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**Kaius Resources**

**Standard – Incident Investigation**

Reference: STD-010

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# Purpose

# PURPOSE

This standard describes the requirements for Safety, Health and Environment Incident Investigation, as it applies to all processes at the Kaius Mine.

The purpose of this standard is to ensure that safety, health and environmental incidents and non-conformances are investigated, and corrective and preventive actions are implemented.

# SCOPE

This standard applies to all Kaius mine workers working under the Kaius Mine SHMS. It is a requirement that an ICAM investigation and report be completed following an incident with an actual consequence of Moderate and above or an incident with a potential consequence of Major or above.

# AUTHORITY

This procedure can only be altered with the approval of the Site Senior Executive (SSE).

# RESPONSIBILITIES

Site Senior Executive (SSE)

Site Senior Executive shall ensure:

* That all of the provisions of this Standard are implemented and that compliance is achieved.
* Adequate resources are provided to maintain compliance with the requirements of this standard; and
* The application and requirements of this standard are periodically audited and reviewed.

**Supervisors**

Supervisors shall ensure:

* That the requirements of this Standard are implemented;
* That workers, including contractors, are trained in accordance with the Standard;
* All work undertaken within their area of responsibility is conducted in accordance with the requirements of this standard;
* They monitor compliance with this Standard; and
* This Standard is readily available to all workers and contractors.

**Mine Workers**

Mine Workers shall:

* Undertake the training and assessment provided by the SSE;
* Act in accordance with this Standard;
* Not undertake any tasks for which they are unable to safely complete.

# DEFINITIONS AND ABBREVIATIONS

|  |  |
| --- | --- |
| Accountable Person | Is the person with the level of authority to ensure the investigation is adequately resourced and is undertaken to meet the requirements of this standard. |
| Five Whys | Process of probing into the reasons for an event occurring by questioning responses to their logical conclusion. Asking “Why” five times assists in identifying underlying causes. |
| ICAM | Incident Cause Analysis Method |
| Incident | Any occurrence directly associated with the Kaius Mine which results, or could result, in harm to people, damage to property, and loss to process, harm to the environment or breaches compliance with applicable procedures, standards or legislation. |
| Involved Person (IP) | Is the person or persons directly or indirectly involved in the incident |
| Injury | Damage or harm done to or suffered by a person such as a laceration or wound. An injury usually involves a single event or exposure. |
| Illness | Any abnormal condition or disorder, other than one resulting from an injury, caused by exposure to environmental & workplace factors. It includes acute and chronic illnesses or diseases which may be caused by inhalation, absorption, ingestion, direct contact or repetitive exposure. |
| Minor spill | Less than 20 litres |
| PEEPO | Acronym for the process of data collection. People, Environment, Equipment, Procedures, Organisation |
| Preventative Actions | Actions which, if adopted, should prevent or reduce the likelihood of the incident recurring |
| Reportable Incident | Any incident that is required to be reported to a government authority, such as a High Potential Incident or Serious Accident. |
| Witness | A person who is not directly involved but has direct knowledge of aspects of the incident. |
| Work Related Injury or Illness (WRI) | For the purpose of investigation a WRI is considered work related where it occurs at the workplace mine worker or due to work related activities. |

# PROCESS

Kaius Mine shall investigate and document Incidents and potential incidents. The incident investigation process follows the ICAM structure and for incidents with an actual consequence of moderate and above or a potential consequence of Major or above an actual ICAM investigation will be carried out.

* 1. **Investigation Process Involving Nine (9) Steps**

The incident investigation process is made up of nine (9) steps and these steps should be followed to ensure a thorough investigation. Some steps can be conducted together.

1. Immediate Actions
2. Classify Incident
3. Incident Notification
4. Investigation Planning
5. Data collection
6. Data Organisation
7. Data Analysis
8. Conclusions and Recommended Corrective Actions
9. Report Results of Investigation
   * 1. **Step 1:** **Immediate Action Taken**

Emergency response actions take precedence over initial investigative actions. Once an incident has been resolved, injured personnel have been seen to, damage to plant or environment controlled, the scene of an incident shall be preserved. This includes isolating an area, preventing access by all non-essential personnel and stopping all activity that make affect the scene or evidence.

