HAZARD AND INCIDENT MANAGEMENT PLAN

Document Nº: MP.GTM.025

Approval: SSE

ISSUE Nº.	ISSUE DATE	ORIGINATOR	REVIEWED RELEVANT MANAGER	REVIEWED H & S MANAGER	APPROVED SSE	SIGNATURE
5	31 July 2018	Tanya Pattison				[redacted]
			Mathew Maxwell			
				Mathew Maxwell		
					Tom Cobcroft	

Note: This document is controlled whilst it remains in the Grasstree Mine intranet. Printed copies created from this document are deemed to be uncontrolled and are only valid on the day of printing.

Uncontrolled When Printed

AMENDMENTS

ISSUE No.	ISSUE DATE	DESCRIPTION	INITIAL
1	13th June 2014	New document Following documents made obsolete: SHMS.UGGT.016 SHMS.UGGT.015	JD
2	13th July 2015	Minor administration changes	LH
3	16th October 2015	Review Update of ICAM template	DL
4	12th July 2016	Review	CG
5	31 July 2018	Partial Review (Administration) – Update to Appendix 3 Involved Person or Witness Statement	TP
	30 October 2018	Administration Change – remove reference to ICAM, separate appendices into standalone documents	FGUI
6	13 December 2018	Administrative Changes	Fred Guirguis
7	26 February 2019	Administrative Changes	Karl Stocker

This document was approved by the above listed as indicated by signature on the original copy. Original copies are kept by the Grasstree Mine Safety, Health and Environment Department. This document has been edited or reformatted to meet current standards of document control. The intent and content of the document is unchanged.

Uncontrolled when printed

Contents

1. INTRODUCTION 5
1.1. Objective 5
1.2. Scope 5
1.3. Definitions 5
1.4. Assumptions of the Plan 7
1.5. Related Mine Characteristics 7
1.6. Historical Information 7

2. IDENTIFIED HAZARDS 7
2.1. Risk Assessment 7
2.2. Identified Risks 7

3. CONTROL PROCEDURES 8
3.1. General Requirements Plan – Do – Check – Act (PDCA) 8
3.2. Plan 8
3.2.1. Training 8
3.2.2. Equipment 8
3.2.2.1. Investigation kits 8
3.3. Do 8
3.3.1. Reporting and Investigating Accident and Incidents – Trigger Action Response Plan 8
3.3.2. Incident investigation 8
3.3.2.1. Post incident 9
3.3.2.2. Determine the level of investigation required 9
3.3.3. Environmental Incidents 10
3.3.4. High Potential Incidents 10
3.3.5. Health Surveillance Monitoring Incident that exceeds the prescribed exposure limits 10
3.3.6. Causal Analysis Method Template 10
3.3.7. RCA / LFI reports 10
3.3.8. Communication to workforce 10
3.4. Check 11
3.4.1. Injury Classifications: 11
3.4.1.1. First Aid Case (FAC) 11
3.4.1.2. Medical Treatment Case (MTC) 11
3.4.1.3.Lost Time Injury (LTI) 12
3.4.2. Audits 13
3.5. Act 13
3.5.1. Implementing corrective action 13

Uncontrolled when printed

3.5.2. Incident completion and sign off 13

4. PERFORMANCE INDICATORS 13

5. ROLES AND RESPONSIBILITIES 13

5.1. Coal Mine Operator 14
5.2. Site Senior Executive 14
5.3. Underground Mine Manager 14
5.4. SHE Manager 14
5.5. SHE Team 14
5.6. Site Nursing or Paramedic Personnel 14
5.7. Managers and Superintendents 14
5.8. Training Superintendent 15
5.9. ERZ Controllers/ Supervisors 15
5.10. Control Room Operator 15
5.11. Coal Mine Workers and other persons 15

6. RESOURCES REQUIRED 15

7. COMMUNICATION 15

7.1. Communication of Responsibilities 15
7.2. Normal Communication Channels 15
7.3. Communication of Safety Issues 16

8. TRAINING COMPETENCIES AND / OR AUTHORISATIONS 16

9. AUDIT 16

10. REVIEW CRITERIA 16

11. CORRECTIVE ACTION 17

12. RECORDS 17

13. CHANGE MANAGEMENT 17

14. REFERENCES 17

15. OBJECTIONS 18

16. INTERNAL AUDIT SHEET - HAZARD AND INCIDENT MANAGEMENT 19

Uncontrolled when printed

1. INTRODUCTION

This document describes the Grasstree Mine Hazard and Incident Management Plan (The Plan). It addresses hazard identification, control, review, audit and corrective action to manage risk associated with inadequate management of hazards and incidents. The Safety, Health and Environment (SHE) Manager is the principal owner of this plan and is responsible for the management and review of it in accordance with the requirements of the Safety and Health Management System (SHMS).

