, to determine the root cause, in order to prevent recurrence. The degree of investigation should be proportional to the potential for loss, where the greater the potential, the greater the degree of investigation and resources, as determined by the ACAPl ISR Matrix. This includes testing of persons involved for Drugs or Alcohol where deemed necessary by OCE / Supervisor or Contract Holder.

**4.4.1 ISR Rating Investigation Table**

*An initial investigation shall be conducted at the time and place of the Incident.* The responsible Supervisor/ Contract Holder will conduct this investigation. Part of this investigation will include identifying the actual and potential severity of this incident using the ACAPl ISR Matrix (Appendix 1).

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ISR Rating A=Actual P=Potential	Investigation Client	Minimum numbers in investigation team	Investigation Target Timeframe	Apollo Root Cause Analysis Required	Significant Incident Report	Close out meeting required with person/s involved in incident	Type of persons comprising the investigation team
All incidents rated 1 - actual or potential	Responsible Supervisor/Contract Holder	2	By end of shift	No	No	No	<ul style="list-style-type: none"> <li>The responsible Supervisor/Contract Holder</li> <li>Person/s involved</li> </ul>
All incidents rated 2 - actual or potential	Department Manager/ and or Superintendent / Responsible Supervisor/Contract Holder	2	7 days	No	No	Yes	<ul style="list-style-type: none"> <li>The responsible Supervisor/Contract Holder</li> <li>Person/s involved</li> </ul>
All incidents rated 3 - actual or potential	Department Manager	2	7 days	No	No	Yes	<ul style="list-style-type: none"> <li>The responsible Supervisor / Contract Holder</li> <li>Person/s involved</li> <li>A more senior Supervisor in whose area the incident occurred;</li> </ul>

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ISR Rating A=Actual P=Potential	Investigation Client	Minimum numbers in investigation team	Investigation Target Timeframe	Apollo Root Cause Analysis Required	Significant Incident Report	Close out meeting required with person/s involved in incident	Type of persons comprising the investigation team
							or <ul style="list-style-type: none"> <li>A person from another department who has specialist knowledge in the equipment or activity associated with the incident</li> </ul>
All incidents rated <ul style="list-style-type: none"> <li>4P - Potential</li> <li>4A, 4E, 4R - Actual or Potential</li> </ul>	Site General Manager	4	As soon as practically possible	Yes	Yes	Yes	<ul style="list-style-type: none"> <li>The responsible or a peer Supervisor;</li> <li>The responsible Manager/Senior Coordinator;</li> <li>A senior member of the mine site</li> <li>Safety, health or environmental Department/s; and</li> <li>Another appropriate person</li> </ul>

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ISR Rating A=Actual P=Potential	Investigation Client	Minimum numbers in investigation team	Investigation Target Timeframe	Apollo Root Cause Analysis Required	Significant Incident Report	Close out meeting required with person/s involved in incident	Type of persons comprising the investigation team
							from the affected mine given the nature of the incident.
All incidents rated <ul style="list-style-type: none"> <li>• 4P actual</li> <li>• 5 all - actual or potential</li> </ul>	Site general Manager and General Manager - Anglo Underground Operations	5	As soon as practicable possible	Yes	Yes	To be determined by Site General Manager	<ul style="list-style-type: none"> <li>• The above four persons; and a senior SHE person or senior manager from another mine or corporate office</li> </ul>

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#### 4.5 The Investigation Method

When investigating an incident, the following process shall be followed:

- ◆ Determine severity (ISR) of incident;
- ◆ Ensure compliance with ISR Rating Investigation Table 4.4.1;
- ◆ Form team; (Must include OCE/Supervisor);
- ◆ Collect data;
- ◆ Analyse the data;
- ◆ Determine findings;
- ◆ Determine recommendations;
- ◆ Determine accountable persons and enter actions arising from investigation into SiteSafe Incident;
- ◆ If required, conduct Apollo Root Cause Analysis see Appendix 8;
- ◆ Complete SiteSafe Incident to Sign Off 1 level.

In the absence of a structured investigation technique, see Appendix 3, 4 and 5 for suggested investigation techniques.

#### 5. PERFORMANCE INDICATORS

- ◆ All sections of Investigation Netform in SiteSafe complete;
- ◆ Investigations to be completed within a targeted timeframe (as per table 4.4.1 ISR Rating Investigation Table);
- ◆ All actions arising out of investigations are tracked (via SiteSafe);
- ◆ All LTI, TRC and High Potential Incidents are to be reviewed by the employee involved and the accountable Department Manager, the Safety & Health Manager and the Site Senior Executive.

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## 6. MONITORING AND MEASUREMENT

### 6.1 Monitoring

6.1.1 Ensure that analysis is conducted on incidents, to enable trending of common issues and to try and prevent reoccurrence of the incident.

#### 6.1.2 Position Responsible for Monitoring

- ◆ Safety & Health Manager.

#### 6.1.3 Location of Documentation

- ◆ SiteSafe Database.
- ◆ There is no requirement to retain paper copies of incident report forms once they are entered into the SiteSafe database.

### 6.2 Measurement

#### 6.2.1 All Sections of Investigation Netform in SiteSafe Complete

- ◆ Investigation NetForms are being completed to ensure all relevant information on incidents is being captured.
- ◆ SHEC Incidents and Minor Hazards Report is generated daily and as a minimum sent to Capcoal Surface SLT, Capcoal Surface Safety and Capcoal Surface SSHR's.
- ◆ ISR Actuals and Potentials are completed on the SHEC Incident Detail Report.
- ◆ Capcoal Surface Safety Advisor is responsible for measurements.

#### 6.2.2 Investigations to be completed Within a Targeted Timeframe

- ◆ The amount of time for completion of the Investigation Netform from date of incident to track efficiency (refer to table 4.4.1 ISR Rating Investigation Table).
- ◆ Compliance with the above must be measured weekly.
- ◆ Capcoal Surface Safety Advisor is responsible for measurements.

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**6.2.3 All Actions Arising Out of Investigations are tracked**

- ◆ All actions from incident investigations are raised on the investigation page and are allocated a SiteSafe action number.
- ◆ Compliance with the above must be measured weekly.
- ◆ Capcoal Surface Safety Advisor is responsible for measurements.

**6.2.4 All Incidents to be reviewed by the Employee Involved and the accountable Department Manager, the Safety & Health Manager and/or the Site Senior Executive**

- ◆ Information from findings of investigations are being communicated to relevant people through sign off of the investigation page.
- ◆ Compliance with the above must be measured weekly.
- ◆ Accountable Capcoal Surface Department Manager is responsible for measurements.