#### Table 1: Key Requirements when Responding to an Incident

|  | Incident Response | Consequence / Trigger | |
| --- | --- | --- | --- |
|  |  | Potential | Actual |
| 1. | Injured person(s) must receive appropriate medical treatment.  Any environmental harm must be minimized or prevented.  Any further damage must be minimized or prevented. | All | All |
| 2. | Report the incident immediately to the relevant Supervisor. | All | All |
| 3. | Supervisor to report the incident immediately to the relevant Superintendent, Manager and the Site Senior Executive (**note**: the client’s representative must be notified as applicable to site requirements). | Major  Critical | Moderate  Major  Critical |
| 4. | Immediate action required to eliminate / reduce inherent risk. | Major  Critical | Moderate  Major  Critical |
| 5. | Refer to the Emergency Response Plan if the incident involves a fatality or catastrophic event e.g. multiple serious injuries; entrapment of workers; an incident which captures the public attention. | - | Critical  Major |
| 6. | Ensure the incident scene is not disturbed except to save life, prevent further injury and / or damage until released by the Site Senior Executive. | Major  Critical | Moderate  Major  Critical |
| 7. | Report the incident to the relevant Manager and SSE. Legal must be contacted as soon as the response phase of the incident has ceased or by the end of the shift. | Critical | Major  Critical |
| 8. | The Supervisor should ensure that incident statements are completed using an FRM-114 Incident Statement Form for each person involved in the incident or who was witness to the incident. The Supervisor themselves should complete a statement detailing the instruction provided to personnel, the frequency of inspection prior to the incident. | All | All |
| 9. | Drug and Alcohol Testing must be conducted in accordance with MOP-011 Fitness for Work Procedure. | For Cause Testing | For Cause Testing |
| 10. | Enter the incident into the system within 24hours (incidents which trigger the Emergency Management Plan may be entered at a later stage). | All | All |
| 11. | The Injury and Illness Classification Form FRM-166 must be used to record the basis on which classification decisions made for all injuries other than those for which no treatment was provided. | All Injuries | All Injuries |
| 12. | Event Report Managers (ERMs) manage the incident; collecting the required information; investigation of the incident and entering the information into the relevant tabs of the incident reporting system. | All | All |
| 13. | Checking/Audit of Incident: The Event will go to a Moderator for checking (audit) including the risk of the incident. Events are to be moderated as soon as reasonably practicable. | All | All |

The effectiveness of an incident investigation depends on immediate preservation of the incident scene, and the evidence related to the incident. To minimise the loss of evidence, advanced planning and coordination with emergency response personnel should be considered.

Immediately after an incident occurs, a preliminary investigation is undertaken.

The consequence of the incident dictates the type of investigation required (if the potential consequence is higher than the actual consequence the investigation shall be triggered at that level).

* + 1. **Step 2: Classify Incident**

To achieve consistency in reporting at the Kaius Mine, the incident/injury classifications in table 2 below must be used when recording incidents into the incident reporting system.

It is acknowledged that any given description of an event may not be precisely applicable in all cases. In such an instance the category closest in meaning should be chosen