The Plan is developed in accordance with the AA_GTS_2 Group Technical Standard for Integrated Risk Management and AA_SSDP_002 Process for the Management of SHE Risk.

1.1. Objective

The objective of this Plan is to;

- ensure that hazards associated with inadequate management of hazards and incidents are predicted, assessed, and controlled; and
- provide a documented system (in respect of hazard and incident management) that will support the Mine to achieve an acceptable level of risk.

1.2. Scope

This document applies (to the extent that it is relevant) to the following persons:

- all coal mine workers (CMW) and all visitors at Grasstree Mine engaged in the activities referred to in this document; and
- all other persons who may affect the safety and health of workers or other persons at Grasstree Mine engaged in the activities referred to in this document.

1.3. Definitions

Definitions	
Act:	*Coal Mining Safety and Health Act* 1999
AAC	**Anglo American Coal**
Coal Mine Worker (CMW):	An individual who carries out work at a coal mine and includes the following: • an employee of the coal mine operator; • a contractor or employee of a contractor.
CRO:	Control Room Operator
DNRM:	Department Natural Resources and Mines
DEHP:	Department of Environment and Heritage Protection
Enablon:	Anglo American's safety reporting and action management database
FAC	First Aid Cases
Hazard:	Anything which has the potential to cause harm.
HPI (Anglo):	Any incident with a potential ISR rating of level 4 or level 5 on the Anglo Risk Matrix Consequence Table giving regard to safety and health, environmental impact, social or community impact, legal and regulatory, material losses, damages or business interruption and impact on reputation

Uncontrolled when printed

HPI (DNRM):	High Potential Incident as per Act and Regulation
Incident:	An event that had the potential to cause injury, illness or death (to employees, contractors and visitors) or damage to plant, property and the environment.
ISR:	Incident severity rating as defined in the Anglo American Risk Matrix.
JRA:	Job Risk Analysis
LFI:	Learning From Incidents (Anglo American's incident investigation methodology)
Lost Time Injury (LTI):	Is a work-related injury resulting in the employee/contractor being unable to attend work, or to perform the full duties of his/her regular work, on the next calendar day after the day of the injury, whether a scheduled work day or not. Lost Time Injuries include observation periods by medical professionals greater than 24 hours.
MTC	**Medical Treatment Case**
MEM:	Mechanical Engineering Manager - Statutory Position
Notifiable Incident:	An incident required to be reported to the Department of Natural Resources and Mines (DNRM), Department of Environment and Heritage Protection (DEHP) and Anglo American, in a specified time frame.
MP:	Management Plan
Regulation:	*Coal Mining Safety and Health Regulation* 2017
RCA:	Root Cause Analysis
Routine functions	Routine functions are those work activities which are defined in the employee's/contractor's role profile.
Shall:	Indicated that a statement is mandatory
SHMS:	Safety & Health Management System (a documented system that incorporates risk management elements and practices that ensure safety and health of persons who may be affected by coal mining operations)
Should:	Indicates a recommendation
SLT	Senior Leadership Team
SOP:	Standard Operating Procedure
SSE:	Site Senior Executive
SWP:	Standard Work Procedure
TRC:	Total Recordable Case (the sum of all LTIs, MTCs and Fatalities).

Uncontrolled when printed

1.4. Assumptions of the Plan

This Management Plan will ensure Grasstree Mine complies with the Act and Regulations; specifically, this document relates to section 15(1) and 15(2) b of the Coal Mining Health and Safety Regulations 2017.

1.5. Related Mine Characteristics

Grasstree Mine is a mining operation including significant underground mining activities and surface activities. The mine must abide by legislative requirements in relation to hazard and incident management.

