



Real Mining. Real People. Real Difference.

ANGLO AMERICAN CONSEQUENCE MODEL

**CONSISTENT DECISION MAKING
WHEN DEALING WITH WORKPLACE
INCIDENTS**

Purpose and Scope

The purpose of this document is to provide leaders with guidance in achieving fair and consistent decision making following an issue, incident or near miss. The process described is complementary to our AAMC values and enables the transparent determination of the degree of culpability following an event.

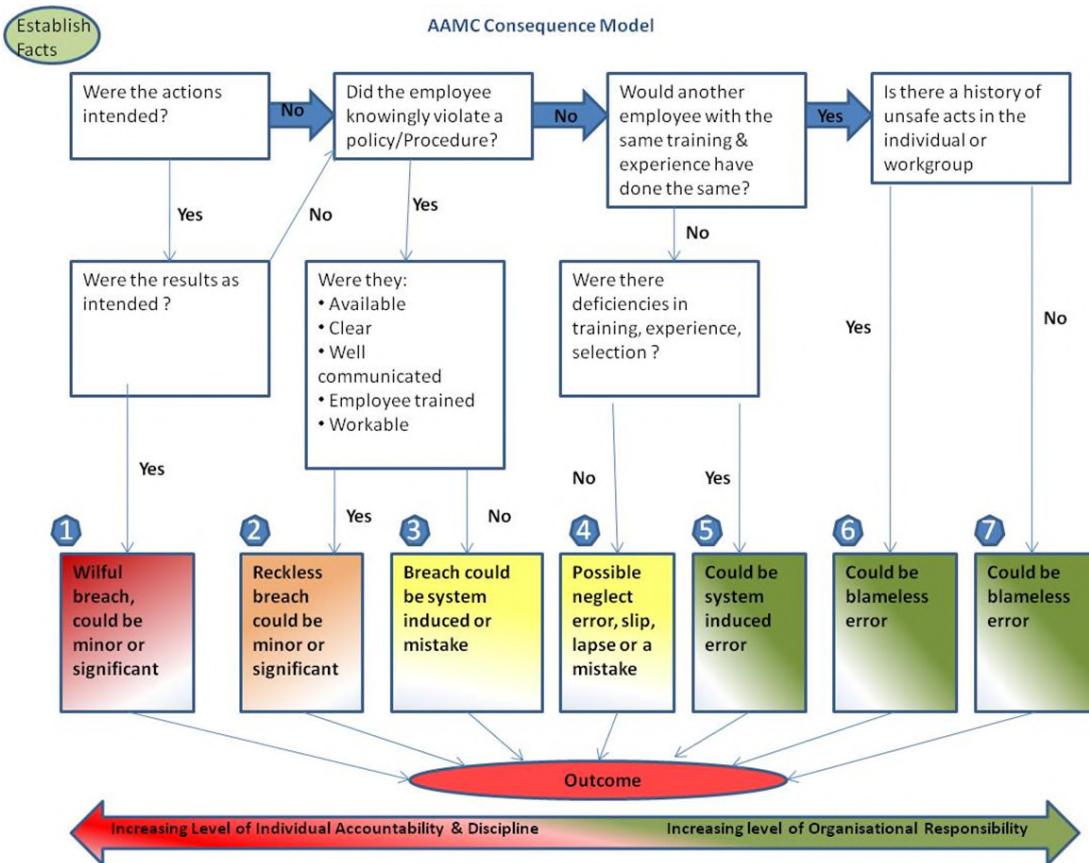
The decision making process should be adopted across all operations and is equally applicable across levels within the organization.

Each situation has to be determined on a case by case basis, taking into account the particular circumstances, severity, relevant facts and decisions made. A guideline cannot incorporate every possible scenario or situation.

However, the decision making model below, will help leaders consider a broad range of issues so that the final decision is consistent with our values and a sense of fairness. This is an important cultural step that ultimately supports a Zero Harm workplace.

Consequence Model

The AAMC Consequence Model is described below:



Note: Derived from Professor James Reason's 'Just Culture' theory and 'Decision Tree' model.

The model is only used for one action at a time. In cases where there are multiple actions that led to the event, each action should be treated separately. For example, there may be an incident where an employee does not follow an isolation procedure, is not wearing the correct PPE and does not follow a broader safe working procedure/Job safety analysis.

Accountability for Behaviours

We want to ensure the investigation of incidents is approached with a 'no blame' focus to ensure all contributory causes are identified. At the same time however, people must be accountable for their behaviours and decisions.

Any decision on whether disciplinary action is warranted should only take place after the conclusion of the incident investigation process. In some instances it will be appropriate to stand down an employee (with payment of wages) pending the outcome of an investigation.

On completing the investigation, the following can be used to determine what, if any, disciplinary steps should be taken.

Where the investigation finds there has been a breach of the one of Company's 'Golden Rules', it would fall under the category of a significant willful or reckless breach.

Potential Outcome	Severity	Consequence
1. Wilful breach	Minor	Level 2- Counseling and written warning
	Significant	Level 3- Likely termination of employment
2. Reckless Breach	Minor	Level 2- Counseling and written warning
	Significant	Level 3- Likely termination of employment
3. Mistake	Minor	Level 1- Verbal warning and safety coaching
	Significant	Level 2- Counseling and written warning
4. Neglect, Error or Lapse	Minor	Level 1- Verbal warning and safety coaching
	Significant	Level 2- Counseling and written warning
5. System failure		Safety Coaching and/or Training
6. Blameless Error	First Instance	Safety Coaching and/or Training
	Repeat Instances	Level 1, 2 or for a fourth instance level 3

Notes:

1. For a full description of the consequence levels above, the detailed process and accountabilities for managing each refer to the Misconduct Management Policy.
2. Certain types of unsafe behaviours are classed as “serious misconduct” not requiring the application of this model and would likely result in termination of employment (e.g. assault, theft, fraud).

Implementation and Consistent Application

Once agreed, an implementation process will be established to embed across the organisation. The principles and application of the model will require a training module to be developed. This module will be included in future leadership and front line management training and development initiatives.