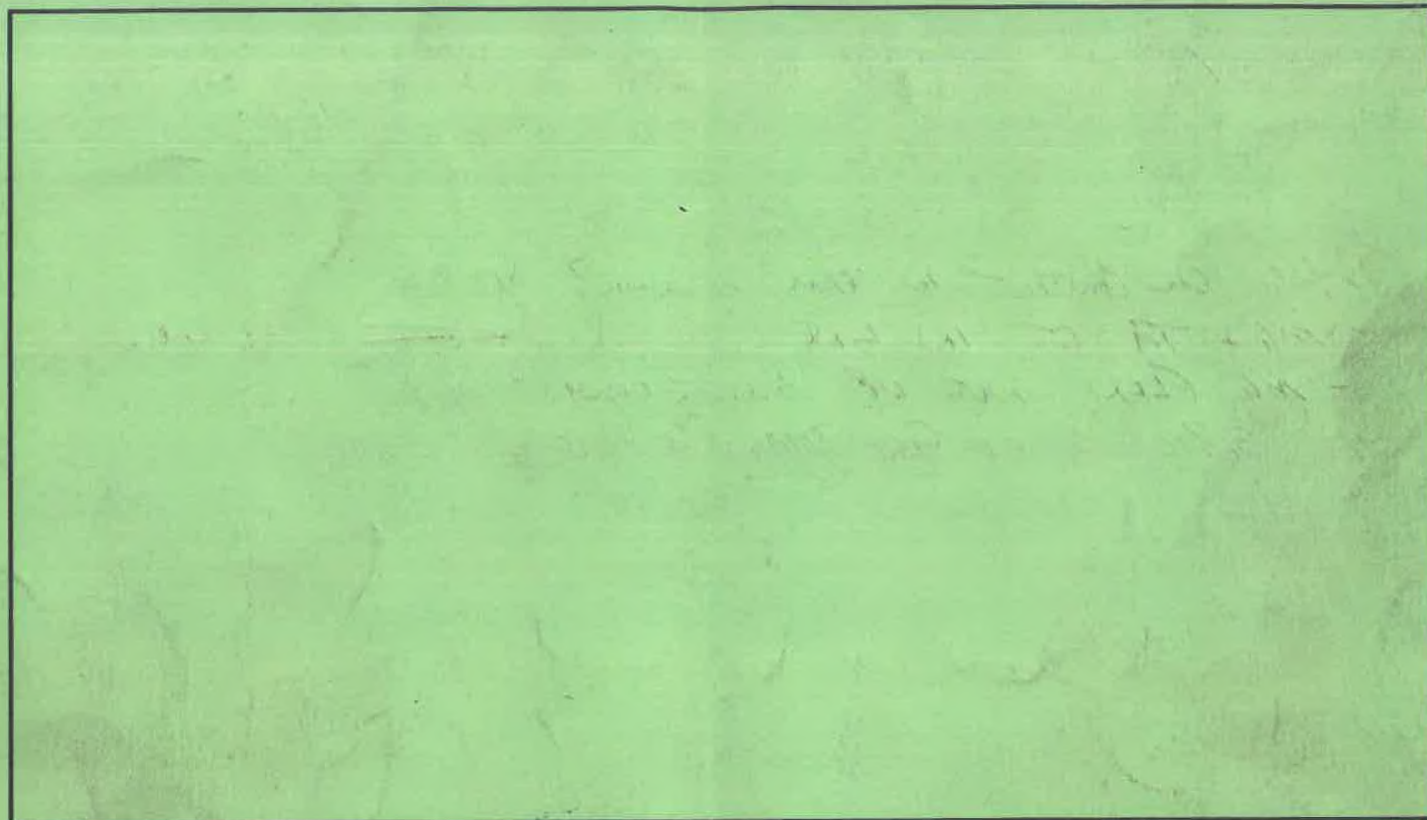


Anglo Coal (Capcoal Management) Pty Ltd  
Capcoal Underground Grasstree Operations

Initial Incident Report  
FRM.GTM.054

Map / diagram (if required):



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To be completed by reporting person with assistance from Supervisor (Surface incidents) or ERZ Controller (UG incidents)

ALL Sections of this form are mandatory unless marked.