1.6. Historical Information

This Management Plan has been developed as part of Grasstree Mine continual improvement processes to align with the Grasstree Mine SHMS.

2. IDENTIFIED HAZARDS

2.1. Risk Assessment

A bowtie risk assessment and workplace risk assessment and control (WRAC) risk assessment were conducted to determine the causes and consequences of inadequate management of hazards and incidents. The risk was assessed and analysed in terms of likelihood, consequence and control effectiveness.

2.2. Identified Risks

The risk assessment process identified four main causal pathways that would inherently lead to inadequate hazard and incident management. These include:

- less than adequate human resources, including:
  - Inadequately trained CMWs with respect to reporting of hazards and incidents
  - Inadequately trained supervisors with respect to reporting and investigation of hazards and incidents (in line with site and legislative requirements)
- less than adequate equipment for managing hazards and incident (e.g. unavailability of investigations kits), including:
  - Inadequate access to equipment to conduct investigations
  -
- Less than adequate hazard and incident management processes, including:
  - Incorrect or delayed reporting of hazard and/or incident resulting in escalation or investigation
  - Undefined hazard and incident reporting procedures
  - Inadequate level of investigation for hazard or incident
  - Less than adequate feedback and / or follow up
- Less than adequate injury management

Inadequate management of hazards and incidents has the potential to cause injury and/or fatality/s to coal mine worker/s.

Uncontrolled when printed

3. CONTROL PROCEDURES

3.1. General Requirements Plan – Do – Check – Act (PDCA)

The Hazard and Incident MP at the Mine adopts a Plan - Do - Check - Act (PDCA) strategy.

The PDCA methodology is based on the following principles:

- **PLAN** - planning and documentation for systems, processes and activities;
- **DO** - acceptance and implementation of the plan;
- **CHECK** - measurement and analysis that is understood and accepted
- **ACT** - review and management follow-up, improvement initiatives that are sustainable.

3.2. Plan

3.2.1. Training

All CMWs shall be trained in hazard and incident management relevant to their position at Grasstree Mine. The training shall include legislative and site requirements to report and control hazards and incidents (refer to Section 8).

CMWs that hold statutory positions [e.g. ERZ Controllers, Mine Senior Officials (MSOs)] undergo additional training as part of their statutory training and all hold a current competency for RIIOHS301A – Conduct Safety and Health Investigations.

3.2.2. Equipment

3.2.2.1. Investigation kits

Investigation kits are available in crib rooms. Contents of these kits include:

- Copies of 'Incident Investigation and Evidence Collection Guide'
- Copies of 'Involved Person or Witness Statement'
- Copies of UGGTHS007 Enablon Offline Incident Report Form
- Tape measure / plastic ruler

Each month, the section ERZC will check the contents of the investigation kits in each crib room and replace contents as required.

3.3. Do

3.3.1. Reporting and Investigating Accident and Incidents – Trigger Action Response Plan

A Reporting and Investigating Accident and Incidents TARP is in place at Grasstree Mine and should be followed in the event there is a workplace incident.

3.3.2. Incident investigation

All incidents must be investigated. The investigation, as per the approved Incident Reporting Form, initial report to be submitted by the end of the shift, and the investigation must be completed within 48 hours of the incident occurring.

Uncontrolled when printed

3.3.2.1. Post incident

- The control room operator is responsible to ensure the Underground Mine Manager, Manager/Superintendent of the area the incident occurred and the SHE department representatives are notified immediately of any person who requires off site medical treatment.
- The most senior statutory official on site is responsible to ensure people involved in the incident are interviewed and that the investigation report is completed to the required standard.
- Testing after an incident for alcohol and/or drugs may be required of those people involved in an incident.
- Photographs may need to be taken. A camera is available in the control room for use in investigations, if taking underground must be authorised for UPEE and camera.
- The Incident investigations section of the Incident Report Form shall be completed for every incident.
- If a more in-depth investigation such as an LFI is required (e.g. significant injury or TRC), this must be commenced within seven days of the incident occurring.
- Where it is not practicable to involve the ERZ Controller in the investigation then another ERZ Controller shall be used.
- All LTI, MTC, Anglo HPI and HPH investigations shall be presented by the relevant process owner involved in the incident to the SLT for review and shared learning's.

