



GROSVENOR COAL MINE

PRO-Incident Reporting and Investigation.

PROCEDURE

INCIDENT REPORTING & INVESTIGATION

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 1 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



TABLE OF CONTENTS

1	Purpose	4
2	Scope	4
3	Definitions	4
4	Procedural Requirements	6
4.1	Initial Incident Notification.....	6
4.2	Initial Incident Response	6
4.3	Drug and Alcohol Testing.....	6
4.4	Initial Incident Reporting	7
4.5	Injury Notifications	7
4.6	Incident Classification & Reporting.....	7
4.6.1	Significant Incidents	8
4.6.2	Anglo High Potential Incidents	8
4.6.3	DNRME High Potential Incidents & Serious Accidents	8
4.6.4	High Potential Hazards	9
4.6.5	Occupational Exposure Exceedances	9
4.7	Legal Privilege	10
4.8	Incident Feedback	10
4.9	Injury Classification	11
4.9.1	Reportable vs. Non-Reportable.....	11
4.9.2	Lost Time Injury	11
4.9.3	Medical Treatment Case	12
4.9.4	First Aid Cases	12
4.9.5	Day Lost Due to Injury	13
4.9.6	Occupational Illness.....	13
4.10	Learning From Incidents (LFI).....	14
4.10.1	Investigation of Respirable Dust Exceedance.....	15
4.10.2	Involvement of ERZC	16
4.10.3	Involvement of Inspector	16
4.10.4	Involvement of the Industry Safety and Health Representative (ISHR)	17
4.10.5	Involvement of the Site Safety and Health Representative	17
4.10.6	Investigation Findings	17
5	Competencies & Authorisations	17
6	Roles and Responsibilities.....	17
6.1	SSE.....	17
6.2	Management.....	18
6.3	Superintendent	18
6.4	Supervisors	18
6.5	Coal Mine Workers	18
7	References	18
7.1	Internal.....	18
7.2	External.....	19
8	Review Criteria.....	19
9	Amendments	19
Appendix A	- Notifier by HPI Types	21
Appendix B	- Anglo SHE Risk Matrix Consequence Table	22
Appendix C	- Incidents that would normally qualify as Anglo HPI's	23
Appendix D	- HPI's reportable under the Coal Mining Safety and Health Act 1999	24

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 2 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



GROSVENOR COAL MINE

PRO-Incident Reporting and Investigation.

Appendix E Examples of Anglo High Potential Hazards25
Appendix F - Reportable Injuries26
Appendix G - Definition of Occupational Illnesses vs Work Related Injuries27
Appendix H - Hazard, Defect and Incident Report Form Process Flow Chart.....28
Appendix I - Internal Document Audit.....29

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 3 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



1 Purpose

The purpose of this procedure is to provide a documented process at Grosvenor Coal Mine to define the process for:

- Investigating accidents and incidents at the mine
- Making the investigation findings available to the coal mine workers
- Implementing corrective actions for accidents and incidents

2 Scope

This procedure applies to all Grosvenor Coal Mine employees, contractors and visitors. This procedure covers the requirements of *Coal Mining Safety and Health Regulation 2017 s15*.

3 Definitions

The following definitions are specific to this procedure. Generic definitions are addressed in **GRO-190-FS-Glossary of Terms**.

Term	Definition
Example	Example of definition/s (delete this row)
Anglo HPI	High Potential Incident (an incident where it is reasonable to expect a potential consequence of ISR 4 or 5 according to the Anglo SHE Risk Matrix.
CMSHA	Coal Mining Safety and Health Act (Qld) 1999
CMSHR	Coal Mining Safety and Health Regulation (Qld) 2017
CRO	Control Room Operator
EEM	Electrical Engineering Manager.
Hazard	at risk behaviour or condition which has the potential to cause harm or danger to people, assets or the environment.
High Potential Hazard (HPH)	hazard with a potential consequence / ISR rating of level 4 or level 5 on the Anglo Incident Severity Consequence Matrix Table.
High Potential Incident (HPI)	An incident with a potential consequence / ISR rating of level 4 or level 5 on the Anglo Incident Severity Consequence Matrix Table.
Incident	An event that could or does cause an undesired alteration in the operating process resulting in harm to people, property, environment, employees or communities.
IMO	Injury Management Officer
Incident	Any event that could or does cause a) an undesired alteration in the operating process resulting in harm to people, property, environment, employees or communities or b) non-compliance with applicable regulations or standards. Significant unplanned deviations from standard formalized operating procedures are also classed as an incident. Additionally, ongoing conditions that have the potential to result in adverse consequences are considered to be incidents.
ISHR	Industry Safety and Health Representative as defined by s26 of the <i>Coal Mining Safety and Health Act (Qld) 1999</i>

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 4 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



GROSVENOR COAL MINE

PRO-Incident Reporting and Investigation.

Term	Definition
ISR	Incident Severity Rating (actual or potential severity of the incident as determined by the Anglo Risk Matrix consequence descriptions)
LFI	Learning from Incidents is the Anglo-American incident investigation process.
Lost Time Injury	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 functions of his/her job, on the next calendar day following the day of the injury, whether a scheduled work day or not.
MEM	Mechanical Engineering Manager.
Near Miss	A common term used to describe an incident, occurrence or situation that has the potential for adverse consequences to people, the environment, property, and/or reputation
Primary Information	As defined by s198(3A) of the Coal Mining Safety and Health Act 1999 (QLD). the primary information is all of the following: (a) the precise location where the accident, incident or death happened; (b) when the accident, incident or death happened; (c) the number of persons involved in the accident, incident or death; (d) if the notification is about a death, whether or not caused by an accident—the name of the person who died; (e) if the notification is about a serious accident or high potential incident— (i) the name of any person who saw the accident or incident, or who was present when the accident or incident happened; and (ii) the name of any person who was injured as a result of the accident or incident; (f) if no one was present when the person mentioned in paragraph (d) died or the person mentioned in paragraph (e)(ii) was injured—the name of the person who found the deceased or injured person; (g) a brief description of how the accident, incident or death happened.
Reportable/Legislative HPI	As defined by s17 of the <i>Coal Mining Safety and Health Act 1999 (QLD)</i> . A high potential incident at a coal mine is an event, or a series of events, that causes or has the potential to cause a significant adverse effect on the safety or health of a person.
Serious Accident (SA)	As defined by s16 of the Coal Mining Safety and Health Act 1999 (QLD). A serious accident at a coal mine is an accident at a coal mine that causes: (a) the death of a person; or (b) a person to be admitted to a hospital as an in-patient for treatment for the injury.
Significant Incident	An incident with an actual consequence / ISR rating of level 4 or level 5 on the Anglo Incident Severity Consequence Matrix Table.
SSE	Site Senior Executive
TRC	Total Recordable Case (sum of all LTI's, MTC's and Fatalities).
UMM	Underground Mine Manager.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 5 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



4 Procedural Requirements

4.1 Initial Incident Notification

The control room operator (CRO) is responsible for ensuring the Undermanager is notified immediately of any of the following:

- Where a person requires treatment for an injury or illness
- High Potential Incident
- High Potential Hazard

4.2 Initial Incident Response

For any injury to a person, High Potential Incident, or High Potential Hazard, the most senior statutory official on site is responsible to ensure that:

- Work in the affected area is ceased, the area is made safe and secured
Note: The instruction to release the scene and resume work can only be made by the SSE/UMM or their delegate.
Pursuant to CMSHA s200(1) the site of a serious accident or an HPI of a type defined in CMSHR Schedule 2 Part 1, must not be interfered with without the permission of the Inspector.
- Correct notifications are made
- Primary information is collected to accompany the incident report:
 - Location of where the accident or incident occurred.
 - Number of persons involved in the accident or incident.
 - Name of any person (witnesses) who saw the accident or incident or who was present when it happened.
 - Detailed statements collected from these persons.
 - Detailed description of how the accident or incident happened.
 - Drawings of the accident / incident scene.
 - Photographs should be taken, or a re-enactment of the accident / incident performed. A camera is available from the Undermanager for use in investigations.

