CONFIDENTIAL

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Anglo American	Anglo Coal (Capcoal Management) Pty Ltd Capcoal Underground Grasstree Operations	Initial Incident Report FRM.GTM.054	AngloAmer	ican
Map / diagram (if required):	the factor of th		To be completed by repo	orting person with a
E.			Title of Hazard / Incident:	
			Date occurred:	6/4/20
and the second second	A P		Date Reported:	6/4/20
and the second sec			Classification: Safety D Environme	Material Losses / E
· and · · · ·			Department: Longwall SHE D Human Resour Other	
1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1- 1		- marine	Reportable to external bo	odies? Yes 🗹
			Specific Location:	Refies to guida
			Reported by:	JUSHUA SM
			Key Person Involved:	WATNE BRUN
			Key Person Involved:	STRIVEN LOHN
		and the second	Key Person Involved:	
		1. 1. 1. 1. 1.	Injured Person:	
1 A A A A A A A A A A A A A A A A A A A		1	Others Involved:	
	- la		Initial Investigation Team Supervisor / CMW:	e.g. ERZC / Crew

Anglo /	American Pic Risk Matrix			Hazard Effect / Conser in one Loss Type, choose the	QUENCE a 'Consequence' with the highe	st rating}
					1.116	2
	Loss Type	1	2	3	4	5
(Additional 'Loss Types' a	may exist for an event, identify & rate accordingly)	Insignificant	Minor	Moderate	High	Major
Ham	(S/H) n 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 bealth	Single fatality or loss of quality of life / Inteversible impact on health	Multiple fatalities / Impact on health utimately fatal
	(El) Environmental Impact	Minimal environmental Starm - L1 incident	Material environmental harm – L2 incident semediable short term	Serious environmental harm - L2 incident remediable within LOM	Major environmental harm - L2 incident remediable post LOM	Extreme environmental harm - i incident irreversible
Business Interruption / I	(8VMD) Hateria' Damage & Other Consequential Losses	No disruption to operation/5% loss of budgeted operating profit	Brief disruption to operation 10% loss of budgeted operating profit/listed assets	Partial shutdown / 15% loss of budgeted operating profit/listed assets	Partial loss of operation 20% loss of budgeted operating profit/listed assets	Substantial or total loss of operation 7.25% of loss budgete operating profit/listed assets
(L&R) Legai & Regulatory		Low level lega: issue	Minor legal issue; non compliance and breaches of the law	Serious breach of law; investigation/report to authority, prosecution and/or moderate penalty	Major breach of the law; considerable prosecution and penalties	Very considerable pensities & prosecutions. Multiple law suits jail terms
(R/S/C) Impact on Reputation / Social / Community		Sight impact - public awareness may exist but no public concern	Limited intpatct - local public concern	Considerable impact - regional public concern	National impact - national public concern	International impact - internation public attention
Likelihood	Examples (Consider near-hits as well as actual events)	AVE T		Risk Rating		ap 12 i
5 (Almost Certain)	The unwanted event has occurred inequantly, occurs in order of one or more times per year & is likely to reoccur within 1 year	11 (M)	16 (S)	20 (S)	States and	The Party of
4 (Likely)	The unwarried event has occurred infrequently, occurs in order of less than once per year & is likely to reoccur within 5 years	7 (M)	12 (M)	17 (S)	a to a summer of	
3 (Possible)	The unwanted event has happened in the business at some time; or could happen within 10 years	4 (L)	8 (M)	13 (S)	18 (S)	
2 (Unlikely)	The unwanted event has happened in the business at some time; or could happen within 20 years	2 (L)	5 (L)	9 (M)	14 (S)	19 (S)
1 (Rare)	The unwanted event has never been known to occur in the business; or it is highly unlikely that it will occur within 20 years	1 (L.)	3 (L)	6 (M)	10 (M)	15 (S)
Risk Rating	Risk Level			Guidelines for Risk M	latrix	
21 10 25	Contraction of the second s	A high risk exists that manag	ement's objectives may not be	e achieved. Appropriate mitiga	tion strategy to be devised ima	nediately.
13 to 20	(6) - Significant	A significant risk exists that n	nanagement's objectives may	not be achieved. Appropriate	mitigation strategy to be devise	ed as soon as possible.
5 to 12	(M) – Mađium	A moderate risk exists that management's objectives may not be achieved. Appropriate mitigation strategy to be devised as part of the normal management process.				