3.3.2.2. Determine the level of investigation required

During the preliminary investigation an actual and potential Incident Severity Rating (ISR) will be assigned to the incident. The ISR will be determined in accordance with the Anglo American plc Risk Matrix. The ISR assigned to the incident during the initial investigation is used to determine if a higher level of investigation is required or as instructed by a Statutory Official (e.g. DNRM HPI).

An additional higher level of investigation (e.g. LFI) will be required for incidents with;

- Potential consequence of 4 – High or 5 – Major (Anglo HPI / HPH); or
- As requested by the Department/Mine Manager; or
- Total Recordable Injuries (LTI's & MTC's) as determined necessary

Note: LTI's & MTC's will be subject to the LFI process with view to prevent recurrence. Cases will be reviewed on an individual basis and responsible departments will be accountable to ensure completion of investigations occur when determined necessary. The SHE team will provide a quality assurance role.

POTENTIAL CONSEQUENCE	LEVEL OF INVESTIGATION	FACILITATOR
Level 4 – High	LFI Mandatory	LFI Lead Investigator
Level 5 – Major	LFI Mandatory	LFI Lead Investigator

Note: When completing an incident investigation, please refer to Incident Investigation & Evidence Collection Guide.

Uncontrolled when printed

Below outlines examples of the types of incidents.

Type of Incident	Example
Equipment damage	Damage to cable
Legal & regulatory	Isolation breach
Environmental	Spill of hazardous substance greater than 20 litres
Structural Integrity	Structural failure of metal component of conveyor belt
Injury	Laceration to body part, burn, suspected high pressure fluid injection injury
Illness	Dermatitis, hearing loss

3.3.3. Environmental Incidents

Where an environmental incident has an actual IRS consequence resulting in a classification of a level 2 – Low incident, a specific investigation team shall be put together to investigate the incident to determine the root cause and put corrective actions in place.

3.3.4. High Potential Incidents

A person must not interfere with a place at a coal mine that is the site of a serious accident or HPI of a type prescribed by regulation without the permission of an DNRM Inspector (action taken to save life or prevent further injury at a place is not interference with the place). If in doubt, treat the site as a HPI and seek advice from the ERZC & MSO.

Statutory HPIs (as defined by CMHSA&R) and any incident with an actual or potential severity rating equal to or greater than 4 are considered to be high potential incidents and they shall have a higher level LFI investigation completed the incident and findings will be communicated to the workforce via Tool Box Talk, Safety Updates or other communication appropriate forums.

Additionally, the incident may be presented as part of the AAC significant incident video conference.

3.3.5. Health Surveillance Monitoring Incident that exceeds the prescribed exposure limits

An incident report and investigation is to be conducted into any exceedance of a Health Surveillance Monitoring Exceedances above Prescribed exposure limits (Including Respirable Dust or Quartz, & Noise,) LFI investigations are conducted in accordance Level 4 TARP triggers as defined in LW, Development and Outbye Respirable dust and Quartz TARPs.

3.3.6. Causal Analysis Method Template

A Causal Analysis Method Template shall be used when conducting a LFI investigation. The template will assist with capturing all the required information for input into the LFI report.

The template can be found on the Grasstree Mine SHMS, under Forms and Template.

3.3.7. RCA / LFI reports

RCA findings are to be recorded on a Root Cause Analysis template

LFI findings are to be recorded on an Incident Investigation Report

Uncontrolled when printed

3.3.8. Communication to workforce

All incidents need to be communicated back to the work force. Incident communication may include, but is not limited to:

- Pre-start meetings
- Discussion in toolbox talks
- Discussion in formal safety meetings
- Crew Communications - Monthly
- Safety guides and safety alerts
- Discussion in other meetings
- Notification via notice boards and email
- Mine Records

The incident responsible Superintendent may generate an Incident Communication Feedback Form. This is a mandatory step for each incident which had a LFI investigation completed (i.e. DNRM HPI, Anglo HPI, TRC etc.) and must be completed within 7 days of the incident occurring.

It is the responsibility of Mine Senior Official (MSO)/supervisors to ensure that relevant notifications are communicated to their crews.

