

Safety Incident Investigation Process

1.0 PURPOSE

The Safety Incident Investigation Process (SIIP) is designed to:

- Provide organization learnings to prevent similar incidents from reoccurring
- Outline investigation requirements based on classification of severity (minor, significant, major, or critical)
- Focus on facts and continuous improvement, not fault finding
- Provide context for collaborative investigation of incidents which affect multiple business divisions
- Ensure investigations are directed at identifying evidence, determining root causes and contributing factors
- Direct the development and implementation of appropriate corrective or preventative measures, where appropriate
- Determine facts and if necessary, to obtain legal advice in anticipation of litigation or regulatory action

2.0 APPLICATION

The SIIP applies to all health and safety incidents that occur involving SaskPower assets, properties, and/or individuals working on SaskPower's behalf.

3.0 METHOD

3.1 Initial Response

1. Recognize that an incident has occurred.
2. Complete an initial assessment of the incident to determine the following:
 - What has occurred;
 - When the incident occurred;
 - Who was involved;
 - What resources have responded thus far (if any); and
 - What is required to secure the scene and prevent further injury and/or equipment damage and preserve evidence?
3. Determine if emergency response is required. If the incident is an "emergency", follow the applicable Emergency Response Plan or Incident Command System (if initiated). If the investigation occurs within the framework of the Incident Command System, the Incident Commander takes over the role typically assumed by the Incident Owner.
4. Ensure injured people receive medical attention if required. It is advised to not disturb the incident scene more than is necessary to make the scene safe, stop and contain the spill or to secure the facility or area. The Secure the Scene checklist may be used as a tool.
5. Verbally notify the responsible manager of the incident. Note that for all Critical incidents, where involved employees are in a Safety Sensitive position, a drug and/or alcohol test must be done as detailed in the Drug and Alcohol Process.

5.1.2 Incident Reporting

NOTE: It is expected that a critical incident will be entered in Environment and Safety Management System software (ESMIS) within 8 business hours and all other incidents within 24 hours.

SaskPower Incident Owners

The incident owner shall consult the Safety Incident Reference Chart to determine further communication requirements.

For Significant, Major and Critical incidents the incident owner or designate shall obtain statements from anyone involved in or witnessing the incident. Statements can be obtained but are not required for Minor incidents. The form must be filled out individually, not in a group, and returned to the incident owner or designate.

The incident owner is responsible to ensure the incident is entered into the ESMIS but may delegate an employee to enter the incident. Attach any relevant documents, pictures and filled out forms to the submission. Preliminary incident severity classification is mandatory and must be completed by the person entering the incident.

For Safety incidents the Incident Owner is required to verify the preliminary incident severity classification into ESMIS. Timelines for submitting information are identified in the Safety Incident Reference Chart

If the verified incident severity is changed from the initial incident severity, changes will be communicated to all parties required by the adjusted severity rating in the Safety Incident Reference Chart. Safety will also ensure that confidential information is properly restricted and/or vetted (if required) prior to widespread communication of an incident.

The incident severity rating may be re-evaluated throughout the investigative process as new information presents itself. For example, multiple lower risk incidents may have the incident severity classification elevated through consultation with the Safety.

If a higher severity classification is applied to an existing incident after the investigation is started, this may require reassigning roles to meet the higher severity classification investigation requirements. Additional notification may also be required.

Contractors

Contractors will follow a very similar series of actions to that of employees, except the Contractor Administrator functions as the incident owner. There may be the additional requirement to also verbally notify the SaskPower Project Manager (if applicable). In the event, neither the Contract Administrator (nor Project Manager, if applicable) can be verbally notified, the contractor shall verbally notify SaskPower via the Safety and Environment Care Line (306-566-6200).

After verbally notifying the responsible Contract Administrator (and Project Manager, if applicable) of the incident, as soon as practical, that Contract Administrator shall consult the Safety Incident Reference Chart as to which additional staff to be verbally notified.

For Significant, Major and Critical incidents the Contractor Administrator or designate shall obtain statements from anyone involved in or witnessing the incident. Statements can be obtained but are not required for Minor incidents. The form must be filled out individually, not in a group, and returned to the Contractor Administrator or designate.