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the second			SN	RM - N	PI		
AngloAm	erican	Anglo Ca Capcoal	oal (Ca Under	apcoal Manage ground Grasstr	ment) Pty Ltd ee Operation	s	Initial Incident Repo FRM.GTM.05
To be completed by re	porting persor	with assistance	from	Supervisor (S	urface incid	ents) or ERZ Cont	roller (UG incidents
ALL	Sections of thi	s form are mand	latory	unless marke	d.	Incident	Number: 222 9
Title of Hazard / Incide	nt: >2.	5). City	#19	7 Litour		1	000 70
Date occurred:	6/4/0	20		Time:	Contraction in the	11151	bures
Date Reported:	6/4/20			Time:	- Julie	1115	
Classification: Safety Environ		osses / Damage / Il / Community 🗖		ess Interruption		Regulatory	Health Illness D
Department: Longwall SHE D Human Res Other		nent D Outby commercial / Supp		Compliance I in 🛛 Mainte	Tech S enance / Eng		amgas □ ness Improvement □
Reportable to external	bodies? Y	es E No D	Li	DAN Experimen	.1		1
Specific Location:	Refier to c	iuide/	-			1000 B	
Reported by:		Smith	ID#	982918	Contracting	Name / Staff: (KR
Key Person Involved:	COLUMN TO A COLUMN	BRIVN	ID#	10-110		Name / Staff:	
Key Person Involved:	Contract of Contra	LOHNEY	ID#	3 80-0		Name / Staff:	
Key Person Involved:	SIRVAV	LUNIURY	ID#	17 d 1		Name / Staff:	
Injured Person:		NU	1D.#				
			ID#				
Initial Investigation Tea	am e.g. ERZC	Crew				-	
Supervisor / CMW:	A subsection to		σ.	Smith / u	J. Brunn	S. LUHRGY	
Equipment Involved: # 197 (Hock ERZC/ Supervisor: Include ID # JOSHA Smith 982918							
Crew:	E			Process Area	& Departme	ent Larhn	que
Shift Length:	10 HAS	Hours into St	olft:	4	Con	secutive days ked:	5
Activity:	COAL PRO	DALTIM OI	RNAT	Tuns	Drug	g and Alcohol	Yes No
incident Description:	whilst	tramming 0	A	of AM	Tailyote	Uthy exce	lel 2.5%.
on #197 (.hoch	5					
		1			-		
				1			
mmediate Direct Caus	1	of brand		Mechania	sm:	Full of	brught
mmediate Corrective A	ctions Taken:	Prover	mil	ped- Begi	n But	hing the u	huchs,
Bilt Sherrow	1 Curhate	, Replaced	Π	h CH4 S	ensur, l	Culibratel R	unding Sensor,
Ne- gussed Ti	The Drive.						
	1. 1	1	-				
			_			ype (matrix on ba	ck page)
Consequence Type: Sa	afety Injury D egal / Regulator	Material Losses				Interruption D	
Actual Consequence:		1 Al	-			~	1
iot Applicable for Hazard	(III'S) AND CASE, GAIN	age <0.01% (medical trea	tment, dan	nage (lost time injury	rate	High 🗹 (permanent disability/ fatality,	Major (numerous permanent disabili
Potential Consequences	annual revent	ue etc) 0.01-0.1% ar	nual reven	nue) annual	revenue)	Anglo HPI)	fatalities, Angio HPI)
otential consequence	(first aid case, dam	age <0.01% (medical trea	tment, dan	nage (lost time Injury	, damage 0.1-1.0%	(permanent disability/ fatality,	(numerous permanent disabili
Potential Consequence		age <0.01% (medical trea	tment, dan	nage (lost time Injury	, damage 0.1-1.0% revenue)	High 한 (permanent disability/ fatality, Anglo HPI)	Major (numerous permanent disabili) fatalities, Anglo HPI)

(L) - Lew

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A low risk exists that management's objectives may not be achieved. Monitor risk, no further mitigation required.