3.4. Check

3.4.1. Injury Classifications:

3.4.1.1. First Aid Case (FAC)

These are minor work-related injuries which, in normal circumstances, are able to be treated successfully in accordance with recognised/accepted first aid training. This is irrespective of whether a medical professional administers the treatment.

First aid treatments are defined as:

- Visit(s) to a health care provider for the sole purpose of observation;
- Use of non-prescription medications including antiseptics;
- Administration of tetanus/diphtheria shot(s) or booster(s) for preventative purposes;
- Cleaning, flushing or soaking wounds on skin surface;
- Use of wound coverings such as bandages, gauze pads, etc.;
- Use of hot and cold therapy e.g. compresses, soaking, non-prescription creams/lotions for local relief except for musculoskeletal disorders;
- Use of any totally non-rigid, non-immobilising means of support e.g. elastic bandages;
- Drilling of a nail to relieve pressure for a subungual haematoma;
- Use of eye patches;
- Removal of foreign bodies from the eye if only irrigation is needed, or of foreign bodies from the eye lids if only irrigation or removal with cotton swab is required;
- Removal of splinters or foreign material from areas other than the eyes by irrigation, tweezers, cotton swabs or other simple means.
- Mandatory ECG assessment post electrical contact exposure that requires no treatment.

3.4.1.2. Medical Treatment Case (MTC)

A medical treatment case is a work-related injury resulting in the management and care of a patient to combat disease or disorder, which does not result in lost time or restricted work.

Uncontrolled when printed

A work-related injury which results in the injured person receiving attention, that under normal circumstances would only be received from a medical professional (e.g. doctor, nurse, paramedic, physiotherapist, etc.) via medical treatment or prescription. The injured person will be able to resume the routine functions of his/her job on the day following that of the injury.

The application of sutures, or the removal of a foreign body embedded in the eye, are examples of MTCs. Any treatment of an injury which involves medicines usually obtainable only by prescription of a medical professional (e.g. antibiotic), unless solely for preventative measures, will be classified as a MTC. MTCs ***do not*** include:

- Visits to physicians or other licensed health care professional solely for observation or counsell ng;
- The conduct of diagnostic procedures, such as X-rays and blood tests, including the administration
- of prescription medications used solely for diagnostic purposes (e.g. eye drops to dilate pupils, etc.);
- Visits to physicians or other health care professionals solely for therapy as a preventative measure (e.g. tetanus shots, antihistamines administered solely as a precautionary measure i.e. where no allergic reaction has manifested).

In the case where an employee or contractor is admitted to a hospital or similar institution for medical observation purposes subsequent to an incident, it should be reported as medical treatment case if the observation period extends beyond 12 hours, but no treatment is given, or no evidence of injury or illness is found. In the unlikely event that the observation continues for more than 24 hours the incident becomes an LTI.

The criterion is on the treatment, not the examination.

3.4.1.3. Lost Time Injury (LTI)

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 functions1 of his/her job, on the next calendar day after the day of the injury, whether a scheduled work day or not.

- Days lost are calendar days regardless of whether the injured was due at work or not on any of those days, and includes scheduled time off, or time off for training, disciplinary suspension, etc.;
- Restricted work (or light duty) is counted as a lost-time injury;

Restricted work days are considered 'days lost due to a lost-time injury' and should be captured as such;

- Loss of consciousness should be recorded as a lost-time injury, regardless of the length of time the employee/contractor remains unconscious.

In the case where an employee or contractor is admitted to a hospital or similar institution for medical observation purposes subsequent to an incident, it should be reported as a lost time injury if any evidence of injury or illness is found, or if any treatment is given, and one or more shifts is lost.

In this case, the time spent under observation should be recorded as lost time. Similarly, if an injured worker undergoes medical diagnosis and following the examination receives no medical treatment and the person is deemed fit to return to work the following day, the incident will be recorded as a first aid case and no lost time will be allocated to the incident. However, if medical treatment is provided and the person returns to work the following day, the incident will be classified as a medical treatment case. No lost days will be allocated for these incidents. If a lost time injury becomes a fatality, the case should be recorded as a fatality on the date of the incident, and the record of the case as a LTI should be deleted from the database. This is to avoid double accounting as both lost-time injuries and fatalities are used in the calculation of frequency rates. The same would apply for the reclassification of a medical treatment case to a lost time injury: the record of the MTC should be deleted and the lost-

Uncontrolled when printed

time injury captured on the date of the incident. Both medical treatment cases and lost-time injuries are used to calculate the total recordable case frequency rate (TRCFR).