A High Level Investigation Kit shall be available to be used by the most senior statutory official on site to investigate incidents. It shall be located in the Undermanagers office and will contain as a minimum:

- Incident Report Book
- Blank Witness Statements
- Camera
- Tape Measure
- A SLAM / VFL Notebook
- A pen
- A copy of this procedure

Emergency response actions will always take precedence over initial investigative actions. Procedures shall be in place for the personnel at the scene of an incident to preserve that scene for investigators once the emergency response activities are complete.

4.3 Drug and Alcohol Testing

Where a person is directly involved in a Serious Incident (HPI) or where an individual's behaviour has caused a High Potential Hazard, they shall be drug and alcohol tested as soon as practicable after the event has occurred. Where the person is not capable of providing a sample due to the nature of their injuries, a request for a sample may be made to the treating medical officer (at the hospital or other medical facility).

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



4.4 Initial Incident Reporting

Following the report of a hazard, defect or incident, the involved CMW and their supervisor or ERZC must complete an Incident Report form. This form is then checked for compliance and signed by the Supervisor or ERZC and handed to the Undermanager by the end of the shift. The Undermanager must then review and sign the form prior to communicating the incident at the next Start of Shift briefing.

The relevant Department Superintendent is to collect all hazard, defect or incident reports from the Undermanagers office each morning, to review information and ensure actions are correct. These reports are discussed at the daily MOS meeting and handed to the Safety Coordinators at the end of the meeting.

It is important to note that incidents or hazards that related to operational variance, are not entered into Enablon. These are to be passed on to the SORD Officer with an action to complete an RCA, as per the site Delay Investigation process. Where there is uncertainty as to whether an event should be entered into Enablon, the final determination will be by the SHE Manager.

For simplified and detailed process maps, refer to [Appendix H](#) Hazard, Defect and Incident Report Form process Flow Chart.

4.5 Hazard Reporting

For hazards identified, managed and corrected on shift, CMW's can complete the tear out Hazard Report within the SLAM book and have their Supervisor review and sign off. These pocket hazard reports may be referred to as 'Find & Fix' hazards.

If the hazard **cannot** be fully rectified on shift (e.g. due to requiring additional resources), the hazard is to be effectively controlled (e.g. barricaded) and a formal Hazard Report completed using GRO-192-FRM-Hazard, Defect and Incident Reporting Form.

4.6 Injury Notifications

Where a CMW is injured, a notification of the injury will be communicated by the treating IMO. The notification is to be made as soon as possible via phone or in person and a follow up email shall be sent to the following personnel as a minimum:

- Involved CMW's supervisor;
- Safety Manager/Superintendent;
- Undermanager;
- CMW Contract representative (e.g. One Key/TechServe); and
- Anglo Contract representative.

If the CMW is injured to the extent that they require transport offsite for treatment, arrangements will be made by the IMO in consultation with the on call Medical Officer, depending on the severity of the injury or illness. If the injury/illness is severe transport may be via QAS, otherwise a light vehicle will be made available and the CMW can be transported offsite by their supervisor or another delegated coal mine worker. It is the responsibility of the Undermanager to identify a suitable person (e.g. area co-ordinator) to accompany the injured person if the CMW supervisor is not available.

4.7 Incident Classification & Reporting

All incidents reported at Grosvenor Coal Mine shall be accurately and consistently assessed and classified in order to determine the appropriate level of investigation and reporting requirements. Incident severity rating shall be determined by the SHE Manager (or their delegate). This will be completed by comparing both the actual consequences against the potential consequences against the level descriptions in the Anglo SHE Risk Matrix.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



4.7.1 Significant Incidents

An Anglo Significant Incident is an incident which has an **actual** consequence severity of level 4 or level 5 on the Anglo Risk Matrix Consequence Table.

This means that an actual consequence from this type of incident was a permanent total disability, single fatality or multiple fatalities.

All significant incidents shall be immediately reported by the affected General Manager or most senior site manager to the relevant Coal (Aust & Canada) Head of Operations and the Coal (Aust & Canada) Head of S&SD. Subsequently, as soon as emergency response activities permit, but no longer than two hours after becoming aware of the incident the Coal (Aust & Canada) Head of Operations shall inform the Coal (Aust & Canada) CEO and any other relevant senior leaders of the incident.

4.7.2 Anglo High Potential Incidents

A High Potential Incident (HPI) is an incident where it is reasonable to expect a potential consequence of 4 or 5 according to the Anglo SHE Risk Matrix. Regard should also be given to environmental impact, social / community impact, legal and regulatory, material losses/ damages/ business interruption and impact on reputation.

A list of incidents that would normally qualify as Anglo HPI's are attached in [Appendix C](#).

All High Potential Incidents shall be reported by the affected General Manager or most senior site manager to the relevant Coal (Aust & Canada) Head of Operations and the Coal (Aust & Canada) Head of S&SD within 12 hours of the incident occurring. The preliminary reporting is to be done via phone (verbal or SMS) with a backup email to the appropriate Head of Operations and Head of S&SD.

The following considerations should be considered when assessing the potential of a particular incident:

- The potential consequences should be considered as the *maximum reasonable consequence* that could arise from the particular incident under consideration or a very similar incident with minor changes in circumstances (i.e. a vehicle roll-over that actually occurred on a normally busy haul road when no other vehicles were nearby, could have rolled and interacted with other vehicles if the incident had occurred a few minutes earlier or later).
- The potential consequences should be determined on the basis that any administrative controls that were or should have been in place failed or were not utilised (i.e. the consequences had PPE not been worn or utilized).
- The energies involved in the incident and the nature of the controls in place. Where substantial energies are involved and are released unexpectedly it would be expected that a high potential incident could result unless sufficient high level controls are in place to mitigate the high energy levels.
- Where a serious outcome was avoided simply due to a 'moment in time' or a 'fraction of distance' (i.e. where luck prevented an actual significant incident), it would be expected that the incident would be rated as an HPI.

4.7.3 DNRME High Potential Incidents & Serious Accidents

In addition to Anglo HPIs, the *Coal Mining Safety and Health Act (Qld) 1999* requires certain incidents to be reported as Legislative HPIs or notifiable events. A list of incidents that are required to be reported in accordance with the CMSHA is attached in [Appendix D](#).