**Table 2: Classifications Table**

| **Classification** | **Description** |
| --- | --- |
| **Injury** | |
| Fatality | Any work related incident resulting in death. |
| First Aid Injury (FAI) | A First Aid Injury (FAI) is recorded when first aid treatment is administered as a result of a work- related injury or illness.  First Aid means the following treatments:   * Using a non-prescription medication at non- prescription strength (for medications available in both prescription and non-prescription form, a recommendation by a physician or other licensed health care professional to use a non-prescription medication at prescription strength is considered medical treatment); * Administering tetanus immunisations (other immunisations, such as Hepatitis B vaccine or rabies vaccine, are considered medical treatment); * Cleaning, flushing or soaking wounds on the surface of the skin; * Using wound coverings such as bandages, Band-Aids, gauze pads; or using butterfly bandages (Steri-Strips). Other wound closing devices such as sutures, staples or glue are considered medical treatment; * Use of hot and cold therapy e.g. compresses, soaking, whirlpools, non-prescription creams/lotions for local relief except for musculoskeletal disorders; * Using any non-rigid means of support, such as elastic bandages, wraps or non-rigid back belts. Devices with rigid stays or other systems designed to immobilise parts of the body are considered medical treatment; * Use of temporary immobilisation devices whilst transporting an accident victim (e.g. splints, slings, neck collars); * Drilling of a nail to relieve pressure or draining fluid from blisters; * Use of eye patches; * Removal of foreign bodies embedded in the eye 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; * Massage (physical therapy is a medical treatment); * Drinking fluids to treat heat stress; * Oxygen administered on a precautionary basis, and not required to successfully treat injury/illness (e.g. heat stress or to prevent the onset of altitude sickness).   All of the above are regarded as First Aid Treatments regardless of the professional status of the provider who may be a physician, nurse, Emergency Services Officers or other health care provider. |
| Injury No Treatment | An injury with no treatment is recorded for the sole purpose of documenting a work-related injury / illness that has been reported, however no treatment was required. Examples are:   * Visit(s) to a health care provider for the sole purpose of observation; * Reporting injury/illness which have been resolved or have no requirement for monitoring or medical intervention;   Physical examination if no condition is identified and treatment not administered. |
| Lost Time Injury (LTI) | A LTI is a work-related injury or illness resulting in the injured person being unable to attend work for their next rostered or any subsequent full working day, following the shift after the injury/illness has occurred.  If a suitably qualified medical professional (i.e. a doctor) advises that the injured person is unable to attend work for a normal rostered full working day after the shift that injury/ illness occurred, a lost time injury is deemed to have occurred.  An LTI must be certified by advice from a doctor by way of a Medical Certificate.  Note: Aligned to AS 1885.1 rather than OSHA standard |
| Lost Work Day | Normal rostered work days that have not been completed due to an injury. Time spent travelling, or waiting for diagnosis following an incident is not included in the workdays lost. |
| Medical Treatment Injury (MTI) | A Medical Treatment Injury is a work related injury or illness resulting in the medical management and care of a patient to enable the person to recover from a disease or disorder, including any loss of consciousness, administration of sutures or the prescription of prescription drugs necessary for recovery of the injury.  Medical Treatment includes the use of non-prescription medication at prescription strength. It does not include:   * First Aid Injuries as described above, * 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).   Physical therapy treatment (e.g. Physiotherapy) except if administered more than 96 hours after initial referral. |
| Precautionary Restricted Duties | Precautionary restricted duties may be assigned following an injury or illness for the purpose of preventing a more serious condition, if the initial assessment by a licensed health care professional determines that the affected individual is able to perform all routine job functions. Precautionary restricted duties must not exceed 96 calendar hours (not total shift hours) from the time of injury or illness and be reassessed by a licensed health care professional after 48 hours and/or at the end of the precautionary restricted duty period.  Extension of precautionary work restrictions beyond 96 hours automatically converts to a restricted work case dating back to the time of initial injury or illness. |
| **Incident** | |
| High Potential Incident (HPI) | 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. |
| Business Loss | Any health, safety, environmental or plant and equipment related unplanned occurrence resulting in loss to production (down-time); impact on company reputation or theft. |
| Damage | Harm to property or equipment caused by operation, the operating environment or maintenance resulting in loss of value, impairment of usefulness or a reduction in its useful or expected life. |
| Environment | Any unplanned occurrence resulting from work activities that has a detrimental impact on the environment; or reportable environmental incidents or non-conformances. |
| Near Miss | An incident that did not result in an injury, illness, damage, environmental impact or process loss but under slightly different circumstances may have resulted in an actual loss. |
| Non-Statistical | An injury that does not fall within the definition of a work-related injury, or within the definitions of FAI, MTI, RWI, LTI or Fatality or is a recurrence of an injury. |
| **Work/Non-Work Related** | |
| Work Related | If an event or exposure in the work environment either caused or contributed to an injury or illness, or significantly aggravated a pre-existing condition, then the case is considered work-related.  Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring at the employer’s work establishment unless an exception described above in ‘Non-work related’ specifically applies.  Injuries and illnesses occurring away from the work establishment are considered work-related only if the worker is engaged in a work activity or is present as a condition of his or her employment.  The ‘work environment’ is defined as the establishment and other locations where one or more employees are working or are present as a condition of their employment.  Injuries and illnesses that occur whilst the employee is travelling are work related if at the time of the injury or illness the employee/contractor was engaged in work-related activities in the interests of the employer. |
| Non-Work Related | An injury or illness is not work related if:   * it occurred while performing tasks unrelated to work outside the work environment; * it occurred to a general member of the public in the work environment; * it results from voluntary participation in wellness programs or exercise; * it results from preparation or consumption of food (*food supplied by Kaius Mine, or food contaminated by workplace contaminants are considered workplace injuries & illnesses*) * it results from personal tasks conducted at the workplace outside of work hours; * it results from personal grooming or self-medication for non-work related conditions; * it is a mental illness (*a suitably qualified physician may find that the mental illness is work-related*); * it involves signs or symptoms that surface at work but result solely from a non-work related event or exposure that occurs outside the work environment; or,   it involves common illnesses not related to work (*dangerous illnesses such as malaria, tuberculosis or hepatitis A are considered work-related if contracted at work*). |

