

COAL ASSETS AUSTRALIA

GLENCORE

Regional Asset HSEC Standard

1.0 Leadership, Culture and Accountability



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1 Purpose

Glencore Coal Assets Australia Management are to create and maintain a management culture that actively supports the achievement of Health, Safety, Environment and Community (HSEC) objectives and commitments and the effective implementation of its strategies. Management is to make clear the values, principles and authority to act that each and every employee or contractor is expected to understand and respect.

Our managers, employees and contractors are required to demonstrate visible, proactive leadership and commitment to meeting ambitions and commitments, as expressed in Glencore's Values, Code of Conduct, and HSEC policies.

The specific and measurable goals, actions and targets for each executive, manager and employee are to be included in performance plans and forms an essential part of individual performance appraisals. Demonstrated and measurable leadership and management performance is a prerequisite for promotion.

2 Scope

This document provides the minimum leadership, culture and accountability requirements for Glencore Coal Assets Australia (GCAA) and its Operations'. The requirements apply to all personnel, including managers, employees and contractors, at all levels, unless specifically excluded.

Where additional requirements or obligations are identified by an operation they are to be included in their Health, Safety, Environment and Community (HSEC) Management System and maintained to an equivalent standard.



Note

The term 'Glencore Coal Assets Australia and its Operations' includes all mines, ports, projects and administrative support services operating as part of Glencore Coal Assets Australia.

3 Document Map

This standard forms part of the GCAA HSEC Management System with supporting documents, directly relevant to this standard, shown in **Figure 3-1**.



Figure 3-1– Leadership, culture and accountability document map

4 Visible and Proactive Leadership

The GCAA Leadership Team is chaired by the Chief Operating Officer (COO) and includes all Directors and functional general managers. The Leadership Team provides direction and guidance to the Operations, and monitors performance for GCAA and its Operations.

The Leadership Team monitors and evaluates HSEC reports on the implementation and effectiveness of HSEC Strategies, Policies and management systems, HSEC Performance and governance within the asset.

4.1 GCAA Leadership Team

The GCAA Leadership Team establishes and sets expectations, provides direction and actively influences our assets and operations. The Leadership Team are to continually demonstrate and provide visible leadership that translates Glencore's HSEC objectives and commitments into actions and measurable results. To achieve this, the Leadership Team members are to:

- a) Set expectations, provide direction and influence.
- b) Develop and maintain Asset level HSEC Standards.
- c) Identify leading health and safety practices and share within the group.
- d) Articulate, support and communicate the Glencore Corporate Practice commitments and HSEC Strategy targets and requirements, including the provision of suitable and sufficient resources.
- e) Conduct regular operational visits with a focus on HSEC.
- f) Attend team meetings on a regular basis (pre-shift meetings, briefings, etc.), relevant to their area of responsibility.
- g) Take responsibility for the reporting and investigation of HSEC incidents.
- h) Implement appropriate safety meetings, from the senior management through to first line supervisors, exist to provide and maintain clear lines of communication.
- i) Review and authorise visible leadership models and development programs.
- j) Develop communications programs for employees, contractors and other stakeholders to promote and develop an understanding of the Glencore Corporate Practice and GCAA HSEC Strategy, Policies and Standards.
- k) Demonstrate leadership behaviours outlined in **Appendix A - Visible Leadership Behavioural Expectations** and mentor and encourage direct reports to demonstrate the appropriate leadership behaviours.
- l) Actively promote and demonstrate leadership through the application of field leadership, refer to **Appendix B - Key Areas of Leadership Focus**.
- m) Monitor the adequacy and effectiveness of the catastrophic and fatal hazards critical controls, as required by scheduled critical control inspections.

4.2 Operational Leadership

Operational management teams demonstrate visible and proactive leadership through the effective communication of the Glencore Corporate Practice to all employees, contractors, visitors and key stakeholders. Operational management also communicate HSEC requirements, and support them through adequate resourcing.