As per s16 of the CMHSA, a serious accident at a coal mine is an accident at a coal mine that causes—

- (a) the death of a person; or
- (b) a person to be admitted to a hospital as an in-patient for treatment for the injury.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 8 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Where a serious accident results in a person receiving -

- (i) a bodily injury endangering, or likely to endanger, the person's life; or
- (ii) an injury causing, or likely to cause, a permanent injury to the person's health

Then the incident is to be reported to the relevant regulatory officials in accordance with section 198 of CMSHA.

If the incident is a reportable HPI or SA, then:

- For all HPI/SA's, the Underground Mine Manager (UMM) is to be notified as soon as practicable.
- The Underground Mine Manager (UMM) will then notify the SSE as soon as practicable.

Depending upon the nature of the incident, either the SSE, UMM, EEM or MEM, with support from the respective Grosvenor safety team member, will immediately gather the Primary Information and make verbal notification to the Mines Inspectorate.

Note: The SSE must confirm any oral report by notice within 48hrs or, in the case of a death, 24 hrs.

The matrix of responsibilities for inspectorate notification is provided in [Appendix A](#).

All verbal notifications will be followed up by a Form 1A (available on the DNRME website). This shall be completed by either the UMM, EEM or MEM, with support from the respective Safety team member.

The SSE or their delegate will review all completed Form 1A's prior to sending onto the regulator (who was provided verbal notification) and the ISHR.

Form 5A reports, in accordance with CMSHA s201(1), shall be forwarded to the DNRME by the Safety Coordinator within 30 days of the incident occurring.

All Form 1As and Form 5As shall be emailed to 'Grosvenor Mine Record' for recording on Sharepoint.

4.7.4 High Potential Hazards

A High Potential Hazard (HPH) is a hazard which has the potential for an ISR 4 or 5 safety consequence.

This means that if it is reasonable to expect that the existence of this type of hazard could lead to an event resulting in permanent total disability, single fatality or multiple fatalities, then the hazard should be reported as a High Potential Hazard.

There does not need to have been a specific incident for a High Potential Hazard to exist. High Potential Hazards are hazardous situations where the outcome could have been an ISR4 or ISR5 but there has been no transfer of energy.

Examples of Anglo HPH's are attached in [Appendix E](#).

4.7.5 Occupational Exposure Exceedances

In the event of a single sample exceedance result, the following reports must be made:

- As soon as practicable after the event, the coal mine workers in the exposure group must be informed.
- Within 24 hours after receiving the exceedance result, an inspector, an ISHR and an SSHR are to be informed.
- Within 72 hours after receiving the exceedance result, a record about the exceedance must be submitted to the chief inspector using the approved Form 1 A available on the DNRME website. This form shall be drafted by the Occupational Hygienist and provided to the UMM for submission.
- The Form 5A for an event exceedance shall be submitted to DNRME by the Occupational Hygienist within 30 days of the exceedance results being received

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



4.8 Legal Privilege

The SSE shall consider whether legal advice is required and the issue of legal professional privilege. Legal advice shall be sought where there has been a fatality or where there is a significant risk of prosecution.

4.9 Incident Feedback

Banner Alerts are used to communicate feedback on incidents and hazards to the workforce.

Department Superintendents are accountable for ensuring that Banner Alerts are drafted, approved by Department Managers and sent to 'Grosvenor Document Control' for distribution.

The SHE Administrator will distribute Banner Alerts via email, display on notice boards in Muster Areas, and save a copy on the Safety and Health Management System under Standard 6: Communication Consultation and Participation.

Green Alert: This form will be used to communicate a positive safety outcome or a change to a process or system that improves safety.

Amber Alert: This form will be used to communicate any incident or hazard which results in the following:

- an actual consequence of Level 2.
- a potential consequence of Level 2 or Level 3.

Amber Alerts must be drafted and distributed within 48 hours of the event (or by the first working day of the week after a weekend).

NOTE: A Department Manager can also request an Amber Alert be issued for Level 1 incidents at their discretion.

Red Banner: This form will be used to communicate any incident or hazard which results in the following:

- an actual consequence of Level 3, 4 or 5.
- a potential consequence of Level 4 or 5.

Red Alerts must be drafted and distributed within 48 hours of the event (or by the first working day of the week after a weekend).

Red Banner Follow Up: This form will be used to communicate the outcome of an actual consequence of Level 3, 4 or 5 investigation and actions that have been implemented to prevent repeat incidents.

Red Banner Follow Ups must be distributed within 30 days of the event occurring.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 10 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



4.10 Injury Classification

4.10.1 Reportable vs. Non-Reportable

All injuries or illnesses of an occupational nature, occurring whilst employees are 'on duty', i.e. performing work related activities, are deemed to be 'work related' and are therefore reportable.

Injuries and illnesses occurring to employees during a journey to or from work are generally considered not to be work related, unless the means of transport is under the control of the company or the travel is a specific requirement of the employee's duties.

Generally, work related injuries that are associated with controlled activities are recordable. The following simplified decision tree can be used to determine if an injury is recordable.

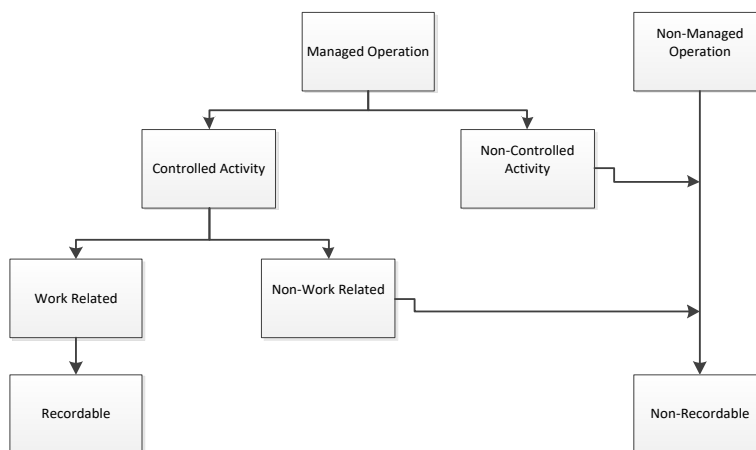


Figure 1: Decision Tree: Recordable versus Non-Recordable Injuries

4.10.2 Lost Time Injury

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 functions of his/her job, on the next calendar day after the day of the injury, whether a scheduled work day or not. Routine functions are those work activities which are defined in the employee's /contractor's role profile.

- Days lost are calendar days regardless of whether the injured person 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 an LTI should be deleted from the database.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 11 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



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-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 BU Head of SSD to decide, the outcome of which will be recorded in writing.

4.10.3 Medical Treatment Case

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.

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 an MTC.

MTCs do not include:

- Visits to physicians or other licensed health care professional solely for observation or counselling;
- 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.

4.10.4 First Aid Cases

First Aid Cases (FAC) are minor work-related injuries which, in normal circumstances, are able to be treated successfully in accordance with recognised/accepted first aid training 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;

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	



- 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; and
- Removal of splinters or foreign material from areas other than the eyes by irrigation, tweezers, cotton swabs or other simple means.

4.10.5 Day Lost Due to Injury

The total number of calendar days (not working days), from the day following that of the injury to the day on which the injured person is able to resume the routine functions of his/her job. Routine functions are those work activities which are defined in the employee’s/contractor’s role profile.