The Contractor Administrator is responsible to ensure the incident is entered into ESMIS but may delegate an employee to enter the incident. Attach any relevant documents, pictures and filled out forms to the submission. Preliminary incident Severity classification is mandatory and must be completed by the person entering the incident.

The Incident Owner (Contract Administrator) is required to verify the preliminary incident severity classification into ESMIS. Timelines for submitting information are identified in the Safety Incident Reference Charts

If the verified incident severity is changed from the initial incident severity, changes will be communicated to all parties as required by the adjusted severity rating in the Safety Incident Reference Chart. Safety will also ensure that confidential information is properly restricted and/or vetted (if required) prior to widespread communication of an incident.

5.2 Investigation

5.2.1 Conflict of Interest

The Conflict of Interest form is used to assist in determining if someone has a conflict of interest in an investigation. In general, a conflict may exist if:

- a direct or indirect relationship (former employee, friends of employee, extended family or shareholders), with parties involved in the incident (financial, professional or personal interest), as defined in SaskPower's Code of Conduct Policy
- an individual involved directly, present, and on-site on the job that resulted in the incident
- an individual whom developed the policies/standard procedures involved in the incident when it appears the policy/standard procedure was insufficient
- any other relationship or interest that could result in a conflict of interest

Managing the staff involved in an incident doesn't mean that Manager has a conflict of interest unless the Manager's actions or direction caused the incident.

Note that filling out the Conflict of Interest form at the start of the investigation does not excuse a person from declaring a conflict of interest later on once additional information is available.

5.2.2 Investigation Requirements

Incidents as defined in the Safety Incident Reference Chart will be investigated at a minimum as follows:

- **Minor** – Requires a brief investigation limited to investigation comments and hazard identification except at the discretion of the manager (or designate) of the business unit. The manger (or designate) acts as both Lead Investigator and Incident Owner. This may be as short as a few minutes to understand what occurred and fill out the appropriate incident report in ESMIS.

- **Significant** – Requires an investigation by the manager (or designate) of the employee involved in the incident. The manager (or designate) acts as both Lead Investigator and Incident Owner. The manager will fill out an incident report in ESMIS which will serve as the investigation report. The manager must identify at least one root cause plus at least one action which could prevent future incidents. Please note that a procedure by itself is not considered an adequate recommendation.

Minor and Significant investigations will use the cause analysis methodology built into ESMIS to assist in determining the root cause. A sampling of minor and significant reports can be used by their respective departments to assist in improving the quality of these investigations. Safety will support Incident Owner (or designate) in performing investigations as requested.

- **Major** – The Incident Owner is assigned and must be at a Manager or higher level. A Lead Investigator is assigned from Safety. A summary of the events leading to the incident should be created and root causes identified. At least one recommendation shall be created for each root cause identified by the Lead Investigator.
- **Critical** – The Incident Owner is assigned and must be a Director or higher level. A Lead Investigator is assigned from Safety. A summary of the events leading to the incident should be created and root causes identified. At least one recommendation shall be created for each root cause identified by the Lead Investigator. A recommendation to address systematic issues that go beyond the incident under investigation should be considered if applicable.

5.2.3 Assign Roles

If the incident was classified as a minor or significant incident the manager (or designate) of the employee involved in the incident is assigned both Lead Investigator and Incident Owner roles.

An Incident Owner shall be assigned to all major and critical investigations. For incidents that have both Safety and Environmental implications the assigned investigator will be from either Safety or Environment, dependant on which has the highest incident severity rating. For example, if an incident was significant for Safety, but Major for Environment, then Environment would lead the investigation

The Incident Owner is the individual with the most to gain from the recommendations and is empowered to approve and execute the corrective or preventative actions. This role will be collaboratively determined by the operational areas involved in the incident. In the event a discrepancy arises, a final decision will be made by the next senior organization level.

The Incident Owner, Lead Investigator and their manager(s) shall agree on any scope reduction of the investigation, as well as on the communication requirements that will be followed during the course of the investigation and outline this in a Terms of Reference. An example of a Terms of Reference is included in the Formal Report Template.