Line management includes management at production level being responsible for or overseeing employees and contractors. Line management and HSEC management are accountable for HSEC in their area of accountability. Line management's HSEC responsibilities are to be defined and understood throughout the group.

Visible leadership activities are conducted by all line managers, through to the level of supervisors and are to be defined and monitored for effectiveness. Line managers and supervisors are required to follow rules and set an example of correct HSEC behaviour. They are to promote and articulate the HSEC objectives, commitments and targets to achieve desired outcomes.

Operational management teams are to:

- a) Develop a HSEC management system to conform with the Glencore Values, Code of Conduct, HSEC policies and GCAA HSEC Standards. This includes certification to recognised standards where identified as a business need.
- b) Implement and maintain the HSEC management system to address HSEC management accountabilities for operations, contractor organisations and suppliers. It is also to adequately cover and include:
 - i. Commitment and policy.
 - ii. Planning.
 - iii. Implementation.
 - iv. Measurement, recording and evaluation.
 - v. Review, including inspections and audits.
- c) Implement an effective management system to see that the integrity of plant, equipment, structures, processes and protective systems are assured and that critical controls are monitored and reviewed.
- d) Demonstrate the requisite leadership behaviours detailed in **Appendix A - Visible Leadership Behavioural Expectations** and mentor direct reports into similar behaviours.
- e) Observe the Glencore Corporate Practice and expected behaviours.
- f) Treat all employees and contractors fairly. Recognise and uphold the right to a safe workplace in accordance with GCAA Standard **CAA HSEC STD 0009 – Human Rights and Our People**.
- g) Implement and support SafeCoal initiatives, including Fatal Hazard Protocol requirements.
- h) Actively encourage the reporting and investigation of all health and safety incidents, including near-misses, as required by GCAA Standard **CAA HSEC STD 0006 – Incident**.
- i) Attend and participate in HSEC and team meetings.
- j) Support induction and communication forums to actively promote and set required expectations relating to the Glencore Corporate Practice and HSEC obligations.
- k) Identify and implement improvement opportunities based on monitoring and review processes.
- l) Actively encourage employee participation in HSEC and team meetings, including identification and communication of workplace issues or problems.
- m) Identify leading health and safety practices and share within the group.
- n) Identify and review any non-compliance with the Glencore Corporate Practice, including a fair treatment process.

HSEC representatives are to be involved in day-to-day management meetings, form part of the operational management team and provide support in the decision making process. HSEC management is to have a direct, conflict-free reporting line to the relevant senior management.

HSEC roles, responsibilities and accountabilities are to be clearly defined, allocated and communicated, including HSEC organisational structures and reporting lines.

Everyone can lead and influence others through their actions. **Table 4-1** provides an overview of the roles within GCAA and their expectations.

Role	Focus	What/How	Outcome
Operations Manager "Get energised!"	Leadership	Being effective Setting direction	Positive sense of urgency across the operation
Department Manager "Get organised"	Management	Being efficient Repeating what works/improve what doesn't	Cohesion and clarity of purpose among team
Superintendent "Get out of the office"	Detailed planning	Being accurate Know environment and act on variances	Plan communicated and well understood Plan verified
Supervisor "Get off the fence"	Close and effective	Being supporting Prevent departure from plan	Transfer plan into action –everyone accountable
Workforce "Get involved"	Participation and application	Being active	Consistent delivery against plan

Table 4-1 - Operational Leadership Role Expectations

5 Operational HSEC Communications

Operations are to develop, implement and maintain a communications plan to incorporate relevant GCAA communications requirements. The plan is to provide effective and timely internal communication and consultation between different levels of the operation and departments, including employees and contractors.

Operations are to communicate certain key information to employees and contractors. This includes information of any new or changed HSEC hazards, results of any inspections, HSEC Alerts, and any other HSEC information that may affect operations.