In the event of uncertainty about whether an incident is an LTI or not OSHA 3245 will be used by the Coal Australia & Canada Head of S&SD to make a determination, the outcome of which will be recorded in writing.

Where a lost time injury can be assigned to more than one of the listed Agencies (page 8), use the Agency that is the fundamental cause of the LTI. If it is still difficult to classify the LTI, then use the advice of an appropriate professional person.

3.4.2. Audits

Internal audits shall be conducted yearly and documented on the internal audit tool.

3.5. Act

3.5.1. Implementing corrective action

It is an aim of all incident investigations to develop corrective actions to prevent reoccurrences. Responsible Managers, Superintendents and Coordinators shall ensure that adequate corrective actions are listed in response to incidents.

Where possible, prior to corrective actions being allocated via the Incident Reporting System, potential actions shall be discussed with and agreed to by those persons who will be responsible for completion of the action. Responsible persons will be notified of required action via system generated emails and will be responsible for the completion and close out of such actions. Changes to completion dates, action details or reallocation of actions shall be discussed with the relevant department manager prior to any changes being made.

3.5.2. Incident completion and sign off

Incident reporting and investigation will be conducted in accordance with this procedure.

A responsible Grasstree Manager will be selected as the Validator in Enablon and once the incident is ready for validation, it is 'submitted' by the person inputting the data into the Incident Reporting Database (Enablon). The Validator will receive an email notification and can access the incident details via the link in the email notification. Once the Validator has reviewed the incident details, he/she selects 'Validate' or 'Reject'.

Validators are chosen to reflect the department owner of the incident. Refer below for guideline:

Incident Location, Person Involved	Manager
Mining Operations (LW, DEV, OB)	Operations Manager
DNRM Related Incidents (HPI's)	Underground Mine Manager
Engineering & Maintenance (Workshop, Surface & Shafts)	Engineering & Maintenance Manager
Support Services	Relevant Department Manager

Uncontrolled when printed

4. PERFORMANCE INDICATORS

- All hazard and incident management shall be carried out in accordance with this Plan.
- Documentation associated with this Plan shall be managed in accordance with the MP.GTM.001 Document and Records Management Plan.

5. ROLES AND RESPONSIBILITIES

Role and responsibilities of CMW are outlined below. These should be read in conjunction with - Reporting and Investigating Accidents and Incidents.

5.1. Coal Mine Operator

- Provide for the auditing and review of the effectiveness and implementation of this document to ensure that risk to persons from Grasstree Mine is at an acceptable level

5.2. Site Senior Executive

- Develop this document and ensure that it is implemented across Grasstree Mine
- Ensure sufficient time and resources are made available to support the implementation of this document (including providing for appropriate training)
- Provide for regular monitoring and assessment of the implementation of this document as a work procedure (including providing for appropriate and supervision)

5.3. Underground Mine Manager

- Ensure compliance with this document by coal mine workers and any other relevant persons across the mine manager's area of accountability

5.4. SHE Manager

- Ensure compliance with this document through the conduct of documented comprehensive audits
- Develop annual internal audit schedule
- Recommend any changes to this document following audits, particularly if an audit report contains adverse findings

5.5. SHE Team

- Provide support and assistance to complete incident investigations
- Provide support and assistance to facilitate LFI and investigations

5.6. Site Nursing or Paramedic Personnel

- Provide first aid, emergency health care and primary health care services
- Coordinate the transportation of sick and injured patients to the local hospital or Medical Practitioner, or aero medical evacuation as is appropriate and providing ongoing and follow up professional treatment as required
- Coordinate the transportation of sick and injured patients to the local hospital or Medical Practitioner, or aero medical evacuation as is appropriate and providing ongoing and follow up professional treatment as required
- Perform surface and underground injury management (including casualty room management);

Uncontrolled when printed

- Perform on-Site drug and alcohol screening;
- Perform injury/incident reporting
- Notify relevant Site manager and Company Representative of any medical incidents or requirements in their area of responsibility and maintaining confidential records of injuries or illness as required