**6.3 Records**

**6.3.1 Description of Records**

- ◆ Incident report / Investigation forms - hardcopy (optional).
- ◆ SiteSafe Report forms - electronic records (Mandatory).
- ◆ Medical Treatment Form (Hard copy).

**6.3.2 Location of Records**

- ◆ SiteSafe (electronic records).
- ◆ Medical Treatment Forms are located at the first aid rooms throughout the surface operations. Completed forms are to be sent to the Surface Safety Advisor.

**6.3.3 Position Responsible for Records**

- ◆ Surface Safety Advisor for electronic records in SiteSafe.
- ◆ Safety Systems Officer - SiteSafe Focal Point.

**6.3.4 Length of Time Records to be kept**

- ◆ Life of mine.

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## 7. COMPETENCIES AND/OR AUTHORISATIONS REQUIRED

7.1 It is mandatory for any person conducting the investigation as a minimum to hold:

- ◆ QMS1 - Apply Risk Management Processes - MNCG1001A;
- ◆ QMS2 - Conduct Health & Safety Investigation - MNCG1008A;
- ◆ QMS3 - Communicate Information - MNCG1009A.

### 7.2 Facilitating Apollo Root Cause Analysis

It is mandatory that any person facilitating an Apollo Root Cause Analysis must have been trained as a facilitator in the Apollo Root Cause Analysis process.

## 8. ROLES & RESPONSIBILITIES

### 8.1 Employees

Employees are to report incidents immediately to their supervisor, participate in any subsequent investigations and Close Out meetings.

### 8.2 OCE /Supervisors/ Contract Holder

Supervisors/Contract Holders shall:

- ◆ Rate the incident severity by using the ACAPlc Incident Severity Rating (ISR) Matrix (Appendix 1);
- ◆ Ensure all incidents are entered, as a minimum, to completion of the "Incident Details" page in SiteSafe prior to Supervisor's/ Contract Holder's completion of shift;
- ◆ Determine the need for Blood Alcohol and/or drug testing of persons involved in any incident;
- ◆ Investigate all incidents;
- ◆ Participate in investigations in accordance with requirements of table 4.4.1 ISR Rating Investigation Table;
- ◆ Present the findings of the investigation for Total Reportable Cases (TRC's) and High Potential Incidents (HPI's) to accountable Department Manager, the General Manager (SSE) and Safety & Health Manager.

### 8.3 Treatment Provider/First Aider

Treatment Provider / First Aider shall:

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- ◆ Complete hard copy Medical Treatment Form located at the first aid rooms throughout the Surface Operations;
- ◆ Forward completed Medical Treatment Form to Surface Safety Department;
- ◆ Complete Injury Illness page in SiteSafe.

#### 8.4 Surface Safety Advisor

Surface Safety Advisor shall:

- ◆ Ensure Investigation NetForms are being completed to ensure all relevant information on incidents is being captured;
- ◆ Ensure SHEC Incidents and Minor Hazards Report is generated daily and as a minimum sent to Capcoal Surface SLT, Capcoal Surface Safety and Capcoal Surface SSHR's;
- ◆ Ensure ISR Actuals and Potentials are completed on the SHEC Incident Detail Report.
- ◆ Monitor on a weekly basis investigations are being completed within the targeted timeframe in accordance with requirements of table 4.4.1 ISR Rating Investigation Table.
- ◆ Ensure all actions from incident investigations are raised on the investigation page and are allocated a SiteSafe action number.

#### 8.5 Department Managers

Department Managers shall:

- ◆ Communicate any reportable incidents to the SSHR, DME and ISHR;
- ◆ Ensure Significant Incident Report – is generated for all incidents with ISR actual or potential of 4 or 5;
- ◆ Ensure Close Out meetings occur for any incidents that they are accountable for;
- ◆ Forward any correspondence to DME onto the Surface Safety Department;
- ◆ Participate in investigations in accordance with requirements of table 4.4.1 ISR Rating Investigation Table;
- ◆ Ensure training of all personnel in incident reporting,
- ◆ Ensure all Incidents are reviewed by the Employee Involved and the accountable Department Manager, the Safety & Health Manager and/or the Site Senior Executive;

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- ◆ Ensure Apollo Root Cause Analysis is conducted for all incidents in accordance with requirements of table 4.4.1 ISR Rating Investigation Table;
- ◆ Sign-off on all incidents related to their department.

**8.6 Safety & Health Manager**

Safety & Health Manager shall:

- ◆ Ensure that analysis is conducted on incidents, to enable trending of common issues and to try and prevent reoccurrence of the incident;
- ◆ Where notification is required notify BCO;
- ◆ Coordinate the review of all Total Recordable Cases (TRC's) and High Potential Incidents (HPI's);
- ◆ Participate in investigations in accordance with requirements of table 4.4.1 ISR Rating Investigation Table.

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**8.7 General Manager/Site Senior Executive**

General Manager/ Site Senior Executive shall:

- ◆ Ensure Significant Incident Report - is generated for all incidents with ISR actual or potential of 4 or 5;
- ◆ Review all HPI and TRC investigation findings;
- ◆ Final sign-off on all TRC and HPI incidents;
- ◆ Make comment on TRC incidents via the Preliminary SHECMS notification in SiteSafe and report to BCO.

**9. REVIEW CRITERIA**

This document shall be reviewed as follows:

- ◆ Every THREE years;
- ◆ When there is a change of method and /or technology that may affect the accuracy of this document;
- ◆ When there has been a significant event to which this document was relevant.

**10. APPENDIX**

- Appendix 1 - ISR Matrix
- Appendix 2 - Incident Report / Investigation Form
- Appendix 3 - Sample Investigation Questions
- Appendix 4 - Fishbone Diagram - Worked Example
- Appendix 5 - The Investigation Process - Gathering Evidence
- Appendix 6 - Significant Incident Report
- Appendix 7 - First Aid treatment Report
- Appendix 8 - Apollo Root Cause Analysis flowchart

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**APPENDIX 1 - ISR MATRIX**

Anglo American Plc Risk Matrix	Hazard Effect / Consequence (Where an event has more than one 'Loss Type', choose the 'Consequence' with the highest rating)				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
<b>Loss Type</b> (Additional 'Loss Types' may exist for an event; identify & rate accordingly)					
<b>(S/H)</b> 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> 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>(BI/MD)</b> 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> 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> 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

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The consequence component of the Incident Severity Rating is described as:

- ◆ Actual or Potential Incident Outcome / Consequence (1 - 5); then
- ◆ Loss type.