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, weekends and public holidays. Lost days should be accumulated:

- Until the injured person can resume the routine functions of his/her job ; or
- Is re-assigned to another designation on a permanent basis, and is able to perform the full duties of the alternative designation; or
- Is medically separated from the company.

If an injured worker needs to be transported to a seek medical diagnosis and following the examination and treatment is deemed fit to return to work the following day, the incident will be recorded as a medical treatment case and no lost time will be allocated to the incident.

- Lost days for any one incident should be accumulated to a **maximum of 180 calendar days**.
- Days lost will be accumulated and recorded in the year in which the injury occurred.
- If the injured person is not fit to return to work at the end of the calendar year in which the injury occurred the number of days that a medical practitioner estimates that the injured person will still be off work in the next year must be recorded in the December campaign.
- Days lost will not be carried over into the next calendar year.

In the event that a contractor sustains a lost time injury the same rules will apply as above, unless the contractor has not yet returned to the full duties of his/her regular work at the time that the original contract terminates.

No lost days will be attributed to a fatality.

4.10.6 Occupational Illness

An Occupational Illness is a work-related condition or disorder caused predominantly by exposures at work, other than one resulting from a Work Injury. The primary difference between a Work Injury and an Occupational Illness is whether it resulted from a single event (a Work Injury) or from prolonged or multiple exposures to hazardous substances or work conditions. Further explanation regarding the distinction between occupational illnesses and work-related injuries is provided in Appendix G.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 13 of 30
	30/05/2013	Date of Issue:	08/07/2020	



4.11 Learning From Incidents (LFI)

The LFI process ensures that SHE incidents are reported, recorded, analysed, investigated and causes are identified, risk profiles are updated, learnings are shared, and corrective and improvement actions are implemented across our business to ensure the creation of a sustainable corporate memory and effective knowledge management.

The investigation report shall be completed following all reported events/incidents that occur at Grosvenor Mine. The minimum level of investigation and data captured in Enablon shall be applied as per Table 1 below.

Table 1: Minimum LFI Requirements

CAPTURE PAGE	LEVEL 1		LEVEL 2		LEVEL 3		LEVEL 4		LEVEL 5		HAZARD	
	Actual	Potential	Actual	Potential	Actual	Potential	Actual	Potential	Actual	Potential	Level 1-3	HPH
Event (Incident)	X	X	X	X	X	X	X	X	X	X	X	X
Consequence	X	X	X	X	X	X	X	X	X	X	X	X
Investigation							X	X	X	X		
Evidence							X	X	X	X		
Statement							X		X	X		
Analysis Tool	X (1 ANALYSIS TOOL)	X (1 ANALYSIS TOOL)	X (2 ANALYSIS TOOLS)	X (2 ANALYSIS TOOLS)	X (3 ANALYSIS TOOLS)	X (3 ANALYSIS TOOLS)	X (4 ANALYSIS TOOLS)	X (4 ANALYSIS TOOLS)	X (ALL ANALYSIS TOOLS)	X (ALL ANALYSIS TOOLS)		X
Sequence of Events	X	X	X	X	X	X	X	X	X	X	X	X
Control Analysis									X	X		X
Behaviour Analysis			Plus 1	Plus 1	Plus 2	Plus 2	Plus 3	Plus 3	X	X		
Change Analysis		X							X			
Why Analysis		X							X			
Summary							X	X	X	X		
Action Plan					X	X	X	X	X	X		X
Task					X	X	X	X	X	X		X

All incidents shall be investigated in accordance with the Anglo American Investigation Process described in The Anglo American Learning from Incidents Investigation Reference Manual and Field Guide. LFI Investigation Teams for Level 4/5 events will be assigned by the Safety Health and Environment Manager or their delegate.

The Investigation Lead (see Table 2) is responsible for driving the investigation process, from initial collation of evidence through to final report sign off by the Senior Leadership Team.

Investigations must be completed within 28 days of an event. To ensure this timeframe is met, Grosvenor requires that all investigations be submitted for validation by the Grosvenor SLT within 21 days of the incident occurring, broken down as below:

- Within 1 week of incident / accident: Department Superintendent to ensure LFI investigation meeting completed.
- Within 2 weeks of incident / accident: Department Superintendent to ensure the “Draft” LFI Investigation report submitted to the Department Manager for approval.
- Within 3 weeks of incident / accident: Department Superintendent to ensure Final LFI Investigation report submitted to the SLT for final sign off.

An action for each of the above requirements shall be entered into Enablon and assigned to the Department Superintendent responsible for the investigation.

The investigations for Anglo HPs shall be forwarded for review to the relevant Head of Operations and the Head of S&SD within 30 days of the incident/event occurring.



Table 2: Minimum Investigation Team Members

Incident Classification	Level of Investigation	Metcoal LFI Team Members
Insignificant Level 1 Example First Aid Case	Operation	Investigation Lead – Supervisor Team (to include): <ul style="list-style-type: none"> • CMW • ERZC / OCE of inspection district
Minor and Moderate Level 2 & 3 Example MTC / LTI	Operation	Investigation Lead – Superintendent (Responsible Dept.) Team (to include): <ul style="list-style-type: none"> • CMW • ERZC / OCE of inspection district • Supervisor (could also be ERZC/OCE) LFI trained facilitator within team or access to support As required – SHE professional, Technical expert & Legal Support
High and Major Level 4 & 5 Example Single/Multiple Fatality	Operation BU Group Oversight for Actual level 4 & 5 and Potential Level 5.	Non-Fatality, HPH & HPI (including DNRME HPIs) Investigation Lead – SLT Manager or EEM or MEM Team will be assigned and approved by the SSE in consultation with the Head of Operations & Head of S&SD (Maybe responsible SLT Member or independent) Team (to include): <ul style="list-style-type: none"> • CMW • ERZC / OCE of inspection district • Supervisor (could also be ERZC/OCE) LFI trained facilitator within team or access to support As required – SHE professional, Technical expert & Legal Support & Industrial Psychologist Fatality Investigations – Initial BU & External BU BU Investigation Lead – Head of Operations <i>Team members will be assigned and approved by Head of Operations in consultation with CEO & Head of S&SD</i>

4.11.1 Investigation of Respirable Dust Exceedance

Note, the Occupational Hygienist shall assist to drive the below process.

In the event the SSE first becomes aware that the average concentration of respirable dust exceeds the accepted level (first trigger event), the SSE must ensure the following:

- the cause of the high average concentration is investigated (using both LFI tools and GRO-9739-FRM Atmospheric contaminant personal exposure exceedance investigation form); and
- the results of the investigation are recorded and analysed to identify trends and issues with the safety and health management system; and
- the safety and health management system are changed to ensure the average concentration is reduced to, or below, the accepted levels; and
- the changes to the safety and health management system are recorded; and
- a further sample is taken within 2 weeks of the first trigger event.

In the event the SSE receives the results of the further sample and the results indicate this sample has exceeded the accepted levels (second trigger event), the SSE must ensure the following:

- the cause of the continued high average concentration is investigated; and
- the results of the investigation are recorded and analysed to identify trends and issues with the safety and health management system; and
- the safety and health management system are changed to ensure the average concentration is reduced to, or below, the accepted levels; and
- the changes to the safety and health management system are recorded.

