



# Safety, Health & Environment (SHE) Enterprise-wide Guide Incident Reporting Guideline

This Enterprise-wide Standard applies generally to the following Aurizon entities and each of their subsidiaries:

Aurizon Network Pty Ltd
Aurizon Operations Limited
Australia Western Railroad Pty Ltd
Interail Australia Pty Ltd
Australia Eastern Railroad Pty Ltd
Aurizon Finance Pty Ltd

For rail safety accreditation purposes, this Enterprise-wide Standard applies to and forms part of the Approved Safety Management System of the following entities:

<b>Accredited Entities</b>	<b>Applies to</b>
Aurizon Network Pty Ltd	X
Aurizon Operations Limited	X
Australia Western Railroad Pty Ltd	X
Interail Australia Pty Ltd	X
Australia Eastern Railroad Pty Ltd	X

## Incident Reporting

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## Incident Reporting

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### Description

The Incident Reporting Guideline provides guidance on internal and external reporting requirements of notifiable and other incidents.

### Scope

This guideline applies to both below-rail and above-rail operations and other incidents that occur within Aurizon and its subsidiaries.

### Guidance

#### Internal reporting

All Aurizon workers, including contractors, consultants, volunteers and visitors are to immediately report all incidents including near-miss events to person in control of safety.

In addition:

- for incidents on the rail network — reported to the appropriate Rail Infrastructure Manager's Network Control Centre. For incidents on Aurizon Network rail infrastructure — reported to the Aurizon Network Control Centre
- for incidents that impact Aurizon above-rail operations — reported to the Aurizon Deployment Live Run Centre
- for incidents within Aurizon Depots and Yards and 3rd Party Private Sidings — reported to the Yard Controller and Supervisor who will report the incident to the Deployment Live Run Centre
- for incidents that occur in offices and other non-rail environments — reported to the supervisor/manager.

The Event Manager enters and categorises all SHE incidents in the SHE Incident Management System as soon as possible, and no later than 48 hours after the incident has occurred, to allow the SHE team to comply with regulatory reporting requirements.

The Deployment Live Run Centre enters the incident into Noggin and coordinate the appropriate level of action within Aurizon to ensure the appropriate level of response.

#### External reporting

The Nominated Delegate is responsible for:

- managing the interface between Aurizon and the applicable safety regulator and about notifiable incidents
- completing reporting requirements for the applicable safety regulator for notifiable incidents and any other requests for information
- providing advice on the format and timing of reporting
- submitting reports for notifiable occurrences to the applicable safety regulator.

## Incident Reporting

The following table shows the delegated responsibility to report notifiable incidents to the relevant safety regulator

<b>External Reporting Requirement</b>	<b>Nominated Delegate</b>
Immediate Rail Safety Notifiable Occurrence	Aurizon Operations - Deployment
	Aurizon Network – Aurizon Network Control
Rail Safety Category A and B Notifiable Occurrence	Principal Accreditation Adviser
Environmental Incident Notifications	Manager Environment
OSH / WHS Injuries or Diseases Notifications	Manager People and Safety “Nominated Delegate” for the Business Unit or State in which the notification obligation applies.
Aurizon Network Electrical Incidents Notifications (high voltage Central Queensland Coal Network overhead line equipment) and any other Electrical Incident Notifications (All States)	Brian Rowan - Manager Infrastructure Delivery (Network) – (Aurizon Electrical Contractor Licence Holder)  Internal Reporting Delegation - Manager People and Safety (Network)  Electrical Regulator Reporting Delegation - Manager Network Electrical Asset Management and Engineering
Dangerous Goods Incident Notifications	Manager People and Safety “Nominated Delegate” for the Business Unit or State in which the notification obligation applies
Mines Occurrence Notifications	Aurizon Registered Mine Manager for the Business Unit or State or location in which the notification obligation applies

Nominated delegates with responsibilities for regulatory reporting should refer to relevant state’s legislation for:

- types of matters and their definitions that require notification to the applicable safety regulatory body
- timeframes for reporting.

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### Rail Notifiable Incident

All notifications to the National Rail Safety Regulator for notifiable incidents required under legislation should be led by the Head of Safety Health and Environment, who is responsible for identifying a nominated delegate.

Within the legislation, notifiable incidents are referred to as ‘notifiable occurrences’ and are categorised according to Regulation 57 of the Rail Safety National Law Regulations and the ‘Reporting Requirements for Notifiable Occurrences’ issued by the National Rail Safety Regulator. In this document, we refer to ‘notifiable occurrences’ as notifiable incidents.

### Work, Health and Safety Notifiable Incidents

All notifications to a Work, Health and Safety Regulator should be led by the Manager People and Safety, who is responsible for identifying a nominated delegate.

Notifiable incidents relate to any person — whether they are an Aurizon employee, a contractor or a member of the public.

For notifications of incidents that occur on the high voltage Central Queensland Coal Network Overhead Line (Aurizon Network Entity), immediately contact the Manager Infrastructure Delivery (Network Operations).

### Environmental Notifiable Incidents

All notifications to an environmental regulator, should be led by the relevant Head of Safety Health and Environment who is responsible for identifying a nominated delegate.

Aurizon’s General Environmental Duty (GED) is an Australia-wide legal obligation to ensure that Aurizon and its contractors do not carry out any activity that causes, or is likely to cause, environmental harm. This requirement is reflected within the central environmental regulations of each state. GED commonly applies to the following activities:

- improper discharge of pollutants (e.g. hydrocarbons, soil, organic matter, concrete waste, heavy metals, chemicals etc.) to air, soil or water
- incorrect storage and disposal of waste (e.g. burying waste, co-storage of general and regulated waste)
- undertaking activities in the absence of statutory approvals (e.g. ballast screening, transport of regulated waste, bulk material loading/unloading etc.).