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APPENDIX 2 - INCIDENT REPORT / INVESTIGATION FORM

AngloCoal Australia CapCoal Management Pty Ltd		Incident Report / Investigation Form		SSNo.
<b>1. Employee Details</b> <i>to be completed by employee directly involved or, supervisor</i>				
Surname:	First Name:	Gender: M <input type="checkbox"/> F <input type="checkbox"/>	DOB:	
Employer:	Position:	Supervisor:		
Site:	Department:	Contract Holder:		
Roster: (Type of hrs)	Shift: D <input type="checkbox"/> A <input type="checkbox"/> N <input type="checkbox"/>	Days into shift:		
<b>2. Incident Description</b> <i>to be completed by employee and/or supervisor</i>				
Incident Type: Injury <input type="checkbox"/> Nil Treatment <input type="checkbox"/> Near Miss <input type="checkbox"/> Damage <input type="checkbox"/> Environment <input type="checkbox"/> Security <input type="checkbox"/> Business Loss <input type="checkbox"/>				
Date of Incident:	Time of Incident:	am / pm	Reported By:	
Date Reported:	Time reported:	am / pm	Reported to:	
Physical Location:		Exact location:		
Work status: Restricted Duties <input type="checkbox"/>	Injury Category: FAG <input type="checkbox"/> MTC <input type="checkbox"/> LTI <input type="checkbox"/> Occl L <input type="checkbox"/>	Fatality <input type="checkbox"/>		
Description of incident <i>attach extra pages, drawings</i>				
What immediate actions were implemented?				
<b>3. Medical Treatment Details</b> <i>to be completed by treatment provider</i>				
Injury Nature:		Body Part Injured:		
Treatment:				
Type of treatment: First Aid <input type="checkbox"/> Doctor <input type="checkbox"/> Hospital <input type="checkbox"/>				
Name: (please print)		Signature:		
<b>4. Supervisor's Investigation</b> <i>to be completed by the immediate supervisor</i>				
Actual ISR	P/E/A/R 1/2/3/4/5	A/B/C/D/E	Potential ISR	P/E/A/R 1/2/3/4/5
Investigation Level		1 2 3 4		
Have Witnesses been interviewed and statements taken? Y/N		Names of Witnesses:		
Mechanism:		Agency:		
General Failure Type:				
Supervisors Comments and Findings:				
Reportable to DNRM: Y <input checked="" type="checkbox"/> N				
Reportable to SSHR: Y / N				
Reportable to ISHR: Y / N				
Reportable to BCO: Y / N				

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Incident Investigation

Sequence of Events / Facts

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Incident Investigation cont.	
People	
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Anglo Coal (Capcoal Management) Pty Ltd  
 Safety & Health Management System  
 Incident Reporting, Recording and  
 Investigation - Surface Operations



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### APPENDIX 3 - SAMPLE INVESTIGATION QUESTIONS

#### People

- ◆ Was there a written work procedure for the task? Is it adequate and current?
- ◆ Was the worker trained on the procedure and did they follow it?
- ◆ Was worker distracted or rushed? Why?
- ◆ Was the required Personal Protective Equipment available and was the worker wearing it?
- ◆ Was the worker wearing appropriate footwear/clothes for the task?
- ◆ If assistance was needed for the task did the worker request it and was it available?
- ◆ Were workers experienced in the work being done?
- ◆ Can they physically do the work?
- ◆ What was the status of their health?
- ◆ Were they tired?
- ◆ Were they under stress (work or personal)?
- ◆ Were the workers competent and authorised?

#### Environment

- ◆ Was the location or position of the equipment, material or worker a contributing factor? (i.e. trip/slip hazards)
- ◆ Was the hazardous condition/area identified previously and reported? If not, why?
- ◆ Was there sufficient workspace?
- ◆ Were environmental conditions a contributing factor? (Lighting, noise, ventilation, weather, time of day etc.)
- ◆ Was poor housekeeping a problem?
- ◆ Were toxic or hazardous gases, dusts, or fumes present?

#### Equipment

- ◆ Were there any defects in equipment, tools or materials that contributed to the incident?

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- ◆ What caused it to fail?
- ◆ Was the equipment known to be faulty prior to the incident? Why was it not reported, repaired/replaced?
- ◆ Was the equipment appropriate for the job and readily available for the task?
- ◆ Have workers been trained in the use of the equipment?
- ◆ Are written safe work procedures in place to operate equipment/tools?
- ◆ Was the machinery poorly designed?
- ◆ Were hazardous substances involved?
- ◆ Were they clearly identified?
- ◆ Was a less hazardous alternative substance possible and available?
- ◆ Was the raw material substandard in some way?
- ◆ Should personal protective equipment (PPE) have been used?
- ◆ Was the PPE used?
- ◆ Was there any modification to equipment?

**Processes**

- ◆ Was there a failure to detect, anticipate or report a hazardous condition?
- ◆ Was there a failure to detect or correct deviations from the safe job procedures?
- ◆ Were responsibilities adequately defined and understood by worker?
- ◆ Was there failure to initiate corrective action for known hazardous conditions?
- ◆ Was worker informed about potential job hazards?
- ◆ Was safety rules communicated to and understood by all employees?
- ◆ Were written procedures available?
- ◆ Were they being enforced?
- ◆ Was there adequate supervision?
- ◆ Were workers trained to do the work?

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- ◆ Had hazards been previously identified?
- ◆ Had procedures been developed to overcome them?
- ◆ Were unsafe conditions corrected?
- ◆ Was regular maintenance of equipment carried out?
- ◆ Were regular safety inspections carried out?