* + 1. **Step 3: Incident Notification**

Notification of an incident is to be reported to Kaius Mine stakeholders, Kaius Resources and external parties (e.g. DNRME, DES) in a timely manner and in accordance with the severity of the incident and relevant legislation, standards and procedures.

* + - 1. **Table 3: Minimum Notifications and Reporting Requirements**

**Note:** Initial Notification is not a Report

|  |  |  |
| --- | --- | --- |
| Consequence | Notification (Potential Consequence) | Notification (Actual Consequence) |
| All Reportable Incidents or Non-Conformances including Environmental Incidents | Site Senior Executive  Kaius Resources  Legal Department  Relevant Dept Manager  HST Superintendent  Relevant legislative authority (DNRME DES etc.)  Verbal – Immediate  Written – Within 24 hours | |
| Critical | Site Senior Executive  Kaius Resources  Relevant Dept. Manager  HST Superintendent  Relevant legislative authority (DNRME DES etc.)  Verbal – Immediate  Written – Within 24 hours | Site Senior Executive  Kaius Resources  Legal Department  Relevant Dept. Manager  HST Superintendent  Relevant legislative authority (DNRME DES etc.)  Verbal – Immediate  Written – Within 24 hours |
| Major | Site Senior Executive  Kaius Resources  Relevant Dept. Manager  HST Superintendent  Relevant legislative authority (DNRME DES etc.)  Verbal – Immediate  Written – Within 24 hours | Site Senior Executive  Kaius Resources  Legal Department  Relevant Dept. Manager  HST Superintendent  Relevant legislative authority (DNRME DES etc.)  Verbal – Immediate  Written – Within 24 hours |
| Moderate | Site Senior Executive  Kaius Resources  Relevant Dept. Manager  HST Superintendent  Verbal – Within 24hours  Written – Within 48 hours | Site Senior Executive  Kaius Resources  Relevant Dept. Manager  HST Superintendent  Verbal – Within 24 hours  Written – Within 48 hours |
| Minor | SSE  Relevant Dept. Manager  HST Superintendent  Verbal-within 24 hours  Written-within 7 days | SSE  Relevant Dept. Manager  HST Superintendent  Verbal-within 24 hours  Written-within 7 days |
| Insignificant | N/A | Supervisor  Relevant Dept. Manager  HST Superintendent  Verbal-within 24 hours |

* + 1. **Step 4: Investigation Planning**

An incident investigation team must be formed to ensure that an adequate knowledge and experience base is present during the investigation and must include personnel appropriate to the incident severity level.

For ICAM investigations an investigation team leader trained in incident investigation and the relevant investigation process (ICAM) shall be appointed to lead the investigation team.

The Lead Investigator is to prepare for an investigation to the extent the severity requires, and until the investigator or in some cases the SSE, Mines Inspector or Police releases the scene, it shall remain in quarantine. See Table 4 below

**Table 4: Accountable Person and Investigator Selection table**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Incident Investigator** | | | | | | | | | | |
| Accountable Person | Lead Investigator | Level 1 | Potential Level 2 | Level 2 | Potential Level 3 | Level 3 | Potential Level 4 | Level 4 | Potential Level 5 | Level 5 |
| Supervisor | Supervisor | X # | X | X | X | X |  |  |  |  |
| HST Superintendent\* | Safety Advisor \* |  |  |  | X | X | X | X |  |  |
| Site Senior Executive | HST Supt / External |  |  |  |  |  | X | X | X | X |

\* Or environmental department equivalent

# Level 1 Injuries shall be managed and reported by the Paramedic

* + 1. **Step 5: Data Collection**

Data collection is a critical part of any investigation. It is important to ensure that all relevant information is collected and that the information is accurate.