Some incidents resulting from activities that cause environmental harm should be formally notified to regulatory bodies. Aurizon is legally obliged to notify the applicable environmental regulatory agency in each state if an incident constitutes, or is likely to constitute, **material or serious environmental** harm. Although these precise terms are not consistently used in all jurisdictions, the principles behind them are applicable across Australia.

Material Environmental Harm is broadly defined as environmental harm that is not trivial or negligible and where the cost of the damage or remediation actions is:

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- >\$5,000 but <\$50,000 (QLD, SA, VIC);
- >\$10,000 (NSW) or
- >\$20,000 but <\$100, 000 (WA).

Serious Environmental Harm is broadly defined as environmental harm that is irreversible, of a high impact or widespread and where the cost of damage or remediation is:

- >\$50,000 (QLD, NSW, SA and VIC) or
- >\$100,000 (WA).

The legally required period in which Aurizon is legally obliged to notify of incidents that have, or are likely to have, caused Material or Serious Environmental Harm varies from 24 hours (in QLD and WA) to immediate (in NSW).

### Mines Notifiable Incidents

All reportable incidents on Aurizon sites registered under the jurisdiction of a state or territory mines act and regulations, are reported to the relevant state's Mines Safety Regulator in accordance with each state's respective legislation.

### Dangerous Goods Notifiable Incidents

All notifications to a Work, Health and Safety Regulator for a notifiable incident required under legislation should be led by the Manager People and Safety who is responsible for identifying a nominated delegate.

## Reference Documents

- Incident Management Procedure
- Investigation Guideline

## Incident Reporting

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### Revision History

This guideline will be reviewed periodically and, if appropriate, revision undertaken as necessary to maintain its ongoing relevance in managing Aurizon's SHE management obligations.

The review history is as follows:

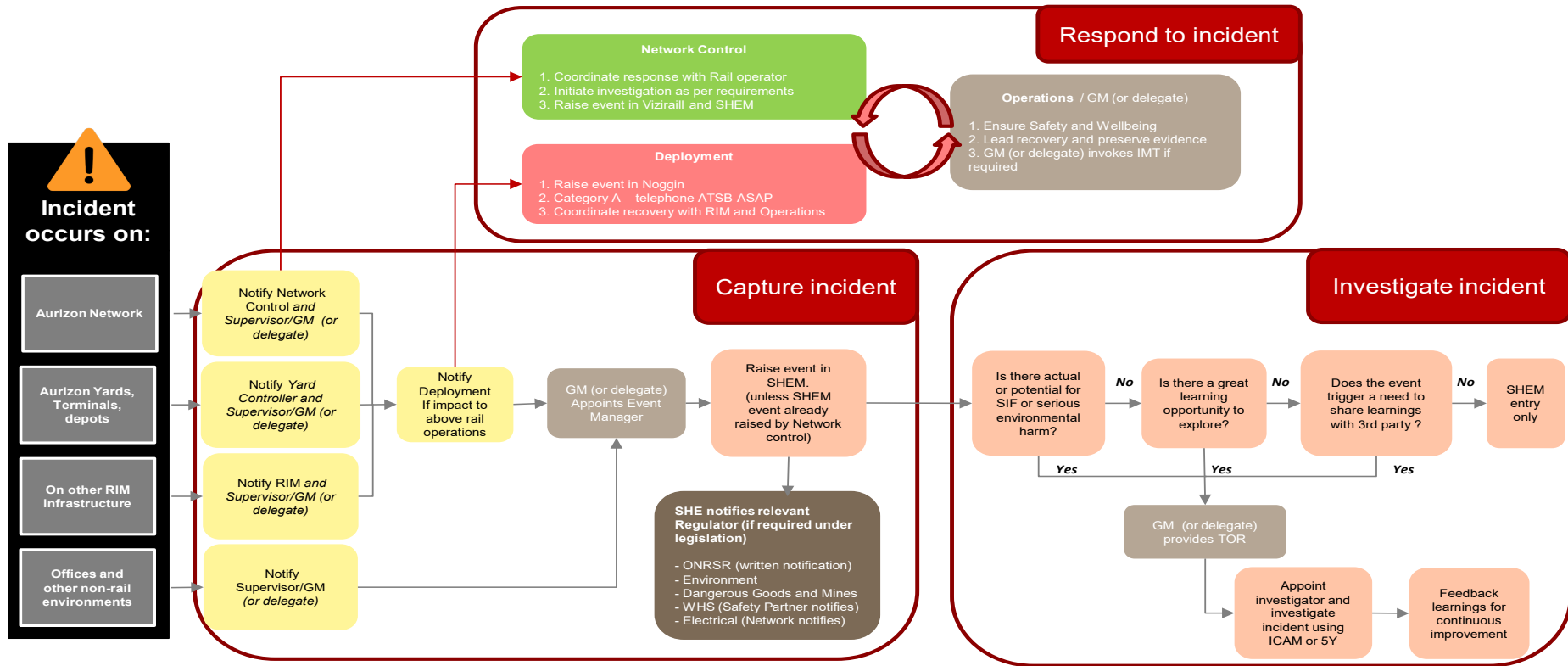
Version No.	Section No.	Description of Change	Preparer (P) / Reviewer (R)
1.0		New Document	V. Santesson (P) I. Watson (R)

### Key Words

Term	Definition
Nominated Delegate	A position delegated to directly liaise with regulatory bodies

Incident Reporting

# Incident Process Flow



Responsible Party:



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