The communications plan, as a minimum, is to include regular HSEC meetings to promote effective and timely communications and consultation arrangements, which are based on GCOM requirements where applicable. The meetings provide for the constructive engagement of employees on matters of mutual concern and include monitoring of key areas for compliance and effectiveness. The meetings include:

- Daily - Review of incidents, hazards and non-compliance reports to identify compliance to management systems and processes.
- Weekly – Review of performance for the previous week, follow up and review any incidents, hazards or non-compliance reports and actions.
- Monthly - Review performance for the previous month and year to date, and review the progress of projects developed from the site annual plan and other related actions. The review process includes the identification, reporting, tracking and effective closure of any corrective actions.
- Quarterly – Operational review of year to date performance and review progress of projects developed from the site annual plan and other related actions. The review process includes the identification, reporting, tracking and effective closure of any non-compliance.
- Annually – Review of the *HSEC Annual Plan*, operational plans, systems, programs and processes to confirm continuing and future suitability and effectiveness in satisfying the needs of the organisation and stakeholders. The outputs from these reviews will form a key input into the review and development of the *GCAA HSEC Strategy* and *HSEC Annual Plan*. For additional information refer to GCAA Standard [CAA-HSEC-STD-0013 - Assurance](#).

6 Culture

Operations are to develop, implement and maintain an effective program to evolve safety beliefs and behaviours, working towards development of a performance driven HSEC culture, as shown in **Figure 6-1**. The GCAA provided culture model and supporting principles, included as **Appendix C - Organisational WHS Culture**, are required input to the program. Program monitoring is to be implemented to identify safety performance improvements and cultural transformation, and would include behaviour-based programs.



Figure 6-1 – HSEC culture ladder

Supportive practices can contribute to improving safety performance and developing the desired, performance driven culture within the organisation. This includes visible leadership, commending positive behaviours, addressing at-risk behaviours, rectifying unsafe conditions, and reviewing procedures and field practices.

6.1 Organisational HSEC Culture

Our first priority in the workplace is the HSEC of all of our employees and contractors. We take a proactive approach to health and safety with our goal of continuous improvement in preventing injuries.

We believe an operation where all injuries can be prevented is achievable. Our aim is to maintain a HSEC culture with proactive support for site HSEC objectives and commitments, where every individual accepts responsibility for their own safety and the safety of their colleagues.

We foster the growth and development of our HSEC culture, which in turn supports the goal of policies, systems and procedures. A HSEC culture will be evident through every individual exhibiting safety behaviour and demonstrating visible leadership, at all levels.

The following are recognised as key elements in the ongoing development of the GCAA Organisational HSEC Culture:

- Leadership - Provide direction, set expectations and influence outcomes.
- Zero tolerance - You cannot walk past an unacceptable standard, action, or behaviour.
- Assess the behaviour - People can make mistakes. It is not the event that draws discipline, it is the behaviour that led to the event. This is an absolute must in establishing an open and honest reporting environment.
- Performance management - Regardless of position, all persons will be given performance feedback and receive management to improve where required.

- e) Proactive reporting - Gathering of relevant warning signs that then require investigation and communication.
- f) Honesty and openness - This is the measure of maturity. There can only be one operation. We cannot have a difference between the one we plan for and the one we enact. There must be an alignment of open and honest reporting throughout the organisation.
- g) Organisational learnings - Establish a central database for the collection and housing of all accident, incident and engineering investigations and studies. Develop processes that require research of the database as part of all planning processes.

GCAA places focus on both personal and process safety and recognises that attention is to be focussed and maintained in both areas. Personal safety relates to the injury of people, whereas process safety refers to the prevention of fatal hazards or high consequence, low likelihood events such as an explosion or strata failure. Refer to **Appendix C - Organisational WHS Culture**.

6.2 Interactions and Observations

Operations are to implement and maintain an interaction and observation program which forms part of the HSEC management system. The intent of this program is for all employees to accept their individual accountability for their own safety and the impact of their work on others, the environment and community. It also aims to prevent or eliminate at-risk behaviours and conditions and align behaviour to be consistent with GCAA standards through reinforcement of desired behaviours.

Selection of the interaction and observation program is to be based on identified risk management requirements, culture and any other relevant local identified issues. The program is to identify the roles and personnel responsible for implementation and maintenance of various elements. This includes review to provide a process of continuous improvement.