Gather as much evidence as quickly as possible. It is easier to discount an item, than to capture or reconstruct it later.

There are five major steps that shall be followed in gathering evidence:

* Collecting human testimonial evidence – locating and interviewing witnesses;
* Collecting physical evidence – identifying, documenting, inspecting, and preserving relevant matter (e.g. equipment, parts, debris, hardware, and other physical items);
* Collecting documentary evidence (e.g. paper and electronic information, such as records, reports, procedures, and documentation);
* Examining organisational factors, management systems and management factors; and
* Preserving and controlling evidence.

Evidence is collected and organised using PEEPO categories of;

* + People
  + Environment
  + Equipment
  + Procedures
  + Organisation
    1. **Step 6: Data Organisation**

Evidence must be organised logically and sequentially in preparation for analysis.

The ICAM time line including 5 Why’s Flow Chart is the preferred method as the 5 Why’s allows for the investigator to identify contributing factors related to specific events.

Incidents rarely result from a single cause. Causal factors leading to an incident should be identified.

Identifying causal factors is a continuous process performed throughout the investigation. Using a graphical display of the incident's chronology, can help organise evidence of the incident's sequence of events.

Causal factors are the events and conditions that produced or contributed to the occurrence of the incident.

* + 1. **Step 7: Data Analysis:**

The investigator/team must identify the facts from the data collected and determine those facts that are relevant to the incident and contributed to the occurrence of the incident, those that are relevant but did not contribute to the occurrence of the incident and those that are not relevant to the incident. The data is to be classified into one of the following ICAM categories:

* + Absent/Failed Defences
  + Individual/Team Actions
  + Task/Environmental Conditions
  + Organisational Factors
  + Non-Contributing factors
    1. **Step 8: Conclusions and Corrective Actions (Recommendations)**

The investigator/team reviews the collected data and each contributing factor and underlying cause and;

* Formulates recommendations which, if implemented, will eliminate or reduce the risk of recurrence of that contributing factor
* Recommends improvement of the defences to limit the consequences of the hazards so that the risk is accepted by management as a tolerable risk
* Makes interim recommendations for preventive and corrective action that may be made immediately after an incident or near miss as a short-term measure to mitigate current risks prior to the establishment of long-term corrective actions
* Ensures any corrective action is fully evaluated to ensure change/s do not weaken other defences or introduce other hazards

Note: Not all contributing factors can be eliminated and some only at prohibitive cost, the team should take this into account when developing control measures.

Preventive Actions should be linked to causal factors and logically flow from the conclusions. They should be:

* Stated in a clear, concise, and direct manner;
* Based on the facts/evidence; and
* Stated so that they can be the basis for preventative action plans.

The investigation team shall reach consensus on the most appropriate preventive measures based on the information gathered in the investigation process.

The investigation team shall evaluate the effectiveness of previous controls when identifying preventive measures.

In determining which preventive actions to propose, it is important for the investigation team to evaluate the effectiveness of controls – i.e. how well controls reduce the risk of incidents. Effectiveness of controls should reference the hierarchy or controls.

* + 1. **Step 9: Reporting Results**

The incident investigation report shall be clearly and concisely written to convey the results of the investigation and shall be entered into the site Incident Reporting System. It shall be an accurate and objective record of the incident, and provide complete and accurate details and explicit statements of:

* The investigator/team’s investigation process;
* Facts pertaining to the incident, including relevant management systems involved;
* Analytical methods used and their results;
* Conclusions of the investigation, including the causal factors of the incident; and
* Preventative Actions and Corrective Actions to prevent recurrence of the incident.

At the completion of the investigation process, the Incident Investigation Report shall be submitted to Kaius Mine HST department within 48 hours.

For a full ICAM investigation as a minimum the report shall include:

* Executive Summary
* Incident Description
* Contributing Factors and Underlying Causes
* Key Findings
* Conclusions and Observations
* Recommendations
* Corrective Action Plan
* Report Sign-off
* Timeline Chart
* ICAM Chart
* Key Learnings
* Appendices

# Incident Severity Rating

The severity of the incident outcomes will determine the level of investigation and the seniority of the Accountable Person. Kaius Mine management may require an upscaling of investigation due to the potential the incident poses to the mine.