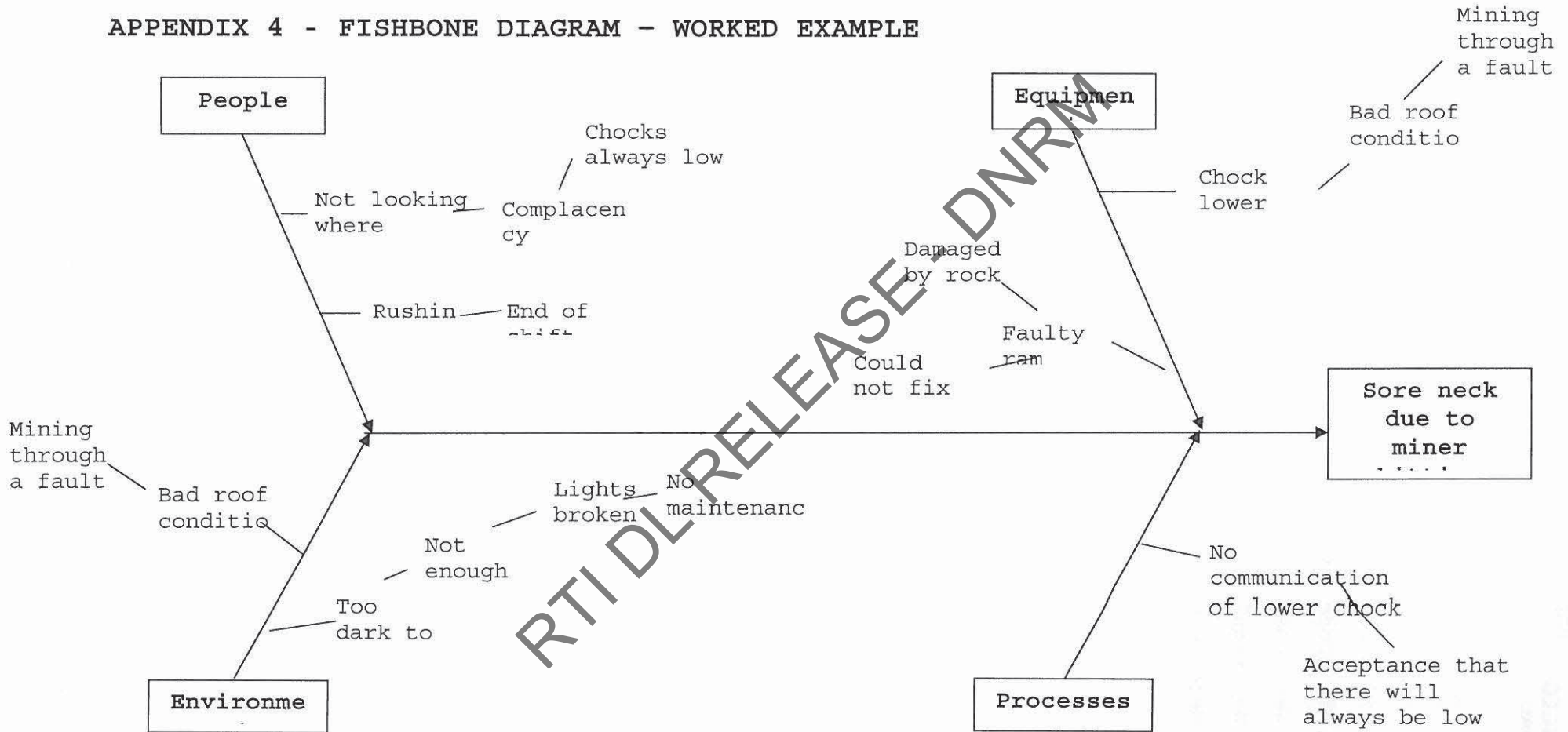
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APPENDIX 4 - FISHBONE DIAGRAM - WORKED EXAMPLE



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**APPENDIX 5 - THE INVESTIGATION PROCESS -  
 GATHERING EVIDENCE**

**Gathering Physical Evidence - Site Inspection** (ensure photos, measurements etc are taken where required).

Following most incidents, a site inspection is conducted by the team early in the investigation process to gain first hand knowledge of:

<ul style="list-style-type: none"> <li>The actual incident scene;</li> </ul>	<ul style="list-style-type: none"> <li>The incident event itself; and</li> </ul>
<ul style="list-style-type: none"> <li>The area surrounding the incident scene;</li> </ul>	<ul style="list-style-type: none"> <li>All subsequent actions and outcomes;</li> </ul>
<ul style="list-style-type: none"> <li>The events leading up to the incident.</li> </ul>	

It may be necessary to conduct several site visits as the investigation unfolds as additional information comes to light or new questions need to be resolved.

Issues to consider, identify and/or confirm during the initial site inspection include:

<ul style="list-style-type: none"> <li>What was the actual task / activity being performed and what is considered the 'normal' or expected activity;</li> </ul>	<ul style="list-style-type: none"> <li>The extent of rescue and recovery activities;</li> </ul>
<ul style="list-style-type: none"> <li>The overall layout of the incident scene accessibility, spacing and position of equipment, both horizontally and vertically before the incident occurred;</li> </ul>	<ul style="list-style-type: none"> <li>Effects of weather at that particular instant, any specify climatic conditions or events leading up to the event (eg above/below average temperature/rainfalls);</li> </ul>
<ul style="list-style-type: none"> <li>Likely position of persons before and during the incident;</li> </ul>	<ul style="list-style-type: none"> <li>Presence of unauthorised personnel, deliberate breach of safety defences, barriers, controls or procedures;</li> </ul>
<ul style="list-style-type: none"> <li>Position of valves, switches and other energy isolators and controls;</li> </ul>	<ul style="list-style-type: none"> <li>State and functioning of safety and process critical devices - evidence of failure of any of these;</li> </ul>
<ul style="list-style-type: none"> <li>The condition of structural elements, load bearing members etc;</li> </ul>	<ul style="list-style-type: none"> <li>Illumination, visibility and audibility at the scene;</li> </ul>
<ul style="list-style-type: none"> <li>The state of housekeeping at the incident scene;</li> </ul>	<ul style="list-style-type: none"> <li>Presence of barriers, warning signs and permit to work controls that govern the work</li> </ul>

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	around the particular incident site or any issues associated with the site;
<ul style="list-style-type: none"> <li>The general condition of the equipment;</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of excessive force, points of contact, heat and other physical evidence pertaining to the incident.</li> </ul>

A survey of the incident scene should be conducted as soon after the incident as possible and plans drawn up detailing the actual final incident scene and estimated positions of people and equipment prior to rescue and recover activities (as appropriate).

As it may be necessary to re-visit the incident scene during the course of the investigation it is critical that the scene is secured appropriately until formerly released by the investigation team leader.

In addition, evidence gathered at the scene must be secured and retained for further examination and testing. Where mechanical / electrical components are involved in or associated with the incident, it may be necessary to subject these to internal or expert examination and testing. Appropriate custody and tracking of these components is required to ensure the integrity of information gained by examination and testing.