The interaction and observation program should be articulated into a Field HSEC Leadership Matrix and may include:

- a) Pre-shift briefings using GCOM processes.
- b) Planned Task Observations (PTOs).
- c) Safety interactions.
- d) Peer on Peer interactions.

6.2.1 Coached Observations

Coached observations may also form part of the program. Coached observations generally involve two layers of leadership and are designed to identify, review and improve the interaction and behavioural observation process. This can be achieved by communicating and discussing the reflections and feedback provided by the observer.

6.2.2 Pre and Post-shift Meetings

GCAA has implemented a Pre and Post Shift Meeting program known as GCOM. The aim of GCOM is to positively influence the behaviour of all persons involved, through a process of sharing information and communication.

GCOM is a framework for pre and post shift meetings that is used at all assets and operations. It is used to aid communication between teams before or after a shift and is aimed at providing relevant and timely information with appropriate explanation. The minimum requirements for GCOM are:

- a) Every shift starts with a GCOM meeting.
- b) Meetings are conducted in a consistent way.
- c) Risk and hazards are to be discussed to raise awareness and apply suitable controls.
- d) Communication of key learnings from safety interactions of the previous shift.

6.2.3 Planned Task Observations

Planned Task Observations (PTOs) are planned and scheduled observations conducted to engage people to identify safe and at-risk behaviours or conditions. They specifically target the 12 Fatal Hazards, relevant to site, and should be conducted by line management and scheduled as part of the Field Safety Leadership Matrix.

Planned Task Observations include an initial review of relevant procedures related to the task or job. They also include observation of people at work, implementation and follow up of any recommended actions and provision of feedback to the people observed.

Document observations to provide a record of actions and enforcement, and to enable statistical data analysis to be completed.

The aim of a Planned Task Observation is to:

- a) Provide a structured process to observe people at work.
- b) Target high-consequence high-risk activities focusing on critical tasks, behaviours and high potential incidents.
- c) Identify acceptable and unacceptable work methods (against applicable SafeCoal rules, Fatal Hazard Protocols, site plans and procedures).
- d) Reinforce safe behaviour and conditions in a positive manner.
- e) Correct unsafe behaviour, at-risk behaviour and conditions.
- f) Assess environment and community performance.
- g) Assess actual practices against standards (audit function).
- h) Collect and record data for analysis to benchmark performance and compliance.
- i) Follow up actions which remediate identified deficiencies.

6.2.4 Safety Interactions

Safety interactions are dynamic, may include people involved in any work activity and should be initiated in a non-formal manner. They are conducted by all levels of management, when and where appropriate.

The aim of a Safety Interaction is to:

- a) Commend positive behaviours to reinforce safe behaviour.
- b) Discuss ways to work safer and actively look for improvement opportunities.
- c) Discuss at-risk behaviours to help identify appropriate safe behaviours.
- d) Gain commitment to work safely and where appropriate make changes.
- e) Provide appropriate feedback prior to completion.
- f) Action findings of interactions, recording the data as required.
- g) Follow up actions and review agreed changes.

6.2.5 Peer on Peer Observations

Peer on Peer observations are observations carried out by personnel who work in the same or similar role or level of employment. Peer on peer observations provide for a positive learning environment where colleagues can learn from each other. Permission should be sought from peers before an observation commences.

7 Accountability and Responsibilities

For GCAA, there are key HSEC responsibilities and expectations at operational, complex, state and Regional Asset level as demonstrated in **Figure 7-1**.

Regional Asset	Strategic Direction Organisational Effectiveness Setting Expectations Company Values Governance	Chief Operating Officer	Life of Mine
State	Specialisation Standardisation Excellence Organisational Learning's	Director of Operations	Life of Mine
Complex	Business Performance Operational Effectiveness Business Continuity Monitor / Intervention Assurance	General Managers & Financial Controllers	0-5 years
Operation	Operational Performance Compliance Operation Efficiency	Operations Manager	0 - 3 years

Figure 7-1 – HSEC responsibilities and expectations

Sufficient human resources and support for HSEC management systems should be updated annually based on the performance, targets and risk assessment and represented in an organisational chart format.