**Table 5: Severity Level Table**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Incident Investigation Severity Levels** | | | | | |
| **Consequence Criteria** | **Level 1. Insignificant** | **Level 2. Minor** | **Level 3. Moderate** | **Level 4. Major** | **Level 5. Critical** | |
| **Health & Safety** | Injury requiring first aid treatment only. | MTI or RWI classification. Injury requires medical treatment by qualified practitioner. | LTI classification. Injury may require hospitalisation, not life-threatening. | Single Fatality. Or Permanent & significant disabling injury or illness | Multiple Fatalities: or Multiple & significant disabling injuries or illnesses | |
| **Environment** | Near-source confined and promptly reversible impact (Remediation is typically within the shift). | Near-source confined and short-term reversible impact. (Remediation is typically within a week). | Near-source confined and medium term recovery impact. (Remediation is typically within a month). | Impact that is unconfined and requires long-term recovery, leaving residual damage (Remediation up to one year). | Impact that is widespread, unconfined and requires long term recovery, leaving major residual damage. (Remediation > one year). | |
| **Cultural Heritage** | Low-level repairable damage to common structures or sites. No adverse impacts to CH values. | Minor damage to items of low cultural significance. Minor infringement of CH values. | Substantial damage to item of moderate cultural significance. Infringement of CH or sacred locations. | Permanent damage to items of high cultural significance. Significant infringement and disregard of CH values. | Destruction of items of high cultural significance. Highly offensive infringement of cultural values. | |
| **Reputation** | Localised temporary impact. Community complaint resolved via site procedures or one-off public exposure in local media. | Localised, short term impact. Impact Significant public exposure in local media. | Localised, long term impact but manageable. Impact on reputation of KRES. Public exposure in national media. | Localised, long term impact with unmanageable outcomes. Impact on reputation of KRES. Public exposure in international media. | Long term regional impact. Severe impact on reputation of KRES. Extended exposure in international media. | |
| **Legal & Compliance** | Minor non- compliance, no external attention.  Minor breach of contract | Statutory non-compliance resulting in notices or external investigation.  Contractual dispute that results in minor operational delay/cost | Non-Compliance with statutory notices. Investigation resulting in show cause, on-the-spot or summary fine or penalty.  Litigation at operational level. | Material litigation or formal prosecution resulting in financial penalty and moderate project/operational impact. | Successful prosecution resulting in conviction or suspended / severely reduced operations imposed or severe effect on the licence to operate. | |
| **Financial** | Cost up to 5% of value of asset or contract. | Cost 6% - 10% of value of asset or contract. | Cost 11% - 15% of value of asset or contract. | Cost 16% - 20% of value of asset or contract. | Cost > 20% of cost of asset or contract. | |
| **Schedule & Production** | Negligible delays (1-3 days). 0%-2.5% underachievement of budget performance | Moderate delays (4-6 days). 2.5%-5% underachievement of budget performance | Material delays 7-10 days. 6%-10% underachievement of budget performance | Significant delays (11-14 days). 10%-20% underachievement of budget performance. | Major delays (>14 days). >20% underachievement of budget performance. | |

## Incident Reporting

All incidents shall be reported to Kaius Mine (KRES) Health, Safety & Training (HS&T) Department in a timely fashion and investigated and reported to the standard required based on the greater of the actual or potential consequence rating.

Incident Reporting & Investigation shall be completed and submitted to the SSE for sign off within the timeframes in table 6. The Investigator and the Accountable Person may ask for an extension were mitigating circumstances warrant.

**Table 6: Investigation Time Frames**

|  |  |  |  |
| --- | --- | --- | --- |
| **Investigation Timeframes** | | | |
|  | **Level 1 & 2** | **Level 3 Report** | **ICAM Report** |
| Interim Report |  | 1 Week | 2 Weeks |
| Completed Report | 1 Week | 2 Weeks | 3 Weeks |
| Time Extended Report | 2 Week | 3 Weeks | 4 Weeks |

All extensions will require an explanation as to why there are delays and what will be done to rectify the situation.

### First Aid Injury Reporting

First Aid or Level 1 Injuries shall be reported to the site Paramedic who will complete a medical report and at the end of the month provide a statistical report to KRES HS&T Department. This will ensure minor first aid injuries are captured and reported in a timely fashion.