5.7. Managers and Superintendents

- Ensure compliance with this Plan and TARPs

5.8. Training Superintendent

- Ensure that suitable training materials and competencies are developed and provided for persons to whom specific duties are delegated under this Plan
- Ensure that all CMW and any other relevant persons at Grasstree Mine receive appropriate training in the contents of this document

5.9. ERZ Controllers/ Supervisors

- Ensure compliance with this document by coal mine workers and any other relevant persons under their supervision
- Ensure compliance with their obligations outlined in 'SOP Reporting of Hazards and Incidents'.
- Complete incident reports as required under this procedure

5.10. Control Room Operator

- Report all Level 1 trigger incidents (and above) to Department Superintendent (Reporting and Investigating Accidents and Incidents TARP.

5.11. Coal Mine Workers and other persons

Coal Mine Workers and other persons shall:

- Ensure comply with the requirements of this document as it applies to each of them
- Carry out the worker's or the person's activities pursuant to this document in a way that does not expose the worker or person or someone else to an unacceptable level of risk
- Not carry out the worker's or the person's activities pursuant to this document unless the worker or person is competent to do so

6. RESOURCES REQUIRED

Personnel necessary to manage and operate the provisions of this Plan are specified in Section 5 along with their detailed responsibilities.

7. COMMUNICATION

7.1. Communication of Responsibilities

Information is communicated to the individual by the following mechanisms:

- position descriptions, and signed appointments;
- relevant training (see Section 8);

Uncontrolled when printed

- induction and refresher training
- Prestart meetings
- Monthly Safety Summary Presentation to CMWs at Crew Communication
- SITC significant incident telephone conference presentation monthly and posted on Eureka.

7.2. Normal Communication Channels

Everyday communication is achieved by direct verbal and written work instructions from supervisors.

A formal change in procedures, significant memos and other important information is posted on notice boards and communicated by the MSO at pre-shift meetings.

7.3. Communication of Safety Issues

Regular crew communication meetings will be held with the workforce. This meeting discusses any relevant internal or external safety alert or significant incident report and the issues relating to the current work. The rotating roster system is designed to ensures that each person attends a crew communication meeting once per month, and it is displayed on muster area communication electronic screens for viewing by CMWs.

All Safety Alerts and Significant Incident Reports are posted on the notice board.

8. TRAINING COMPETENCIES AND / OR AUTHORISATIONS

All CMW shall have training relevant to their positions in the Plan.

Training shall include, a specific understanding and knowledge of:

- the aims and objectives of this Plan
- the potential hazards and risks of inadequate management of hazards and incidents
- the control measures that have been implemented

9. AUDIT

Any person at the mine who becomes aware of any non-compliance with the Plan or its standards and procedures shall initiate corrective action. The corrective action is to be delegated to the responsible person to rectify the non-compliance. It is the requirement of this Plan that corrective action is taken to eliminate any actual or potential non-compliance identified by any of the following processes.

The following can highlight non-compliance requiring corrective action:

- audits (internal and external)
- reviews
- verbal communications, shift reports, incident reports

All significant non-compliances are to be reported on an Incident Report.

Internal and external audits shall be conducted to determine compliance and adequacy of the elements of this plan.

Internal audits shall be carried out by persons independent of those persons with responsibility of the aspect of the plan which is the subject of the audit. An internal audit sheet..

External audits (every three years) shall be carried out by those with independence from the mine's operations. External audits may be conducted by those external to a mine but still within the corporate entity owning or operating the mine, providing that persons are sufficiently removed from the client to guarantee objectivity.

Uncontrolled when printed

The audits shall be conducted by suitably trained persons. Records of audits shall be maintained by the SHE Department in accordance with document control requirements.

Causes of non-conformities to the plan must be investigated and corrective actions developed, implemented and recorded in the audit report.

10. REVIEW CRITERIA

This document shall be reviewed as follows:

- every FIVE years as per Anglo procedures
- when there is a change of method and/or technology that may affect the accuracy of this document
- whenever there is a significant change to the coal mining operations of Grasstree Mine that impacts upon this document

11. CORRECTIVE ACTION

In addition to the audit and review process it is vital to the ongoing effectiveness of any Management Plan for all employees to have access to a system that allows them to highlight, at any time, a non-conformance with Plan provisions or recommendations that may improve the Plan.