GCAA and its operations are to clearly define, maintain and communicate, to all relevant parties, the HSEC organisational structures and reporting lines, including any relevant legislated requirements. This includes the allocation of HSEC roles, responsibilities and accountabilities in support of the *HSEC Strategy* and *HSEC Annual Plan*.

Where more than one group or organisation shares responsibility for the management of an operation or function within the asset or operation, additional organisational and reporting structure information is required to correctly reflect the relationship. This includes considerations in structuring, management and reporting and may include:

- Specific contractual terms and conditions.
- Bridging arrangements that authorise the use of different management systems.
- Use of agreed and common procedures or standards where there is an overlap or interdependency in the activities being undertaken.
- Application of specific requirements relating to projects or discrete operations that may also apply.

Where applicable, determine key objectives, goals and targets (performance measures) for managers, employees and contractors at the beginning of the strategic planning period. Periodically review and assess if the operation is achieving its goals and that these goals are still relevant.

Operations are to track actual performance against objectives through to the first line supervisor level, using both leading and lagging indicators.

Employees and contractors are to understand, and accept their individual HSEC accountabilities, responsibilities and duties, and be capable of fulfilling them with job competence assessed.

For specific requirements refer to GCAA Standard [CAA HSEC STD 0009 – Human Rights and Our People](#).

8 Training and Development

Active participation in the *Leadership Development Program* is compulsory for personnel in management and supervisory roles. This includes demonstration of the requisite leadership behaviours, detailed in the Visible Leadership Behavioural Expectations model (Refer to [Appendix A](#)), and the requirement for direct reports to demonstrate the appropriate leadership behaviours.

Identified training requirements are to be included in the local Training Needs Analysis, as detailed in GCAA Standard [CAA HSEC STD 0004 – Training](#).

9 Document Information

Relevant legislation, standards and codes are to be regularly reviewed and monitored for updates and should be included in the site compliance register for tracking and management. Related documents and reference information in this section provide the linkage and source to develop and maintain the site compliance register. For additional details, refer to GCAA Standard [CAA HSEC STD 0003 – Documents and Records](#).

9.1 Definitions

All terms and definitions are detailed in a single GCAA document, [CAA HSEC REG 0001 - HSEC Definitions and Terms](#). This is a common document to provide standardised terminology across all areas.

9.2 Related Documents

Related documents, listed below, are documents directly related to or referenced from this document.

Reference	Title
G HSEC POL 0007	HSEC Management Framework – Glencore
G HSEC POL 0005	Health and Safety Policy – Glencore.
G HSEC POL 0008	Human Rights Policy - Glencore
CAA HSEC FWK 0001	GCAA HSEC Management System Framework
	HSEC Strategy
	HSEC Annual Plan
CAA HSEC STD 0003	Documents and Records
CAA HSEC STD 0004	Training
CAA HSEC STD 0006	Incident
CAA HSEC STD 0009	Human Rights and Our People
CAA-HSEC-STD-0013	Assurance
CAA HSEC REG 0001	HSEC Definitions and Terms
XCN SD PRO 0029	XCN Visible Leadership Reporting Procedure

Table 9-1 – Related document information

9.3 Reference Information

Reference information, listed below, is directly related to the development of this document or is referenced from within this document.

Reference	Title
	nil

Table 9-2 – Document reference information

9.4 Document Change Information

Full details of the document history are stored electronically in the document library, by version, on the intranet. A summary of the current change is provided below.