**Gathering Physical Evidence - Photos**

Photos provide valuable records of the incident scene, damage and evidence that may assist the investigation process. It is critical that sufficient photos are taken of the general incident scene as well as all actual or potential evidence related to the incident.

**Gathering Descriptive Evidence - Interviews**

Interviewing witnesses is a key element the investigation process. Interviews should be conducted as soon after the incident as possible. The use of appropriate interviewing skills and interviews with individual witnesses/interviewees will generate the most useful information. Interviewers must be well prepared, have clear objectives for each interview and utilize 'open questioning techniques'.

Tape recorders are a useful adjunct to conducting interviews however, these may only be used with the specific permission of the interviewee.

Whilst it is important not to overly guide the witness/interviewees, it is critical that a total picture of the incident - from the time well before the incident (when

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the activity was occurring as planned), through the time when the situation commenced to become abnormal and out of control and finishing after the rescue and recovery operations were completed.

Once complete the witness should be asked to review the statement and subsequently acknowledge (by signing the document) that the statement is a true record of the events as recalled by the witness.

### Documentary Evidence

As part of the initial data gathering by local staff and subsequent data gathering by the investigating team, there is a wide range of documentary information to be collected. Typical material to be gathered in relation to the incident includes:

<ul style="list-style-type: none"> <li>Permits;</li> </ul>	<ul style="list-style-type: none"> <li>Standards/codes/regulations;</li> </ul>
<ul style="list-style-type: none"> <li>Details of the permit systems and audits;</li> </ul>	<ul style="list-style-type: none"> <li>Computer/control system printouts;</li> </ul>
<ul style="list-style-type: none"> <li>Risk assessments;</li> </ul>	<ul style="list-style-type: none"> <li>Data logs;</li> </ul>
<ul style="list-style-type: none"> <li>Operational and other procedures;</li> </ul>	<ul style="list-style-type: none"> <li>Security camera tapes;</li> </ul>
<ul style="list-style-type: none"> <li>Work orders;</li> </ul>	<ul style="list-style-type: none"> <li>Electronic media; and</li> </ul>
<ul style="list-style-type: none"> <li>Training records;</li> </ul>	<ul style="list-style-type: none"> <li>Management system/s that applied to the activities involved in the incident.</li> </ul>
<ul style="list-style-type: none"> <li>Policy and procedures;</li> </ul>	

### Building the Incident Sequence of Events

In order to obtain a logical and clear image of the total incident, it is critical that a clear understanding of the events that led to the incident and the ultimate consequences is gained. This is generally achieved by documenting the sequence of events pertaining to the incident in time ordered sequence in an events chart.

Whilst this activity is a part of the investigatory process it is dealt with under Appendix VI - Events and Conditions Charts as it is also a fundamental analysis process.

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APPENDIX 6 - SIGNIFICANT INCIDENT REPORT



Insert Title

SIGNIFICANT INCIDENT REPORT

INCIDENT DETAILS

Date:  
 Time:  
 Location:  
 Actual IPM:  
 Potential IPM:

INCIDENT DESCRIPTION:

CONTRIBUTING FACTORS:

- 
- 

AN APOLLO RCA WAS CONDUCTED ON THE INCIDENT WITH THE FOLLOWING FINAL ACTIONS TO BE IMPLEMENTED:

- 
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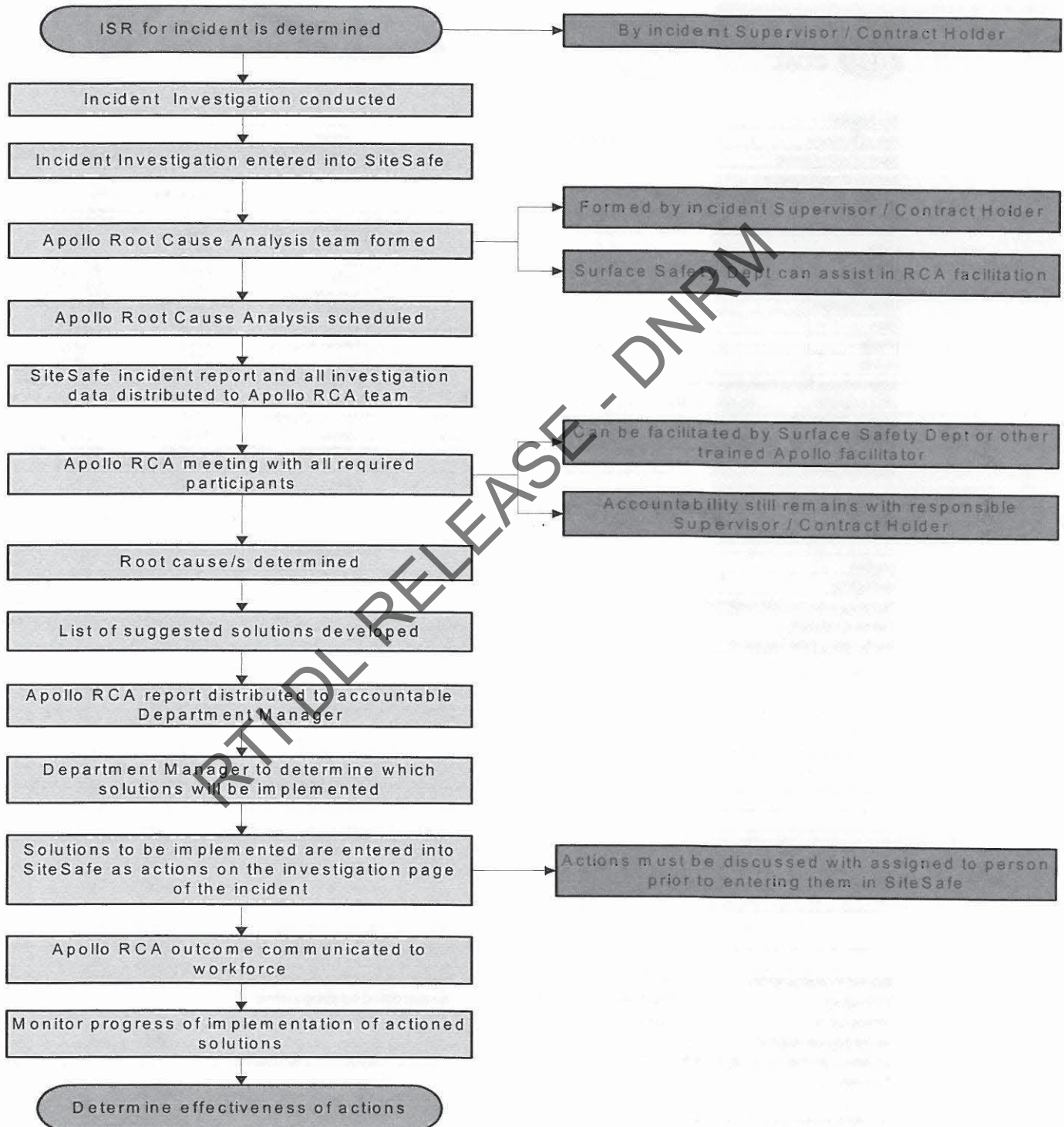
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## APPENDIX 8 - APOLLO ROOT CAUSE ANALYSIS FLOWCHART