This action is completed so as to ensure that all parties are adequately informed, prior to the issuance of a final report. If this cannot be resolved, it will be evaluated to the next highest level of management. In addition, a member of the relative Occupational Health Committee may participate as a member of the investigation team for safety incidents at the discretion of the Lead Investigator and Incident Owner.

5.2.4 Privileged and Confidential Investigations

Some investigations have the potential to have legal implications and as such must be designated as privileged and confidential.

In order to support the consistent application of “legal use of privileged and confidential in contemplation of litigation and solicitor-client communication with regards to investigations” associated with major and critical incident investigations the following will be used:

Notification

- Copy Law on notifications of major and critical incidents to the Director of Safety.
- Assume all major and critical incident investigations are privileged and confidential pending Law’s evaluation of legal sensitivity.
- Law will advise if the incident investigation shall remain classified as privileged and confidential.

Communication

- Copy Law on all communication with regulators for privileged and confidential incident investigations.
- Email correspondence regarding investigations shall contain facts and will avoid opinion (this is good practice for all investigations).
- Emails regarding privileged and confidential incident investigations shall be marked as “Solicitor and client privileged investigation in contemplation of litigation-prepared at the request of and for the sole use of the SaskPower Law Department” in the subject line.

Records Management

- Draft versions and the final version of the investigation report shall be marked “privileged and confidential in contemplation of litigation and solicitor-client communication”.
- Segregate the investigation report, including all drafts whether hard copy or digital, from other records and restrict access to them.

Sharing Reports

- Requests from a regulator for a copy of the investigation report should be referred to the Law Department. If a report is seized during an investigation it should be placed in a large envelope, sealed and marked “Privileged and Confidential in anticipation of litigation and solicitor-client communication” and “Sealed on (date), signed by the SaskPower representative and the regulatory official.” Envelopes should be ready for this purpose.
- To maintain privileged and confidential, reports should be shared with just those central to the incident. Privileged and confidential investigation reports will only be shared at the Director level and above from the affected Division(s), Safety, Environment, Law and the assigned investigation team and Incident Owner. If a Director believes that a copy must be shared to a direct report, Law will be consulted. Directors are able to provide a verbal summary of the information contained in the report to their direct reports involved in the incident.
- Corrective action tables for privileged and confidential incident investigations will not be shared beyond the corrective action team to maintain confidentiality of the recommendations. When entering Corrective Actions into the management system software, do not use the full description of the recommendation.

If the incident investigation is not classified as privileged and confidential by Law, the report may be shared within SaskPower.

Communication of the Investigation Progress and Results

- Communications regarding privileged and confidential incident investigations will be reviewed by Law prior to release.

- Communications should be focused on facts and include a high-level summary of corrective actions.
- Avoid communications around legally sensitive content such as contracts, human behaviour issues and statute violations.

5.2.5 Special Investigations

Where reasonable grounds exist that an employee has maliciously ignored a known policy, standard, or procedure, or has been involved in a criminal act, the lead investigator will inform the Incident Owner and work with the selected support branches (Law, Human Resources) to determine an appropriate course of action utilizing the SaskPower Code of Conduct Policy or related Provincial or Federal Statute/Regulations as governance.”

Enterprise Security

If an incident alleges a breach of the SaskPower Code of Conduct Policy or a Criminal Act, an investigation into the circumstances of the incident and the employee’s involvement in the incident shall be investigated by Enterprise Security likely with collaboration from an outside constabulary agency. Collaboration with other business units including Law, Human Resources and Audit will occur as agreed upon by the respective business units, or in accordance with previously approved Policy or processes.

5.2.6 Gather Evidence

During an investigation, the investigator and/or investigation team shall gather evidence to assist in determining root causes involved in the incident such as the following:

- Witness Statement Forms are filled out;
- Photographs/videos (preference for digital);
- HARA Hazard/aspect and risk assessments 4Diagrams; maps and measurements
- Plot / site plans;
- Electronic information (reports, monitoring data, emails, access logs, etc.)
- Detailed and structured interviews of the involved persons and / or witness interview accounts;

Record details immediately as the incident site may be subject to rapid changes or destruction. Include details such as:

- Environmental impacts (e.g. weather conditions, near a water body, at risk species);
- Ergonomic conditions (e.g. lighting levels, position of machinery controls);
- Housekeeping (e.g. debris);
- Law enforcement or regulatory involvement (if applicable);
- Physical evidence of drug or alcohol paraphernalia.
- Position of equipment (e.g. hoists, vehicles, controls);
- Position of injured (e.g. worker, public);
- Position of materials (e.g. chemicals, loads, spill);
- Preventative devices in use (i.e. guards, valves, locks);

An investigator may seize any SaskPower owned asset as evidence in an investigation. All seized evidence should be documented within an Evidence and Chain of Custody Form. The form shall be retained with the seized

evidence, unless the evidence is sent outside SaskPower for further analysis, regulator investigation or other circumstances where the evidence is not likely to return to the custody of SaskPower.

Evidence which is retained by the investigator shall be affixed with a label or tag which describes the following information:

- Date, time and location of seizure
- Brief description of evidence
- File number and evidence number
- Person who seized the evidence with initials

Seized evidence must be kept stored in an appropriate secure location. An exception would be the period of a time which the evidence is being forensically acquired and analyzed at which time; the evidence shall be stored within a secured room.

The SaskPower Business Unit is responsible for the evidence and is to be notified when the evidence is seized. Other Business Units may also be notified in circumstances where temporary or loaner equipment must be deployed to minimize the impact to a business.

5.2.7 Evaluate Data and Conduct Interviews

Based on the initial evidence, such as Witness Statement form, a selection of interviewees will be required to verify information and clarify facts and provide additional details for the investigation. Interviews should be done individually.

All interviews shall be documented in writing or recorded, by the investigator(s) and include the interviewers name, interviewees name, position, date, time and location of the interview.

Investigators are required to remind interviewees at the start of the interview the focus of the investigation process is to prevent future incidents and not assign blame. At the end of the interview, the investigator should ask for recommendations on how to prevent incidents similar to the one being investigated.

If during an interview an investigator suspects there may have been an intentional breach of company policies, standards or process the lead investigator will inform that Incident Owner. If there is a potential conflict with the Incident Owner, then the Lead Investigator should inform Human Resources. Human Resources will provide support for any additional required discussion with the employee and any disciplinary matters are outside the scope of the incident investigation.

5.2.8 Complete Root Cause Analysis

For trending purposes all incidents require sub-classification when reported. This means identifying hazards. These trending sub-classifications are not intended to replace a root cause(s) that are developed during an investigation. It is important to find the root causes of the event and not focus on the superficial issues.

For Minor and Significant investigations, the '5 Why' methodology will be used to determine root cause(s). The methodology uses an interrogative technique to explore the cause and effect relationships underlying a particular problem.

As an example, the vehicle will not start. (the problem)

1. **Why?** - The battery is dead (first why)
2. **Why?** - The alternator is not functioning (second why)
3. **Why?** - The alternator belt has broken (third why)
4. **Why?** - The alternator belt was well beyond its useful service life and not replaced (fourth why)
5. **Why?** - The vehicle was not maintained according to the recommended service schedule or lack of resources (fifth why, a root cause(s))

For major and critical investigations, the Lead Investigator is able to use whichever methodology they have been trained in i.e. Tri-Pod Beta, Tap Root, 5 Why, etc.

In major and critical investigations, a recommendation to address or identify any potential or actual systematic issues that go beyond the incident under investigation should be considered. While this may not apply to every investigation, it is important to consider wider application of recommendations to help drive improved corporate performance. Systematic recommendations may be issued as part of any incident investigation.

5.2.9 Develop Recommendations

Once the investigation interviews and root causes are completed, appropriate recommendations can be identified to preventing similar incidents from occurring. These should address each root cause (if applicable).

Recommendations should be written with the context that they will be used to develop corrective actions. As such if the investigator is unsure if the business division can execute the recommendation they should use the word 'consider' in front of the recommendation. The recommendation must focus on preventing incidents or conditions to cause incidents. Please note that a procedure by itself is not considered an adequate recommendation. There must be an additional recommendation which includes a physical action such as an inspection, install a guard or other physical barrier.

In the event a recommendation does not directly tie to the incident, an investigator may include it in the report as an ancillary recommendation. Ancillary recommendations may also be added at the request of the Incident Owner with agreement of the Lead Investigator.