At a minimum, the investigation shall consider the following:

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date: 30/05/2013	Version: 20	Printed: 17/07/2020 Page 15 of 30
		Date of Issue: 08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING			



- Date of sample;
- SEG and location;
- Crew;
- Activities and tasks being carried out;
- PPE used and for what activities;
- Controls in place (review for effectiveness);
- Production information i.e. Number of meters cut;
- Material i.e. Stone;
- Operational conditions;
- Environmental conditions i.e. Face ventilation;
- Operator location (operating out of dust plume);
- Adjacent activities;
- Maintenance schedule v actual including maintenance records for all equipment;
- Equipment pre-shift checks;
- Sampling data to determine if sample was valid:
 - Sampler;
 - Sampling time;
 - Flow rate (pre, post, average);
 - Calibration records of equipment; and
 - Filter procedure adherence.
- Engineering control performance:
 - Curtains / seals (number / locations / effectiveness);
 - Sprays (system is in place / operational as design / effectiveness);
 - Belts (wet down); and
 - Any other relevant factor.

The results of the investigation shall be recorded and analysed to identify any trends and issues with the safety and health management system. Any subsequent changes made to the safety and health management system shall be recorded.

4.11.2 Involvement of ERZC

Pursuant to CMSHR s15(2), the investigation of incidents at an underground mine must include the involvement of:

- the ERZ controller for the ERZ in which the accident or incident happened who was on duty when it happened; or
- if it is not practicable to involve the ERZ controller mentioned in subparagraph (i) another ERZ Controller for the zone.

If an incident happens underground, the person reporting the incident, or the supervisor of that person must inform the ERZ Controller.

4.11.3 Involvement of Inspector

In accordance with CMSHA s199, an Inspector is required to investigate the site of a serious accident causing death. Pursuant to CMSHA s128(h) the Inspectors and Inspection officers have a function to investigate serious accidents and High Potential Incidents (HPIs) at coal mines.

An Inspector may require the site of a Serious Accident or High Potential Incident (HPI) to remain secured until such time as the inspector has carried out an investigation.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 16 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



4.11.4 Involvement of the Industry Safety and Health Representative (ISHR)

In accordance with CMSHA s118, an ISHR has the functions to participate in investigations into Serious Accidents and High Potential Incidents (HPIs) and other matters related to safety or health at coal mines.

The SSE and supervisors at the coal mine must give reasonable help to an ISHR in carrying out the representative's functions.

4.11.5 Involvement of the Site Safety and Health Representative

In accordance with CMSHA s106, the Site Senior executive has an obligation to tell the SSHR about particular matters pertaining to safety and health at the mine site. These matters are listed below:

(1) A site senior executive for a coal mine must tell a site safety and health representative at the mine about the following things (as related to injuries and incidents)—

- an injury or illness to a person from coal mining operations that causes an absence from work of the person;
- a high potential incident happening at the coal mine;
- the presence of an inspector or inspection officer at the coal mine if the representative is at the mine;
- a directive given by an inspector, inspection officer or industry safety and health representative about a matter.

Notifications to the SSHR may be made by the UMM/SSE or another delegate as appropriate.

E

4.11.6 Investigation Findings

Pursuant to CMSHR s15(1)(b), making the investigation findings available to the mine's coal mine workers will be achieved through the following means:

- Discussed at the daily MOS and underground operations meetings;
- Discussed at Senior Leadership Team meetings;
- Reports posted on various noticeboards / monitors around site showing all incidents and hazards;
- Banner Alerts and Feedback Forms;
- Monthly Comms meetings; and
- Availability of investigation reports electronically in Enablon and on the Mine Record (Sharepoint).

5 Competencies & Authorisations

The following appointments, authorisations or competencies are required to implement this procedure:

Designation	Training / Competencies / Authorisations required
Investigation Facilitators	<ul style="list-style-type: none"> • Should complete the LFI Facilitators course
Investigation Leaders	<ul style="list-style-type: none"> • Should complete the LFI Team Members course

6 Roles and Responsibilities

Responsibilities specifically related to this procedure are:

6.1 SSE

The SSE shall:

- Ensure the implementation of this procedure.
- Participate in any reported matters and their investigations as required.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 17 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



- Ensure all notifications to internal and external stakeholders are completed in accordance with Anglo and legislated timeframes.

6.2 Management

All managers shall:

- Ensure the application and execution of this procedure.
- Ensure incident sign off in accordance with this procedure.
- Participate in investigations as required.
- Ensure that all relevant personnel have been trained and assessed in the requirements of this procedure.
- Ensure that feedback is provided to their work groups regarding incidents and hazards that may affect them

6.3 Superintendent

All superintendents shall:

- Ensure response to incidents occurs in accordance with this procedure.
- Drive the incident investigation process, including collation of all necessary evidence to conduct a quality LFI investigation with an appropriate cross section, and delivery of the final report to the Senior Leadership Team within specified timeframes
- Participate in investigations as required.
- Ensure that feedback is provided to their work groups regarding incidents and hazards that may affect them.

6.4 Supervisors

All supervisors shall:

- Ensure timely reporting and collation of information for all incidents in accordance with this procedure.
- Complete all information on hazard and incident reporting forms to a high standard, including initial contributing factors, timeline and action plan.
- Partake in incident investigations in accordance with this procedure.

6.5 Coal Mine Workers

All coal mine workers shall:

- Ensure they promptly report all incidents and hazards.
- Ensure they provide all information available to complete investigations to a high standard.
- Ensure they partake in incident investigations as required.

7 References

7.1 Internal

Internal documents referenced during the development of this procedure were:

- AAMC_11-4_STD_Incident Reporting Procedure
- MetCoal_11-25_GUIDE_LFI Field Guide
- AA_BPP_SSD_BG_00002 Classification and Recording of Health and Safety Incidents
- BPP_SSD_BG_000001 SSD Indicators – Safety: Defenitions and Guidance Notes

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 18 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



- BPP_SSD_BG_000003 SSD Indicators – Health:Defenitions and Guidance Notes
- GRO-192-FRM-Hazard, Defect and Incident Reporting Form
- GRO-9844-REP-Incident Investigation Report
- GRO-9739-FRM Atmospheric Contaminant Personal Exposure Exceedance Investigation.
- GRO-191-FRM-Green Alert Form
- GRO-5425-FRM-Amber Alert Form
- GRO-5427-FRM-Red Banner HSE Alert Form
- GRO-5426-FRM-Red Banner HSE Follow Up

7.2 External

External documents referenced during the development of this procedure were:

- Coal Mining Health and Safety Act 1999
- Coal Mining Health and Safety Regulation 2017
- Form 5A Queensland Mining Industry Incident Report Form
- Form 1A Queensland Mining Industry Incident Report Form

8 Review Criteria

This document shall be reviewed as follows:

- At least every FIVE years;
- When there is a change of method and/or technology and/or legal or other requirement that may affect the accuracy of this document;
- When operational changes occur that effect the currency of documents;
- When there has been a significant event to which this document was relevant;
- As a result of relevant audit findings.