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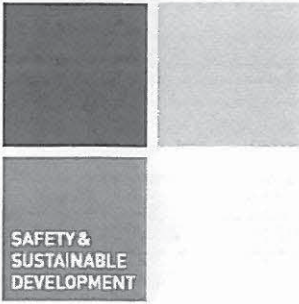




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# INCIDENT REPORTING STANDARDS

Metallurgical Coal

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# Incident Reporting

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## 1 PURPOSE

The purpose of this standard is to detail the Met. Coal requirements for the internal reporting and management of Safety and Sustainable Development (S&SD) information.

## 2 SCOPE

The standard applies to all controlled operations and activities. That is, operations and work-related activities in which Met. Coal sets S&SD standards and directly supervises and enforces their application.

Descriptions of all S&SD reporting requirements, definitions and examples with respect to S&SD reporting are included.

## 3 APPLICATION

This standard provides instruction and guidance for standardisation of the incident reporting process. Sites are responsible for developing site procedures that incorporate these requirements and any additional requirements to ensure applicability to their operating environment.

In this regard, it must be noted that the requirements of the Met. Coal Standard are fundamentally essential and are set as the minimum requirement of all Met. Coal Operations. These fundamental requirements cannot be amended other than via a formal review process.

## 4 DEFINITIONS

### Hazard

at risk **behaviour** or **condition** which has the **potential** to cause harm or danger to people, assets or the environment.

### High Potential Hazard

**hazard** with an **potential consequence** / ISR rating of level 4 or level 5 on the Anglo Incident Severity Consequence Matrix Table.  
(see Appendix C)

### High Potential Incident

An **incident** with an **potential consequence** / ISR rating of level 4 or level 5 on the Anglo Incident Severity Consequence Matrix Table.  
(see Appendix C)

### Incident

An **event** that could or does cause an undesired alteration in the operating process resulting in harm to people, property, environment, employees or communities

### Lost Time Injury

A lost-time injury (LTI) is a work-related injury resulting in the employee/contractor being unable to attend work, or being unable to perform the routine functions of his/her job, on the next calendar day following the day of the injury, whether a scheduled work day or not.

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A Repeat Incident is an **incident** that meets all four of the following criteria in the last 12 calendar months:

**Repeat Incident**

- Previously occurred within the same site and was investigated, and
- Involved the same activity, and
- Occurred as a result of exposure from a similar hazard, and
- Occurred as a result of a similar direct cause or underlying cause.

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**Significant Incident**

An **incident** with an **actual consequence** / ISR rating of level 4 or level 5 on the Anglo Incident Severity Consequence Matrix Table. (see Appendices C and D)

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## 5 REQUIREMENTS

### 5.1 Incident Notification Processes

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 procedures.

All Significant Incidents shall be immediately reported by the affected General Manager or most senior site manager to the relevant Met Coal Head of Operations and the Met Coal 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 Met Coal Head of Operations shall notify the Met Coal CEO and relevant Met Coal senior leaders of the significant incident.

The Met Coal CEO shall notify the Anglo American Chief Executive Officer and Group Head of S&SD. Simultaneously, the Met Coal Head of S&SD shall report the incident to the Group Head of S&SD and corresponding Group Discipline Head (e.g. Safety).

Additional detail on the reporting of significant incidents is in Appendix G of this document.

### 5.2 Reporting Process

- The site, using the Anglo Risk Matrix Consequence Table as a guide, shall make an initial ranking of the incident.
- The site shall consider whether legal advice is required and the issue of legal professional privilege. Legal advice shall be sought where there has been a fatality or where there is a significant risk of prosecution.
- In all cases, the Enablon incident reporting database shall be used to record the details of incidents and associated actions.

All incidents must be recorded via entry into Enablon. The initial entry into Enablon must occur within 48hrs of the incident occurring. All incidents shall be investigated, subsequently validated and closed-out within 30 days of the incident occurring.

Before completing any level of sign off the following should be considered:

- Accuracy of the incident classification.
- Have the appropriate notifications been completed (Internal and External).
- Quality of the investigation.
- Identification of root and / or contributing causes.
- Appropriateness of corrective actions.
- Learnings that are relevant to share across the mine site, BU or AAplc.

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### 5.3 Incident Classification

Where the incident involved injuries or occupational illnesses, the final classification of the Incident shall be determined and agreed upon in accordance with the Anglo American requirements for reporting and recording defined below.

When determining the **Work Relatedness** of incidents, guidance should be sought from document

- AA\_SSDSPEC\_001- 'Specification for the Scope of Safety and Health Management and Classification & Recording of Incidents'.

When determining the **Classification** of incidents guidance should be sought from the following documents;

- BPP\_SSD\_BG\_000001E SSD Indicators – Safety: Definitions and Guidance Notes.
- BPP\_SSD\_BG\_000003E SSD Indicators – Health: Definitions and Guidance Notes.
- BPP\_SSD\_BG\_000004E SSD Indicators – Environment: Definitions and Guidance Notes.

When determining the classification of **Occupational Illnesses** guidance should be sought from Appendix H of this document. When determining the definition of **High Potential Incidents** (HPIs) and **High Potential Hazards** (HPHs) guidance should be sought from Appendix E and Appendix F of this document.

In circumstances where it is unclear what the classification of an incident should be or where there is additional evidence to support an alternative classification a review of the classification should take place with Met Coal S&SD.

The site should complete Met Coal Form\_11-13 Injury Classification Record and attach as much information as needed to support an alternative classification. Information provided should include Medical Certificates, Job Descriptions, Return to Work Plans, etc.