Should any employee believe they have discovered a non-conformance with the provisions of this plan or wish to submit a suggestion aimed at improving the effectiveness of the Plan in managing hazards and incidents, this can be affected by either contacting their immediate supervisor or SHE Manager.

12. RECORDS

All hazards and incident shall be records on an Incident Form and entered into Enablon.

The Health and Safety department shall retain hard copies of all documents in line with the MP.GTM.001 Document and Records Management Plan.

13. CHANGE MANAGEMENT

Where people who have specific responsibilities under this plan are absent or unavailable the following is to occur:

- responsibility holder to provide clear and unambiguous delegation of their responsibilities to an alternate person (who has the required skills to complete the responsibility);
- delegation of responsibilities should be made in writing (including email) and will include the following details:
    - contact details for the person filling the role;
    - duration of the transfer of the responsibilities;
    - any potential limitations of duty with respect to the responsibilities;
    - resource authorisation to be able to fulfil the duties;
    - any specific instruction;

The delegation will be communicated to the person filling the role, the SSE and relevant mine personnel.

Uncontrolled when printed

14. REFERENCES

External References

Coal Mining Health and Safety Act 1999

Coal Mining Health and Safety Regulation 2017

AS/NZS ISO 31000:2009 Risk management – Principle and guidelines.

Grasstree References

MP.GTM.001 Document and Records Management Plan

MP.GTM.050 Communication of Safety, Health and Environment Information

RA.MP.GTM.025 Hazard and Incident Management

SOP.MP.GTM.025.001 Reporting of Hazards and Incidents

Hazard Identification Form

GUIDE Completion of Grasstree Incident Form

Enablon Offline Incident Report Form (Standard 11 Grasstree Mine SHMS)

Corporate References

AA GTS 2 Integrated Risk Management System

BPP_SSD_BG_000001 _S&SD INDICATORS –SAFETY: DEFINITIONS AND GUIDANCE NOTES

AA_SSDP_004 ORM Procedure for Site Issue, Project or Change Risk Assessment

Coal_11-4_Standard Incident Reporting

Coal_11-11_Standard Environmental Incident Investigation and Reporting

Recognised Standard 02 – Control of Risk Management Practices

4.2. COMCON.4 Incident Analysis & Investigation

Anglo Coal Australia SHECMS Standard 5.1.OPSRISK.1 The Management of SHEC Risk.

15. OBJECTIONS

Coal Mining Safety and Health Regulation 2017 Chapter 2, Part 2, Division 2, Regulation 10 (1) (d) clearly identifies the need to reach agreement in the development of procedures. This procedure has been prepared and distributed to those involved in the process as per the requirements detailed in the Regulation Chapter 2, Division 2 Regulation 10 (1) (d). Should you have any objection, please note below.

NAME	OBJECTION DETAILS	SIGNATURE	DATE

Uncontrolled when printed

Uncontrolled when printed

16. { FORMTEXT }

Date:				Yearly Internal Audit of MP: HAZARD AND INCIDENT MANAGEMENT PLAN			
Audit By:				Enablon Action Plan Number:			
Description		**Evidence**	**Pass / Improvement**	**Action Required**	**Who**	**By when**	**Enablon Task Number**
AUDIT PLAN:	Randomly select two (2) ERZ Controllers on shift at present time – do they each hold a current competency for RIIOHS301A – Conduct Safety and Health Investigations?						
	Are investigations kits available in each crib room?						
AUDIT DO:	For the previous three months have LFI investigations commenced within 7 days of the incident occurring?						
	Are incident communicated back to the workforce? If so, by what means?						

Uncontrolled when printed

AUDIT CHECK:	Confirm the monthly HPH/HPI review is being conducted and documented at weekly SLT meeting minutes?						

Uncontrolled when printed

	Description	Evidence	Pass / Improvement	Action Required	Who	By when	Enablon Task Number
AUDIT ACT:	Have corrective actions been developed to prevent reoccurrences of incidents? Have these been entered into Enablon and closed out by specified due date?						
General Comments:							

Uncontrolled when printed