9 Amendments

Issue No.	Issue Date	Description	Approver Name
1	30/05/2013	New document. Was incorrectly issued as Version 0.	SG
2	08/08/2013	Revised to amalgamate the separate reporting and investigation procedures. Removed the PIN form process. Changes made to section 4.4.1, 4.4.2 and 4.4.3	SG
3	06/09/2013	Changes Marked in Red.	SG
4	30/09/2013	Changes Marked in Red. Revised protocols to reduce ambiguity in reporting requirements.	SG
5	23/10/2013	Additions made with regard to statutory reporting.	SG
7	21/01/2014	Made changes from Contract Owner/Contract Holder to Contract Holder/Contract Supervisor	Brendan Wright
9	25/08/2015	Inclusion of reference to the new banner alert forms	Justin Joubert
10	08/12/2015	Minor cosmetic changes to reflect updated incident flow process.	Justin Joubert
11	19/07/2016	Inclusions of Internal Document Audit in appendix	Justin Joubert

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 19 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



GROSVENOR COAL MINE

PRO-Incident Reporting and Investigation.

Issue No.	Issue Date	Description	Approver Name
12	17/03/2017	Review and update to align with onsite practises and changes to the legislation regarding single sample exceedances	Will Wheatley
13	12/07/2017	Unknown	CS
14	17/10/2017	Updated pg 30 Hazard, Defect and Incident Report Form process flow chart	Brendan Wright
15	13/12/2017	Updated section 4.9.2 lost time injury definition. Updated section section 4.9.6 Medical treatment case. Updated section 4.9.6 days lost due to injury. Updated section 4.9.3 Restricted duties. Sections required to be updated as corporate document BPP_SSD_BG_000001 S&SD Indicators Safety was updated. Updated section 8.1 Coal Mining Regulation from 2001 to 2017.	CS
16	27/06/2018	Injury classification (s 4.9.2, s4.9.5) updated to align with BPP_SSD_BG_000001 updated in Jan 2018.	Kate Bachmann
17	12/07/2018	Updates to s4.11 Learning from Incidents to align with corporate update Met Coal_11-4 issue 9 2018. Update to Appendix F re restricted duties. Update to Appendix H Safety Coordinator to enter incidents into Enablon	Alisha Penrose
18	20/07/2019	Clarification of responsibilities General review	Kate Bachmann
19	31/10/2019	Find and Fix Hazards Reports added s4.4	Alisha Penrose
20	08/07/2020	Clarificaiton on responsibility for external reporting and clarification on Find and Fix Hazard process	Kate Bachmann

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 20 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix A - Notifier by HPI Types

Types of High Potential Incidents for Section 198 of the Act		Responsible for notification			
		EEM	MEM	UMM	SSE*
1	An unplanned ignition of gas, dust, or a combination of gas and dust.			✓	✓
2	The spontaneous combustion of coal or other material in an underground mine.			✓	✓
3	The entrapment of a person.			✓	✓
4	An electric shock to a person.	✓			
5	An event causing the withdrawal of a person from the mine or part of the mine.			✓	✓
6	An abnormal circumstances declaration.			✓	✓
7	An event that causes only 1 escape way from the mine to be available for use.			✓	✓
8	A fire on a vehicle or plant	✓	✓		
9	An incident involving an explosive			✓	✓
10	A following incident that endangers the H&S of a person:				
(a)	a fire;			✓	✓
(b)	a ventilation failure causing a dangerous accumulation of methane or other gas;			✓	✓
(c)	an inrush;			✓	✓
(d)	a coal or rock outburst;			✓	
(e)	damage to, or failure of, haulage equipment used to transport a person in a shaft or slope;		✓		
(f)	an unplanned movement of, or failure to stop, a vehicle or plant;		✓		
(g)	the failure in service of explosion protection of explosion protected equipment;		✓		
(h)	a failure of electrical equipment or an electrical installation;	✓			
(i)	an unplanned ignition or explosion of a blasting agent or explosive;			✓	✓
(j)	a failure of strata control;			✓	✓
(k)	the exposure of a person to a hazardous substance;			✓	✓
(l)	an unforeseen hazard requiring a review of the mine's safety and health management system;			✓	✓
(m)	the unplanned immersion of a person in liquid;			✓	✓
(n)	an unplanned movement of earth or coal;			✓	✓
(o)	a structural failure of equipment;		✓		
(p)	a collision involving a vehicle or plant.			✓	✓

*SSE to report if UMM unavailable



Appendix B - Anglo SHE Risk Matrix Consequence Table

CONSEQUENCE LEVEL

(Consider the maximum reasonable potential consequence of the event)

Consequence Type	1 - Minor	2 - Low	3 - Medium	4 - High	5 - Major
(S) Harm to People - Safety	First aid case	Medical treatment case	Lost time injury	Permanent disability or single fatality	Numerous permanent disabilities or multiple fatalities
(H) Harm to People - Occupational Health	Exposure to health hazard resulting in temporary discomfort	Exposure to health hazard resulting in symptoms requiring medical intervention and full recovery (no lost time)	Exposure to health hazards/ agents (over the OEL) resulting in reversible impact on health (with lost time) or permanent change with no disability or loss of quality of life	Exposure to health hazards/ agents (significantly over the OEL) resulting in irreversible impact on health with loss of quality of life or single fatality	Exposure to health hazards/ agents (significantly over the OEL) resulting in irreversible impact on health with loss of quality of life of a numerous group/population or multiple fatalities
(E) Environmental Impact	Lasting days or less; limited to small area (metres); receptor of low significance/ sensitivity (industrial area)	Lasting weeks; reduced area (hundreds of metres); no environmentally sensitive species/ habitat	Lasting months; impact on an extended area (kilometres); area with some environmental sensitivity (scarce/ valuable environment).	Lasting years; impact on sub-basin; environmentally sensitive environment/ receptor (endangered species/ habitats)	Permanent impact; affects a whole basin or region; highly sensitive environment (endangered species, wetlands, protected habitats)
(S) Social / Community Impact	Minor disturbance of culture/ social structures	Some impacts on local population, mostly repairable. Single stakeholder complaint in reporting period	On going social issues. Isolated complaints from community members/ stakeholders	Significant social impacts. Organized community protests threatening continuity of operations	Major widespread social impacts. Community reaction affecting business continuity. "License to operate" under jeopardy
(L&R) Legal & Regulatory	Technical non-compliance. No warning received; no regulatory reporting required	Breach of regulatory requirements; report/involvement of authority. Attracts administrative fine	Minor breach of law; report/investigation by authority. Attracts compensation/ penalties/ enforcement action	Breach of the law; may attract criminal prosecution, penalties/ enforcement action. Individual licence temporarily revoked	Significant breach of the law. Individual or company law suits; permit to operate substantially modified or withdrawn
(M) Material Losses / Damage / Business Interruption	< 0.01 % of Annual Revenue / Total Assets	0.01 - 0.1 % of Annual Revenue / Total Assets	0.1 - 1.0 % of Annual Revenue / Total Assets	1 - 5 % of Annual Revenue / Total Assets	> 5 % of Annual Revenue / Total Assets
(R) Reputation	Minor impact; awareness/ concern from specific individuals	Limited impact; concern/ complaints from certain groups/ organizations (e.g. NGOs) period	Local impact; public concern/ adverse publicity localised within neighbouring communities	Suspected reputational damage; local/ regional public concern and reactions	Noticeable reputational damage; national/ international public attention and repercussions