The Site General Manager will be responsible for approving the initial classification of incidents on site. In cases where this classification is not in accordance with the Anglo American definitions or is not consistent with the Met. Coal interpretation of the definition then responsibility for determining the classification shall rest with the Head of S&SD in consultation with the relevant Head of Operations.

### 5.4 Incident Review Process

Incidents involving an injury, illness or environmental harm shall be reviewed by Met Coal S&SD on a monthly basis to:

- Determine the appropriateness of classifications based on sites' evidence in relation to:
  - Injured workers position description.
  - Injured workers medical certificate.
  - Nature of the injury.
  - Nature of the medical restrictions and whether restrictions are precautionary.
  - Nature of the work performed during restrictions.
  - Nature and extent of environmental harm

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- Determine the appropriateness of investigations.

Where there are discrepancies in classifications or levels of investigations these shall be tabled for discussion with the relevant site SHE Manager and may result in reclassification.

Further information regarding the classification and investigation of health incidents is provided in AA SSDP 13 Health Incident Reporting Procedure.

Further information regarding the classification and investigation of environmental incidents is provided in AAMC\_11-11\_PRO\_Environmental Incident Investigation and Reporting.

## 5.5 LFI Investigations

An LFI investigation and report shall be completed following all high level Incidents that occur on Met Coal sites. However with lower level incidents it may not be practical or necessary to follow the detailed formal investigative processes outlined in the LFI Investigation Handbook as these are designed for major outcome events.

The minimum level of investigation should be applied as follows:

- Incidents with an Actual Consequence of 4/5 – Full LFI Investigation including Causal Analysis.
- Incidents with a Potential Consequence of 4/5 – Full LFI Investigation including Causal Analysis.
- Incidents with an Actual Consequence of 2/3 – LFI Investigation, Causal Analysis is recommended but not mandatory.
- Hazards with a Potential Consequence of 4/5 – LFI Investigation to determine cause and learning's.
- All other incidents require a lower level investigation to determine cause and learning's. In these cases the responsible line manager can determine the formality of the Incident investigation.

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.

## 5.6 Incident Alerts

Stage 1 Alerts are generated and distributed for all recordable incidents, this provides notification that an incident has occurred. These are automatically sent via Enablon within 48 hours of the incident occurring.

Stage 2 Alerts are sent out for all High Potential Incidents as a way of distributing key learning's across all Met Coal sites. These alerts will be sent from Met Coal S&SD following the review of actual and/or potential level 4 and level 5 incidents.

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Met Coal sites shall establish and implement processes to receive external alerts and communications. Sites shall review these alerts to determine their relevance, for relevant alerts actions shall be established to address the key learning's. Where an alert is deemed not relevant this shall be recorded.

## 6 ROLES & RESPONSIBILITIES

The most senior management level at each Met Coal Project and Managed Operation is responsible for the application and execution of the Incident Reporting Standard.

## 7 REVIEW CRITERIA

This document shall be reviewed as follows:

- At least every five years.
- When there is a change of method and/or technology and/or legal or other requirement that may affect the accuracy of this document.
- When operational changes occur that effect the currency of documents.
- When there has been a significant event to which this document was relevant.
- As a result of relevant audit findings.

## 8 DOCUMENT CONTROL

Document Number: 11-4  
 Document Owner: Head of S & SD  
 Approval: Head of S &SD

VERSION N <sup>o</sup> .	ISSUE DATE	REVIEWED TEAM MEMBERS	REVIEWED RELEVANT MANAGER	APPROVED	SIGNATURE
2	22 July 2013	Madison Lynam			Signature
		Sarah Makepeace			Signature
			Carl Grant		Signature
			Alan Gordon		Signature
				Mike Oswell	Signature

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## APPENDIX A: REFERENCED DOCUMENTS

**REFERENCE DOCUMENTS**

MetCoal_11-6_FORM	Significant Incident Video Conference Powerpoint Template
MetCoal_11-13_FORM	: Injury Classification Record
MetCoal_11-9_REP	Incident Investigation Report
MetCoal_11-12_FORM	HPI HPH Quality Review Form
MetCoal_7-24_FORM	Enablon Injury Re-Classification Request Form
MetCoal_7-21_FORM	Enablon Initial Incident Form
AAMC_11-2_PRO	Corrective and Preventive Actions
AAMC_11-10_GUIDE	Learning from Incidents Pocket Guide
AAMC_11-11_PRO	: Environmental Incident Investigation and Reporting
AA_SSDP_11	LFI Investigation Manual
AA_SSDP_00800	: Learning from Incidents Process
AA_SSDP_01000	: Procedure for Sharing Lessons Learned
AA_SSDSPEC_001	: Specification of the scope of Safety & Health Management and Classification and Recording of Incidents
BPP_SSD_BG_000001E	: SSD Indicators – Safety: Definitions and Guidance Notes
BPP_SSD_BG_000003E	: SSD Indicators – Health: Definitions and Guidance Notes
BPP_SSD_BG_000004E	: SSD Indicators – Environment: Definitions and Guidance Notes

**EXTERNAL DOCUMENTS**

CMSH Act Qld	: QLD Coal Mining Safety and Health Act 1999
CMSH Regs Qld	: QLD Coal Mining Safety and Health Regulation 2001
CMSH Act NSW	: NSW Coal Mine Health and Safety Act 2002
CMSH Regs NSW	: NSW Coal Mine Health and Safety Regulations 2006
H&S Code BC, Canada	: Health and Safety Reclamation Code for Mines in British Columbia 2008

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APPENDIX B: RECORD OF AMENDMENTS

Issue 2 : Fully reviewed. 22<sup>nd</sup> July 2013, Allan Gordon

Replaces:

- AAMC 11-3 Incident Investigation & Reporting; and

Issue 1 : New document 1<sup>st</sup> May 2011, Carolyn Gentle

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## APPENDIX C: ANGLO AMERICAN SAFETY &amp; HEALTH INCIDENT SEVERITY CONSEQUENCE MATRIX

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



(E) <b>Environmental Impact*</b>	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) <b>Social / Community Impact</b>	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) <b>Legal &amp; Regulatory</b>	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) <b>Material Losses/ Damage/ Business Interruption</b>	< 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) <b>Impact on Reputation</b>	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 (BAP) – 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