Incident Number: add 011

**Title of Hazard / Incident:** 72.5% CH<sub>4</sub> On sensor

**Date occurred:** 20/3/20 **Time:** 1200 Hrs

**Date Reported:** 20/3/20 **Time:** 1205 Hrs

**Classification:** Safety  Material Losses / Damage / Business Interruption  Legal / Regulatory   
 Environment  Social / Community  Impact on Reputation  Workplace Exposure  Health Illness

**Department:** Longwall  Development  Outbye  Compliance  Tech Services  Seamgases   
 SHE  Human Resources  Commercial / Supply Chain  Maintenance / Engineering  Business Improvement   
 Other \_\_\_\_\_

**Reportable to external bodies?** Yes  No  List the agencies: DARME

**Specific Location:** Refer to guide LONGWALL

**Reported by:** P. LOTN ID # 1004757 Contracting Name / Staff: \_\_\_\_\_

**Key Person Involved:** ID # \_\_\_\_\_ Contracting Name / Staff: \_\_\_\_\_

**Key Person Involved:** ID # \_\_\_\_\_ Contracting Name / Staff: \_\_\_\_\_

**Key Person Involved:** ID # \_\_\_\_\_ Contracting Name / Staff: \_\_\_\_\_

**Injured Person:** ID # \_\_\_\_\_ Contracting Name / Staff: \_\_\_\_\_

**Others Involved:** ID # \_\_\_\_\_ Contracting Name / Staff: \_\_\_\_\_

**Initial Investigation Team e.g. ERZC / Crew Supervisor / CMW:** Photo J

**Equipment Involved:** \_\_\_\_\_ **ERZC/ Supervisor: Include ID #** P. LOTN

**Crew:** D **Process Area & Department** LONGWALL

**Shift Length:** 12 **Hours into Shift:** 2 **Consecutive days worked:** 2

**Activity:** Refer to guide LONGWALL OPERATIONS **Drug and Alcohol**  Yes  No

**Incident Description:** CUT INTO TA TA SUPPORTS WHERE ALREADY ADVANCED  
CHECKED GAIL 197# LOWERED 197# CUT OUT OF TA TO SNAKE AT SURFER SPEED  
BRUNNEN'S SUPPORTS IN MANUALLY 194-190# - BEST POWER

**Immediate Direct Cause:** Refer to guide OTHER CAUSE **Mechanism:** Refer to guide OTHER

**Immediate Corrective Actions Taken:** SET UP BUTCHERS FLAP / BRIDGE ON  
194# & 195# -> 197#

**Refer to AAMC Risk Matrix to determine the appropriate Consequence Type (matrix on back page)**

**Consequence Type:** Safety Injury  Material Losses / Equipment Damage / Business Interruption   
 Legal / Regulatory  Environment  Hazard (POTENTIAL Consequence required only)

<b>Actual Consequence:</b>	Insignificant <input checked="" type="checkbox"/>	Minor <input checked="" type="checkbox"/>	Moderate <input checked="" type="checkbox"/>	High <input type="checkbox"/>	Major <input type="checkbox"/>
<b>Not Applicable for Hazards</b>	(first aid case, damage <0.01% annual revenue etc)	(medical treatment, damage 0.01-0.1% annual revenue)	(lost time injury, damage 0.1-1.0% annual revenue)	(permanent disability/ fatality, Anglo HPI)	(numerous permanent disabilities/ fatalities, Anglo HPI)
<b>Potential Consequence:</b>	Insignificant <input type="checkbox"/>	Minor <input type="checkbox"/>	Moderate <input checked="" type="checkbox"/>	High <input type="checkbox"/>	Major <input type="checkbox"/>
	(first aid case, damage <0.01% annual revenue etc)	(medical treatment, damage 0.01-0.1% annual revenue)	(lost time injury, damage 0.1-1.0% annual revenue)	(permanent disability/ fatality, Anglo HPI)	(numerous permanent disabilities/ fatalities, Anglo HPI)