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix C - Incidents that would normally qualify as Anglo HPI's

The following incidents would normally qualify as Anglo HPI's:

- Any vehicle rollover.
- Any unplanned contact between HVs, LVs, and Pedestrians.
- Any electric shock greater than “extra low voltage” (as defined in AS:3000 – not exceeding 50V ac or 120V ripple free dc).
- Any unplanned movement of vehicles.
- Any fall of strata in a functioning travel road that was previously considered to be supported to the Underground Mine Managers Support Rules.
- Any gas ignition underground.
- A failure of a primary ventilation circuit that requires the emergency withdrawal of Coal Mine Workers from a part of the mine.
- Any inrush of water into an underground or open pit mine.
- Any highwall failure where there were no controls in place to prevent personnel being impacted.
- Any low wall failure where there were no controls in place to prevent personnel being impacted.
- Any potential for personnel to be affected by an uncontrolled blast during storage, transportation and handling of explosives.
- Any situation where personnel are inadvertently exposed to blasting.
- A structural failure of plant or equipment that could impact on personnel.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 23 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix D - HPI's reportable under the Coal Mining Safety and Health Act 1999

Schedule 1 Types of high potential incidents for section 198 of the Act

1. an unplanned ignition of gas, dust, or a combination of gas and dust
2. the spontaneous combustion of coal or other material in an underground mine
3. the entrapment of a person
4. an electric shock to a person
5. an unplanned event causing the withdrawal of a person from the mine or part of the mine
6. an abnormal circumstances declaration
7. an unplanned event that causes only 1 escapeway from the mine to be available for use
8. a fire on a vehicle or plant
9. an incident involving an explosive
10. a following incident that endangers the safety or health of a person—
 - a) a fire;
 - b) a ventilation failure causing a dangerous accumulation of methane or other gas;
 - c) an inrush;
 - d) a coal or rock outburst;
 - e) damage to, or failure of, haulage equipment used to transport a person in a shaft or slope;
 - f) an unplanned movement of, or failure to stop, a vehicle or plant;
 - g) the failure in service of explosion protection of explosion-protected equipment;
 - h) a failure of electrical equipment or an electrical installation;
 - i) an unplanned ignition or explosion of a blasting agent or explosive;
 - j) a failure of strata control;
 - k) the exposure of a person to a hazardous substance;
 - l) an unforeseen hazard requiring a review of the mine's safety and health management system;
 - m) the unplanned immersion of a person in liquid;
 - n) an unplanned movement of earth or coal;
 - o) a structural failure of equipment;
 - p) a collision involving a vehicle or plant

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 24 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



GROSVENOR COAL MINE

PRO-Incident Reporting Investigation

Appendix E Examples of Anglo High Potential Hazards

Conditions

- Large piece of coal caught up under the tray of rear dump truck parked at the go line.
- Location of an intact detonator and approx 20cm explosives in an area that was previously blasted.
- Power still sufficient to start an engine despite the main isolator switch being in the off position and locked out.

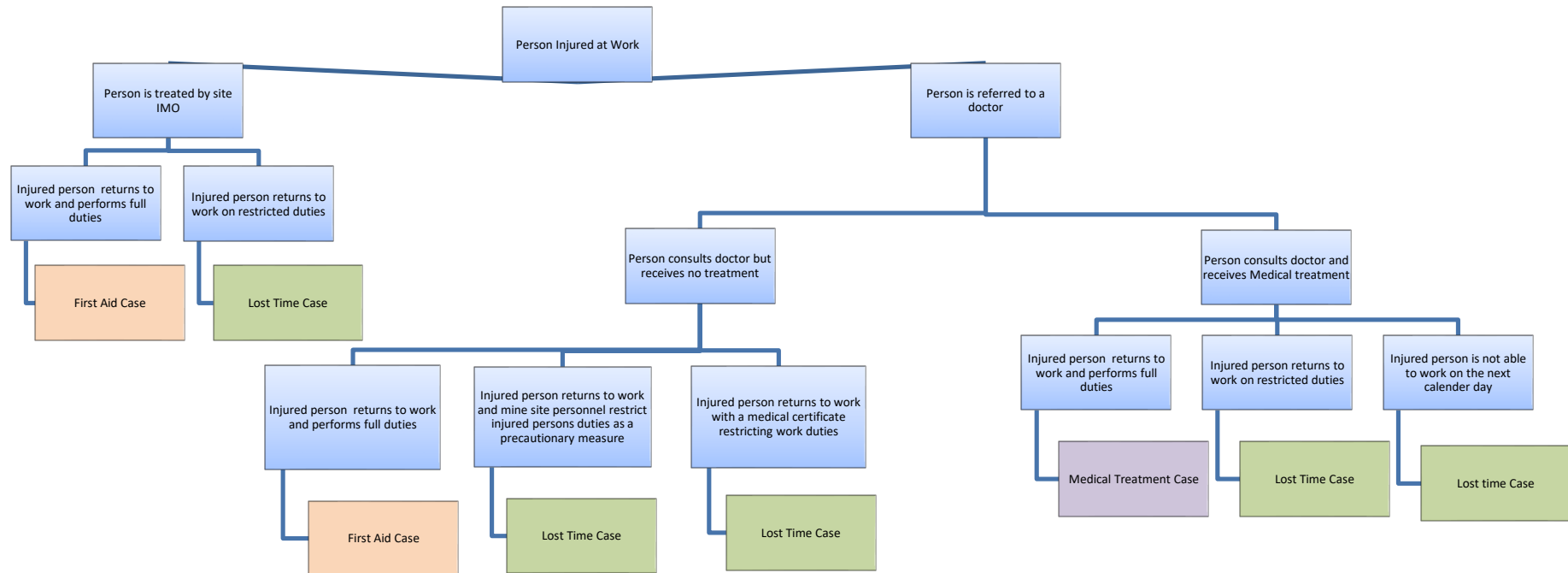
Behaviours

- Personnel working at heights without fall protection controls.
- Personnel working on equipment that hasn't been isolated and there was no attempt to start the equipment.
- Personnel parking vehicles in close proximity to the base of a highwall.
- Personnel entering a loaded blast pattern.

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 25 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix F - Reportable Injuries



GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 26 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix G - Definition of Occupational Illnesses vs Work Related Injuries

Occupational Illness is a work-related condition or disorder caused predominantly by exposures at work, other than one resulting from a Work Injury. The primary difference between a Work Injury and an Occupational Illness is whether it resulted from a single event (a Work Injury) or from prolonged or multiple exposures to hazardous substances or work conditions. Further explanation regarding the distinction between occupational illnesses and work related injuries is provided below.

- Hearing loss due to exposure to excessive noise over a period of time – occupational illness;
- Hearing loss due to a single exposure to an extremely loud noise – work injury;
- Dermatitis type reaction as a result of exposure to certain chemicals over a period of time – occupational illness;
- Chemical burn type condition resulting from a single exposure to a particular chemical – work injury;
- Back or neck condition due to operating dozers over rough ground for a number of shifts – occupational illness;
- Back or neck injury due to a dozer running over a large rock and crashing to the ground – work injury.