Version	Date	Change Summary
1.0	1 October 2014	<p>New document developed from Glencore policy information. Key components include:</p> <ul style="list-style-type: none"> - Culture information added including Organisational WHS Culture Model - Definition document reference included - Visible Leadership Expectations included (Appendix A) - Organisational WHS Culture (Appendix C) - Application of new GCAA style standard template (look and feel)
2.0	5 January 2015	<p>Changed document owner from General Manager – Health, Safety and Training to Chief Operating Officer</p>
3.0	22 April 2016	<p>Following changes were made to Section 6.1 Organisational HSEC Culture:</p> <ul style="list-style-type: none"> - c) Explanatory notes were changed from Discipline the Behaviour to Assess the Behaviour - d) Performance Management explanatory notes were updated to more clearly explain intent - e) Changed from Incident Reporting System to Proactive Reporting - f) Honesty and Openness explanatory notes had reference to mine replaced with operation to reflect non mining operations <p>Following changes were made to Appendix 3:</p> <ul style="list-style-type: none"> - Model and explanatory notes were changed from Discipline the Behaviour to Assess the Behaviour - Model and explanatory notes were changed from Incident Reporting System to Proactive Reporting - Performance Management explanatory notes were updated to more clearly explain intent - Honesty and Openness explanatory notes had reference to mine replaced with operation to reflect non mining operations - SafeCoal Rules explanatory note was updated to reflect implementation of SafeCoal Rule 11

Table 9-3 – Document change information

Appendix A - Visible Leadership Behavioural Expectations

All personnel	Supervisors	Managers
The behaviours listed below are expected of everyone who enters a GCAA project site – employees, contractors, subcontractors and visitors:	In addition to the behavioural expectations of all personnel, supervisors are expected to:	In addition to the behavioural expectations of supervisors, managers are expected to:
1. Know and comply with HSEC training, standards, procedures and rules which apply to me in my job. Encourage others to do the same.	1. Plan and prioritise work effectively to enable targets and deadlines to be met safely.	1. Give consistent and clear directions which seek to see expectations do not provide a conflict or trade-off in the achievement of all of the business goals.
2. Review and control hazards for every task I undertake.	2. Communicate with the team so that they are informed and understand conditions, hazards, risks, impacts and activities relevant to their work.	2. Challenge people when they observe at-risk behaviour which may cause a health, safety, environmental or community incident.
3. Stop the job if I feel it may cause a health, safety, environmental or community incident - consult my supervisor and correct the at-risk behaviour before continuing with the job.	3. Challenge people when they observe at-risk behaviour which may cause a health, safety, environmental or community incident.	3. Verify work is being conducted in accordance with approved and risk assessed work plans, site standards, guidelines and procedures.
4. Challenge people when I observe at-risk behaviour which may cause a health, safety, environmental or community incident.	4. Take responsibility for the decisions they make.	4. Actively seek assurance that the Critical Controls are in place to manage Catastrophic Hazards.
5. Report incidents, near-misses, and unsafe conditions which may cause a health, safety, environmental or community incident.	5. Demonstrate the implementation and maintenance of hazard and risk management systems and procedures. Mentor and support work teams to comply.	5. Where appropriate, lead high-risk incident investigations, seek root causes and, where appropriate, implement changes.
6. Constantly be aware of hazards, risks, impacts and other unsafe acts and raise concerns.	6. Act promptly on any HSEC issues and/or concerns.	6. Regularly talk face-to-face with people about performance and concerns.
7. Assist others when faced with challenges on the job.	7. Be regularly visible at the worksite to check compliance, and discuss issues with their team (safety interactions).	7. Listen to concerns, and provide prompt, honest feedback to the workforce.
8. Contribute to team discussions, meetings, and incident investigations.	8. Encourage work teams to raise issues, listen, and provide feedback to team's suggestions, concerns and ideas.	8. Verify compliance with processes regarding risk assessments for organisation and technical changes.
9. Follow the directions as provided by Supervisors.	9. Actively participate in incident investigations, seek root causes and, where appropriate, implement changes.	9. Develop and communicate clear and measurable expectations of work HSEC performance.
10. Take responsibility for my actions or inactions and the actions or inactions of others (don't turn a blind eye).	10. Provide timely and constructive feedback on-the-job.	10. Allocate sufficient training, time and priority for initiatives.