If a Level 1 injury is a potential Level 2 then the Paramedic will inform the IP’s Supervisor and an Incident Report shall be completed.

### External Reporting Requirements

Kaius Mine has several obligations under safety and environmental legislation with regards to reporting prescribed incidents within set time frames. Investigator shall ensure the initial information is passed onto KRES HS&T or Environment Department so these obligations can be met.

**Note:** Contractors are not to undertake any external reporting on behalf of Kaius Mine

## Table 7: External Reporting Requirement

| **Event Type #1** | **Communi-cation Type** | **Communi-cation Format** | **Time Frame** | **Template** | **External Stakeholders** | **Internal Stakeholders** | **Responsible Person** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **First Aid, or injury / illness Event** | Notification | Entered in the monthly summary | 30 Days | [Online Monthly Incident Summary Form](https://webgis.dme.qld.gov.au/mir/monthly_summary_form.php) | Mines Inspectorate | Health and Safety | SSE |
| **Notifiable Incident Serious Accident, High.** | Notification | Verbal#2 | As soon as practicable | *Form 1A* #2 | * Mines Inspectorate * Industry Health and Safety Representative * Site Safety Health Representatives | Not Required | SSE |
| Written | 48 hours (24 hrs for a fatality) | *Form 1A* #2 | * Mines Inspectorate * Industry Health and Safety Representative | Mine Workers (via Mine Record) / Health and Safety / SSE | SSE |
| Report | Written (When required as per legislation | 30 Days | [Online Form 5A](https://webgis.dme.qld.gov.au/mir/incident_form.php) | Mines Inspectorate | Mine Workers (via Mine Record) / Health and Safety / SSE | SSE |
| **Notifiable Dust Exceedance** | Notification | Verbal | 24 hours |  | * Mines Inspectorate * Industry Health and Safety Representative | Site Safety Health Representatives  Affected Person  SEG | SSE |
| Written | 72 hours | Approved Form | * Chief Mines Inspector |  | SSE |
| **Serious Electrical Incident, or Dangerous Electrical Event#3** | Notification | Written | 24 hours | In addition to reporting under legislation or WHSA, [Online Form 3](https://www.deir.qld.gov.au/pls/apex_ep/f?p=120:100:554409099607701::NO:::) | * Mines Inspectorate * Industry Health and Safety Representative * Electrical Inspectorate | Health and Safety / Electrical Engineering Manager / SSE | Electrical Engineering Manager / SSE |
| **Explosives Incident** | Report | Written | As soon as practicable | Not applicable | * Explosives Inspectorate * Mines Inspectorate | Health and Safety /Mining Manager / SSE | SSE |
| **Radiation incident or dangerous event**  ***(Radiation Safety Act 1999)*** | Notification | Verbal or in writing | Immediately | Not applicable | Chief Executive, Queensland Health | Radiation Safety Officer (RSO) / Health and Safety / SSE | RSO |
| Confirmation | Only if initial notification provided verbally | Within 7 days | Not applicable | Chief Executive, Queensland Health | RSO / Health and Safety / SSE | RSO |

# ICAM Investigation Report

The ICAM Investigation Report is a presentation of the findings and recommendations it includes the ICAM Analysis and ICAM Timeline to assist readers with understanding the methodology and the process for coming to the findings of the report. The report must be readable to the target audience, factual, and logical. Make sure the report undergoes peer review to prevent errors or irrelevancies becoming part of the official report.

# REVIEW CRITERIA

This standard shall be reviewed:

* Every three years;
* When there is a change of method and/or technology that may affect the accuracy of this document; and
* When a significant incident has occurred that is relevant to this document and its subject matter.

# SAFETY AND ENVIRONMENT

Safety and Environment are covered in the body of this standard.

# ATTACHMENTS, REFERENCES AND RELATED DOCUMENTS

## References and Related Documents

Kaius Mine Standard 02 Risk Management

Kaius Mine Standard 02 Change Management

Kaius Mine Standard 07 Plant and Equipment

Coal Mining Safety and Health legislation

James Reason: Managing the Risks of Organisational Accidents – 1997

Safety Wise: ICAM Investigation Guide

## Attachments

No attachments to this standard

## Appendixes

No appendixes to this standard