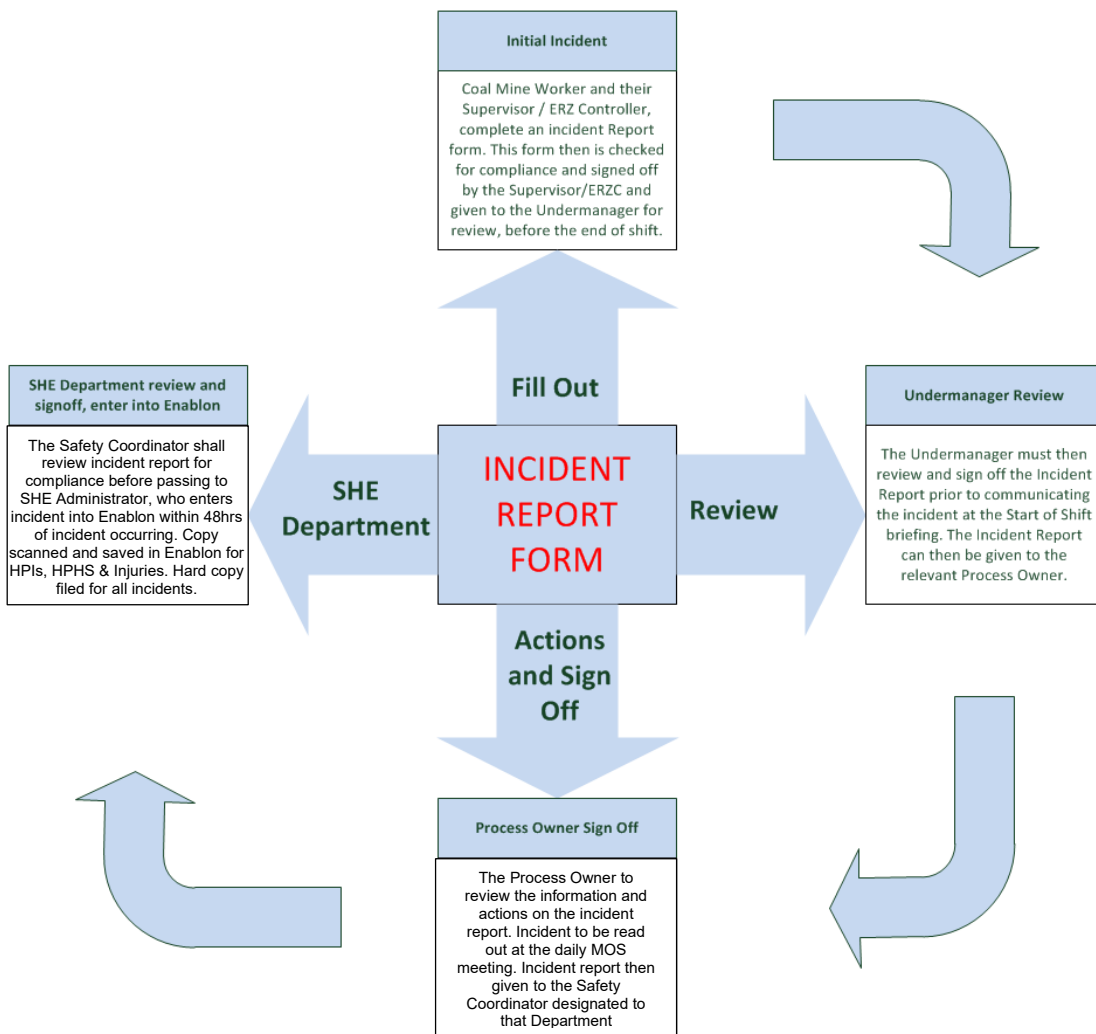
NOTE: The following two qualifying statements that may assist in determining whether a condition is to be classified as an ACAPl occupational illness.

1. Where an injury or illness has previously been reported (and on that previous occasion has been classified as an occupational illness or work injury) and no new exposure at work has occurred, then any recurrence of the pre-existing condition is not a new occupational illness. It is to be recorded as a continuation or re-opening of the previous injury or occupational illness;
2. The development of a medical condition (particularly a musculo-skeletal type condition) in a person during the course of his or her employment does not automatically constitute an occupational illness. There must be some reasonably clear and significant relationship between the condition and the person's work environment or specific activities at work, for the condition to constitute an occupational illness

GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020 Page 27 of 30
	30/05/2013	Date of Issue:	08/07/2020	
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix H - Hazard, Defect and Incident Report Form Process Flow Chart



GRO-188-PRO-Incident Reporting and Investigation	Original Issue Date:	Version:	20	Printed: 17/07/2020
	30/05/2013	Date of Issue:	08/07/2020	Page 28 of 30
PRINTED COPIES OF THIS DOCUMENT ARE UNCONTROLLED AND DEEMED VALID ONLY ON THE DAY OF PRINTING				



Appendix I - Internal Document Audit

AUDIT DATE:		AUDIT		AUDITOR/S:	
DEPARTMENT:		LOCATION:			
SPECIFIC TASK:				DOCUMENT	
MEASUREMENT AND EVALUATION					
Measurement				Findings and Comments	
1. Obtain a sample of a recently completed Incident Report (Hazard, Defect and Incident Report Form) and review the quality of the content. Look at the assessment, classification and controls implemented. <ul style="list-style-type: none"> - Has the supervisor adequately completed all relevant sections of the form? - Was the form signed off by all relevant parties e.g. supervisor, undermanager etc. 					
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>		
2. Incidents are entered into Enablon with 48 hours?					
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>		
3. Internal communications and notifications to the workforce (CMW) is undertaken using Banner Alerts (Green, Amber & Red). Is this in place for all CMW (including contractors) and is it effective?					
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>		
4. Obtain a sample of a recent DNRME HPI, was the HPI reported to an Inspector within 48hrs?					
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>		
5. Obtain a sample of a recent Anglo HPIs, was the HPI investigation started within 7 days of the incident occurring and submitted to the head of S&SD and Inspectorate within 30 days?					
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>		
6. Obtain a sample of a recent HPHs, was the HPH investigation started within 7 days of the incident occurring and finalized in Enablon within 30 days?					
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>		
7. Obtain a sample of a recent HPI / HPH, all personnel directly involved were drug and alcohol tested?					



GROSVENOR COAL MINE

PRO-Incident Reporting Investigation

Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>	
8. Obtain a sample of a recent underground HPI / HPH Investigation (e.g. LFI's). All investigations involved an ERZ controller for the ERZ in which the accident / incident occurred when they were on duty or another ERZ controller if this was not practicable?				
Compliant <input type="checkbox"/>	Non Compliant <input type="checkbox"/>	Requires Improvement <input type="checkbox"/>	N/A <input type="checkbox"/>	

ACTIONS REQUIRED		ASSIGNED TO	DUE DATE	ENABLON TASK No
1				
2				
3				
4				
5				

AUDIT COMPLETED BY

Name Signature