Appendix B - Key Areas of Leadership Focus

Operations management and performance					
Area	General manager	Operations manager	Line manager	Line superintendent	Front line supervisor
Timeframe	0 to 5 YRS	0 to 3 YR (detail focus)	Annual/Monthly/ Weekly	Monthly/Weekly/ Daily	Weekly/Daily/Shift
Standards - Operational (incl. HSEC) -Maintenance -Asset Utilisation - Reporting	Set Standards and transfer positive practices between sites	Accountable to implement Management Systems on site to deliver against company standards	Align objectives to deliver behaviours and results consistent with expected standards	Regular monitoring of work effort to measure compliance to the standards	Direction to crews that leads to expected behaviour and output to meet the standards
Leadership Visibility ('Line of Sight')	Validation on the ground of positive practices and direction being implemented at sites (planned visibility)	Visibly support site leaders to implement practices that will achieve positive business outcomes aligned to organisational direction	<ul style="list-style-type: none"> - Safety representation at all daily, weekly and monthly meetings. Proactive involvement and key role in Field Safety Leadership - Consistent and effective delivery of key communications to front line and workforce; 		<ul style="list-style-type: none"> - Actively support and positively align crews to the business direction. - Moral courage when required in decisions.
People	<ul style="list-style-type: none"> - Validate structures and authority to recruit; - Development of Managers (depth); 	<ul style="list-style-type: none"> - Identify skills required, selection/development of Staff - Performance management and identify talent on-site; - Support organisational HSEC/HR policy and practices; 	Actively engage in people processes and lead safe work and capability building (training effort)		Support training and development of crew members and assist to identify talent potential
Budgets, Plans & Process (e.g. AFEs)	Sign-Off on the detail representation	Align various Dept plans into coherent Site Op. Plan	Oversee preparation of department operating plan	Develop process/area plans as input to Dept	Participate as required to process/area planning
Risk Management - Risk Register - Review -Risk Register - Effective	Oversee site risk mitigation process to eliminate failures and business discontinuity	Be sure that catastrophic risks are captured with controls in risk register	Regular reference to Site Risk Register and controls effectiveness as part of weekly/monthly meetings Capture process risks and controls in risk register	Participate as required to process/area risk management planning	
Asset Performance	Weekly Monitoring (and if necessary monthly focus of intervention to support and correct performance)	Daily Monitoring (and if necessary focus of intervention to support and correct performance)	Validation of work process activity to an effort and standard required to achieve expected results	Provide work direction organize resources on-shift to sweat the assets with safe and efficient output;	Get most out of work crew I team effort, maximise skills and machine utilisation with minimal equip damage
Asset Potential	Realise opportunities to optimise mine resources to achieve synergies across operations under control	Oversee site continuous improvement projects to achieve performance gains (engage in benchmarking)	<ul style="list-style-type: none"> - Identify areas where efficiency gains can be achieved and lead teams to realise change and continuous improvement; - Benchmark best practice in Glencore / Industry; 		Participate and offer ideas for continuous improvement

Appendix C - Organisational WHS Culture



High Performance Unit – Ben Roberts-Smith

“Culture trumps strategy any day of the week, so if you haven’t got the right culture you are never going to succeed in your strategic plan”

GCAA aims to achieve a performance driven culture where:

- Every employee is an active participant in the activities of the business, not an onlooker. They know what needs to be done, and they do it. At all levels in the organisation our actions demonstrate a personal responsibility and accountability for health and safety matters. Everyone, no matter the title or position is a leader by example. Every employee is acutely attentive to indications of danger. Working safely becomes a habit, not a procedure to be followed.
- Our combined attitude is to improve something each day, make a difference, and to eliminate losses. Résumés and experience are not as important as finding employees who fit the company’s unique culture. All employees feel that they have a stake in the company. We value ideas based on their merits and invite everyone to submit those ideas on how to improve the company, up and down the company hierarchy.