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AngloAmerica		Coal (Capcoal Management) Pty Ltd al Underground Grasstree Operations	Initi	al Incident Report FRM.GTM.054
Has the hazard, defect or inc	ident been effectively	controlled on shift?	YES D	NO 🗆
If not, why not?	1			
Safety				
	•	Medical Treatment:	YES 🗆	NO 🗆
Parts Injured / Location:		Hospitalised:	YES D	NO 🗆
Environmental				2-11-14
Media Impacted:	Refer to guide	Environmental Impact:	Refer to guide	
Hazard			VAL STATIST	
Hazard Agent:		Hazard Type:	Act 🛛	Condition

Timeline:	1.50	
01/01/18 06:00	17	Example: Attended Start of Shift
(100		athing into Thilyste, traming back at at the
1115		Withing into Trilyate, transing buck at the tripped sensor of 197.
	Before the Incident	
	fore the	-
4	8	
		Incident Occurred
HARPE 1145		- Reyon rechibertion works described.
	dent	
1	After the incident	
	After	
and the second	1	

Additional Actions to prevent reoccurrence: (ERZ Controller/ Supervisor to complete)

Initial Incident Report Checklist:

Contact relevant site personnel: Completed	Have statements been collected?: Completed e.g. Key person involved, witnesses (submit with this form)
Collect any relevant SHE MS Documents: Completed	Take photos of incident scene as required: Completed

L	AngloAmerican Capo	lo Coal (Capcoal Management) coal Underground Grasstree Op		Initial Incident Report FRM.GTM.054		
in the second	Task Description		By Whom	Action Due (date)	Enablon IC	
PEOPLE Tasks	Is counselling of the CMW required (std text Yes I No I CMW to be counselled in line with the Anglo O and Applicable Misconduct Policy. Evidence of file.	Coal Consequence Model		ines.		
•				24/4	1	
		cornect sequence	Cuv.	au raes	t two	
	of cutting into Tailynte	and shield		swings.		
	advancing.					
WORKPLACE Tasks						
NPLAC			1.		1	
MOR	Conduct LFI into incie	stend to determine	B.Smith	27/4/200	0,	
	sustainable actions to rea			11		
	and exposure of Om CH4		Streem			
1	-1		0 - 1	274m		
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ISATIC asks	the Om City Sensor on					
ORGANISATIONAL Taska	te face creep & TG positi		1	1.1	.1	
1		to be positioned to		eck-side	r10,	
-		1 1 1		1/1 5	6.	
1000		related apparty by	/	01. g Large	e Goat	
Fall	I in Tailystes Wing dama	ued on 195/196	Choile.		î	
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Fall		ued on 195/196	Choile.		î	
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Kall TC Fol Fol Incide Perse Sign: Date Undee Super Enter If rep	In Thilyddig Wing dwmm CUTTION SEQ T STUCES AC Notes ; #197 located in TG Notes ; #197 located in TG Ient Sign Off: on Reporting Name: Softman Softman ature: Confidential : UU/20 Reation Sign Off: ermanager/ MSO Parintendent/ Manager Name: red into Enablon By: Name: worted to the DNRME, Is a form 5A required?	Supervisor (For su ERZ Controller (For Signature: Date: Signature: Date: Jate:	(huk. icon Priceson a goaf stra urface incident) or UG incidents) ntial a D Dat Dat	Hift's N eam. Name: GOSHA e: $6 4 2$ e: $7/4/2$ ff ID #	104	
Fall TC Fol Incid Perso Sign: Date Veriff Unde Supe Enter If rep Yes	In Thily Mig Wing Auma In CUTTION SEQ T STUCES AC Notes # 197 located in TG Interes State Intet	yd n 195/196 owne Corrects Fill readway expessed fill Supervisor (For su ERZ Controller (For su ERZ Controller (For su Date: 000000000000000000000000000000000000	(holk. icon Price 1000 a goaf stra urface incident) or UG incidents) ntial 20 Dat Sta	HA'S N Cam. Name: GOSHA e: $(a) 4 2$ e: $7/4/2$ ff ID # h Required?	Smith Smith	

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