Anglo American Plc Risk Matrix		Hazard Effect / Consequence <small>(Where an event has more than one Loss Type, choose the Consequence with the highest rating)</small>				
Loss Type <small>(Additional Loss Types may exist for an event, identify &amp; rate accordingly)</small>		1 Insignificant	2 Minor	3 Moderate	4 High	5 Major
(S/H) 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	
(E) 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/MD) Business Interruption / Material Damage & Other Consequential Losses	No disruption to operations; 5% loss of budgeted operating profit	Brief disruption to operation; 10% loss of budgeted operating profit/lossed assets	Partial shutdown / 15% loss of budgeted operating profit/lossed assets	Partial loss of operation; 20% loss of budgeted operating profit/lossed assets	Substantial or total loss of operation; 25% of loss budgeted operating profit/lossed assets	
(L&R) 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	Major breach of the law, considerable prosecution and penalties	Very considerable penalties & prosecutions, Multiple law suits & jail terms	
(R/S/C) Impact on Reputation / Social / Community	Slight impact - public awareness may arise but no public concern	Limited impact - local public concern	Considerable impact - regional public concern	National impact - national public concern	International impact - international public attention	
<b>Likelihood</b>	<b>Examples</b> <small>(Consider near-hits as well as actual events)</small>	<b>Risk Rating</b>				
5 (Almost Certain)	The unwanted event has occurred frequently, occurs in order of one or more times per year & is likely to recur within 1 year	11 (M)	16 (S)	20 (S)	23 (M)	25 (H)
4 (Likely)	The unwanted event has occurred infrequently, occurs in order of less than once per year & is likely to recur within 5 years	7 (M)	12 (M)	17 (S)	21 (M)	24 (H)
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)	16 (S)	22 (H)
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)
<b>Risk Rating</b>	<b>Risk Level</b>	<b>Guidelines for Risk Matrix</b>				
21 to 25	High	A high risk exists that management's objectives may not be achieved. Appropriate mitigation strategy to be devised immediately.				
13 to 20	Medium	A significant risk exists that management's objectives may not be achieved. Appropriate mitigation strategy to be devised as soon as possible.				
6 to 12	Medium	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.				
1 to 5	Low	A low risk exists that management's objectives may not be achieved. Monitor risk, no further mitigation required.				



	Anglo Coal (Capcoal Management) Pty Ltd Capcoal Underground Grassree Operations	Initial Incident Report FRM.GTM.054
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Has the hazard, defect or incident been effectively controlled on shift?		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
If not, why not?			
<b>Safety</b>			
Parts Injured / Location:	Medical Treatment:	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	Hospitalised:	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>Environmental</b>			
Media Impacted:	Refer to guide	Environmental Impact:	Refer to guide
<b>Hazard</b>			
Hazard Agent:	Hazard Type:	Act <input type="checkbox"/>	Condition <input type="checkbox"/>

<b>Timeline:</b>		
01/01/18 06:00	Example: Attended Start of Shift	
Before the Incident		
	20/3/20 1150	CUTTING M4 → TA
After the Incident		
	20/3/20 1155	CUTTING TA → M4. ADVANCING SUPPORTS MANUALLY
	20/3/20 1200	Incident Occurred
	20/3/20 1205	NOTIFIED MSD CAP UMAN SET UP PATROLS FLAPS + BRATTICE

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

Initial Incident Report Checklist:

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

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	Task Description	By Whom	Action Due (date)	Enablon ID #
PEOPLE Tasks	Is counselling of the CMW required (std text to be used in task)? Yes <input type="checkbox"/> No <input type="checkbox"/> CMW to be counselled in line with the Anglo Coal Consequence Model and Applicable Misconduct Policy. Evidence to be sent to site HR for file.			
	Potential Root Causes (NOT TASKS)			
WORKPLACE Tasks	HIGH CH CONTRAST IN SEAM DRAINAGE?	D Molt		
	M4 + TA GET IN LINE	From Mennelly	22/4/2020	
	M4 FLEXI NOT UP BRATTICE ONLY	B Smith		
	SPACING OF GOLF DRAINAGE HOLES			
ORGANISATIONAL Tasks	LFI	BRADSON	7-4-20	TS
	ACTION PLAN (AP.00778622)	SMITH		01295916
<b>Conclusion:</b>		BRATTICE W/IN @ #194 STILES WAS DOWN ALONG GOLF CASE TO FLOOR #197 CHY BESS		

<b>Incident Sign Off:</b>			
Person Reporting	Name:	Supervisor (For surface incident) ERZ Controller (For UG incidents)	Name:
Signature:	Confidential	Signature:	Confidential
Date:	20/3/20	Date:	20/3/20
<b>Verification Sign Off:</b>			
Undermanager/ MSO	Name: Brad Maguire	Signature:	Confidential
Superintendent/ Manager	Name: D Cavanagh	Signature:	Confidential
Entered into Enablon By:	Name:	Date:	Staff ID #
If reported to the DNRME, is a form 5A required? Yes <input type="checkbox"/> No <input type="checkbox"/>		Is a 'Learning From Incident' Investigation Required? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
If Yes, Raise relevant task for the completion of Form 5A		If Yes, Raise relevant task for the completion of LFI report	
LFI Task Enablon ID:		Completion Date of Task	