Leadership –	Provide direction, set expectations & influence outcomes.
Zero Tolerance –	You cannot walk passed an unacceptable action, standard or behaviour.
Assess the Behaviour –	People can make mistakes. It is not the event that draws discipline, it is the behaviour that led to the event. This is an absolute must in establishing an open and honest reporting environment.
Performance Management –	Regardless of position, all persons will be given performance feedback and receive management to improve where required.
Proactive Reporting –	Gathering of relevant warning signs that then require investigation and communication.
Honesty and Openness –	This is the measure of maturity. There can only be one operation. We cannot have a difference between the one we plan for and the one we enact. There must be an alignment of open and honest reporting throughout the organisation.
Organisational Learnings –	Establish a central data base for the collection and housing of all accident, incident and engineering investigations and studies. Develop processes that require research of the data base as part of all planning processes.

Process Safety – (Operational Excellence)

Fatal Hazard Protocols –	These are the minimum requirements for the management of fatal hazards consistently across our business. These protocols may not represent all of the fatal hazards that may exist or be faced by our operations, but are those that were found to be common across the Glencore Coal business.
Legislative Compliance -	Compliance to the applicable mining legislation is non-negotiable. Annual audits to determine compliance and corrective actions are to be completed.
Critical Controls –	The characteristics of a critical control are that they are relied on to prevent the most likely causes of multiple fatality events or reduce or mitigate incidents having very severe potential consequences. They may have weak back-up controls or may be relied on to control a number of different major hazards.
Assurance Process -	This is a multi-staged process whereby we get to test the development, implementation and operation of our management systems. The stages include assessment criteria, self assessment, divisional engagement, feedback and verification.
SafeCoal Rules-	These are a set of 11 rules to define areas of conduct and performance that shall be followed at all times. These rules apply to anyone working on or visiting our sites. It is non-negotiable with regard to choosing whether to follow the SafeCoal Rules.
Validation -	To confirm, authenticate, authorise, certify, corroborate, endorse, prove, ratify or substantiate. An important part of operational excellence is the act of validating. Whether it be an act completed prior to planning an activity or follow up after the completion of an activity. Evidence is to override beliefs.
Treat Near Miss and HPRI reporting as positive –	An important part of learning and prevention is to welcome the reporting of Near Misses and HPRI's. Treated as early warning signs of danger they need to be communicated to a level of authority, investigated and actioned.
Engineering Excellence -	We are an engineering business that produces coal. We have developed Asset Management and Technical frameworks that provide the necessary guidance on our engineering principles and expectations.

Personal Safety – (Personal Accountability)

- Make it Personal -** Switch the light on that it is important for employees to protect themselves, their co-workers and their family. Elevate the concept of safety integrity (What is your safety behaviour when no one is watching). It is a form of disrespect when employees publicly accept to take safety seriously and then privately disregard it.
- Scorecards -** Regularly make people aware of their performance. What you measure gets managed.
- Workforce Engagement -** Engagement is achieved when employees see what has to be achieved and are willing participants. Workers will engage when challenged to get involved in a worthwhile cause with a good rationale for pursuing it. Personalise it, put a face on the cause. The structure needs to facilitate participation and the PR needs to create the belonging. Describe what success looks like. Create a connection with the results.
- Associated Non-Technical Skills (ANTS) -** Failure of work systems to produce the desired OHS outcomes often results from inadequacy of ANTS. These incidents are often referred to as “Human Error” but they predominantly involve basic skills covering 1. Situational Awareness, 2. Decision Making, 3. Communication, 4. Team working & 5. Leadership. Competence in Associated Non-Technical Skills enables people within the organisation to interact effectively.
- Challenge Testing -** A challenge test is a procedure by which a person’s understanding is tested.
- Targeted Visible Leadership -** All persons are empowered to be safety leaders. Personnel in supervisory and management roles are expected to display additional visible leadership behaviours associated with their roles. The visible leadership model promotes a culture that supports; 1. The systematic identification of H&S hazards and external factors & 2. The identification and correction of “at risk behaviour”. Plan the visible leadership activities to utilise the individual’s skills and experience.