## APPENDIX D: ANGLO AMERICAN ENVIRONMENTAL INCIDENT SEVERITY RATING TABLE

TABLE 1 : ENVIRONMENTAL INCIDENT SEVERITY RATING TABLE

	Incident Severity Rating <sup>3</sup>				
	Level 1 (Minor impact)	Level 2 (Low impact)	Level 3 (Medium impact)	Level 4 (High impact) <sup>4</sup>	Level 5 (Major impact) <sup>5</sup>
<b>Duration of the impact</b>	Impact that has a duration of less than a week	Impact lasting more than a week but not lasting for more than one month	Impact lasting more than a month but not lasting for more than a year	Impact lasting more than one year, but is reversible	Impact is permanent
<b>Extent of impact</b>	Affecting a small area (metres), with impacts limited to the site	Affecting a limited area (hundreds of metres), with off-site impacts affecting immediate neighbours/neighbouring land	Affecting an extended area (kilometres), with off-site impacts extending beyond immediate neighbours/neighbouring land	Affecting an area on sub-basin or sub-regional scale	Affecting an area on a whole basin or regional scale
<b>Sensitivity of the receiving environment</b>	Receiving environment highly altered: with no sensitive habitats, with highly impaired ecosystem function, and with severely impacted surface & ground water resources	Receiving environment altered with little natural habitat, with moderately impaired ecosystem function, and with moderately impacted surface & ground water resources	Receiving environment comprising largely natural habitat, with minor impairment of ecosystem function, and with minor impacts on surface & ground water resources	Receiving environment classified as having sensitive natural habitat, with no impairment of ecosystem function, and with pristine surface & ground water resources	Receiving environment classified as having highly sensitive natural habitat, with critical ecosystem function, and with pristine, often limited, surface & ground resources
<b>Biodiversity value<sup>5</sup></b>	Impacted site has no biodiversity value (e.g. an industrial or an urban area)	Impacted site has low biodiversity value	Impacted site has moderate biodiversity value	Impacted site has high biodiversity value	Impacted site has very high biodiversity value

<sup>3</sup> 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.

<sup>4</sup> Level 4 and 5 incidents are referred to as **Significant Incidents** (where the actual impact severity is High or Major) or **High Potential Incidents** (where the potential impact severity is High or Major).

<sup>5</sup> Refer to the 'Guideline for preparing Biodiversity Action Plans (BAP) – P. Coombes (2005), for definition of biodiversity value.



## APPENDIX E: INCIDENTS THAT WOULD NORMALLY QUALIFY AS HPI's

The following incidents would normally qualify as HPIs:

- Any vehicle rollover.
- Any unplanned contact between HVs, LVs, and Pedestrians.
- Any electric shock greater than "extra low voltage" (as defined in AS:3000 – not exceeding 50V ac or 120V ripple free dc).
- Any unplanned movement of vehicles.
- Any *fall of strata in a functioning travel road that was previously considered to be supported to the Mine Managers Support Rules.*
- Any gas ignition underground.
- A failure of a *primary ventilation circuit that requires the emergency withdrawal of Mine Workers from a part of the mine.*
- Any inrush of water *into an underground or open pit mine.*
- Any highwall failure *where there were no controls in place to prevent personnel being impacted.*
- Any low wall failure *where there were no controls in place to prevent personnel being impacted.*
- Any potential for personnel to be affected by an uncontrolled blast during storage, transportation and handling of explosives.
- Any situation where personnel are inadvertently exposed to blasting.
- A structural failure of plant or equipment that could impact on personnel
- Unauthorised mass land clearance with irreversible impact on endangered species or ecosystem.

## APPENDIX F: EXAMPLES OF HIGH POTENTIAL HAZARDS

**Conditions**

- Large piece of coal caught up under the tray of rear dump truck parked at the go line.
- Location of an intact detonator and approx 20cm explosives in an area that was previously blasted.
- Power still sufficient to start an engine despite the main isolator switch being in the off position and locked out
- Cracks noticed on underground diesel storage tanks. No diesel spilt into groundwater but potential for full capacity of storage to contaminate aquifer.

**Behaviours**

- Personnel working at heights without fall protection controls.
- Personnel working on equipment that hasn't been isolated and there was no attempt to start the equipment.
- Personnel parking vehicles in close proximity to the base of a highwall.
- Personnel entering a loaded blast pattern

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## APPENDIX G SIGNIFICANT INCIDENT (ACTUAL ISR 4 &amp; 5) NOTIFICATIONS

Step No.	Step	Responsibility / who notifies	Who gets notified	Timing	Communications channel / medium
1a	<b>Immediate Site Notification - verbal</b>	Affected site line manager	- Affected site General Manager / most senior Site Manager	Immediate	Verbal
1b	<b>Immediate Notification - verbal</b>	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	<b>Immediate Notification - verbal</b>	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	<b>Immediate Notification – verbal followed by Email (1)</b>	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	<b>Immediate Notification - Verbal</b>	BU CEO	Group senior leaders - AA plc CEO - AA plc Chairman - Group Head of S&SD (confirmation)	0-4 hours	By phone /SMS



## APPENDIX H DEFINITION OF OCCUPATIONAL ILLNESSES VS WORK RELATED INJURIES

*Occupational Illness* is a work-related condition or disorder caused predominantly by exposures at work, other than one resulting from a Work Injury.

The primary difference between a Work Injury and an Occupational Illness is whether it resulted from a single event (a Work Injury) or from prolonged or multiple exposures to hazardous substances or work conditions.

Further explanation regarding the distinction between occupational illnesses and work related injuries is provided below.

- Hearing loss due to exposure to excessive noise over a period of time – occupational illness;
- Hearing loss due to a single exposure to an extremely loud noise – work injury;
- Dermatitis type reaction as a result of exposure to certain chemicals over a period of time – occupational illness;
- Chemical burn type condition resulting from a single exposure to a particular chemical – work injury;
- Back or neck condition due to operating dozers over rough ground for a number of shifts – occupational illness;
- Back or neck injury due to a dozer running over a large rock and crashing to the ground – work injury.

***Note the following two qualifying statements that may assist in determining whether a condition is to be classified as an ACAPl occupational illness.***

- a) Where an injury or illness has previously been reported (and on that previous occasion has been classified as an occupational illness or work injury) and no new exposure at work has occurred, then any recurrence of the pre-existing condition is not a new occupational illness. It is to be recorded as a continuation or re-opening of the previous injury or occupational illness;
- b) The development of a medical condition (particularly a musculo-skeletal type condition) in a person during the course of his or her employment does not automatically constitute an occupational illness. There must be some reasonably clear and significant relationship between the condition and the person's work environment or specific activities at work, for the condition to constitute an occupational illness

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