5.3 Investigation Reporting

Formal investigation reports are not required for Minor and Significant incidents; instead this function is met by filling out the incident report within the ESMIS. ESMIS reports are due within 21 calendar days. Formal investigation reports are required for Major and Critical incident investigations.

The formal written report for Major and Critical incidents will be completed with the use of the Formal Investigation Report Template.

The templates include:

- Summary of the incident (including who, what, where, when, why)
- Description of root causes of the incident
- Recommendations to prevent a similar incident
- List of interviewees
- Relevant photos and diagrams (as required)

If the Formal Investigation Report is privileged and confidential distribution is to be limited in its distribution.

Once the report is drafted for Major and Critical investigations it will be reviewed by both the Lead Investigator's manager and the Incident Owner for feedback and comments. The final report for Safety investigations is approved by the Incident Owner.

The final report is due within 45 calendar days unless an extension is granted by the Incident Owner and the Director of Safety.

Incident summary reviews for incidents shall reside as a standing agenda item on EMS/SMS management review meetings and for all OHC and local safety meetings with the exception incidents that were classified as privileged and confidential or that have been referred to Human Resources/Labour Relations.

5.4 Corrective Actions

Corrective or preventative actions are developed in response to a recommendation and must be approved by the Incident Owner. Depending on the complexity of the recommendations a Corrective Action Team may be formed by the Incident Owner to assist in developing corrective or preventative actions.

For Minor or Significant investigations, the Incident Owner may draft and approve the corrective action with input from any affected stakeholders.

For Major and Critical Safety investigations, a meeting will be held to formally review the root causes and recommendations with the Incident Owner, Lead Investigator and the Corrective Action Team (if required). After the review the Corrective Action Team shall develop Corrective Actions to address the Recommendations in the report.

When corrective actions are developed they must be assigned to a person, by name not position, for completion by an identified date. Staff are encouraged to consider using SMART (Specific, Measurable, Achievable, Realistic and Time bound) wording to ensure the proposed action addresses the recommendation. Effectiveness criteria may be applied to corrective actions. In the event that the Incident Owner has insufficient resources to address the correction actions assigned they should prepare a request to their Director or Vice President outlining their requirements.

For those investigations that demonstrate a systematic issue that is beyond the scope of the incident investigation the Lead Investigator should issue a recommendation to further evaluate the issue.

The Incident Owner must respond to each recommendation with a corrective or preventative action. They may modify the wording of the corrective action to account for Operational issues or indicate that the recommendation is already being addressed by an existing corrective action or that another corrective action will address multiple recommendations. For example, if there are business reasons not to follow the exact wording of a recommendation due to removing a piece of equipment from service in the next month, this should be documented in the corrective action.

Corrective or preventative actions will be tracked separately by Safety and Environment departments to ensure completion and these results will be reported to senior management.

Corrective Actions will be tracked to completion in ESMIS which is the system designed to:

- Identify and notify individuals accountable for corrective or preventative action implementation;
- Assign responsibility to individuals to action specific items;
- Track implementation progress by providing status updates on targeted completion dates; and
- Confirm the incident has been managed until all actions are completed including verification of effectiveness

5.5 Communication of the Incident

Information identified and documented throughout the management of the incident may assist others (internal or external) in preventing similar incidents from recurring. SaskPower employees, contractors and external parties may learn from incidents and prevent recurrence in the future.

Investigations will be communicated by the following tools: Incident Information – Action, Incident Information – Update, and/or Incident Information – Final. Refer to the Incident Reference Chart – Investigation & Reporting tab for additional information and timelines

For privileged and confidential investigations, the Lead Investigator shall ensure the required review by the Law department occurs of those communications (see section 5.2.4).

5.5.1 First Communication “Incident Information – Action”

This communication is used for all incidents if there is a valuable and/or time sensitive message to share. The communication should include what happened, date and time, location, and who was involved. Do not use names, but rather workgroup or titles. The communication should provide clear direction on what action they need to take and include the tracking number for the incident.

5.5.2 Communication “Incident Information – Update”

This communication is used for all incidents after the ‘Incident Information – Action’ communication has been distributed and when new information is available. Refer to previous communication and include any new information to be shared. If no new information is available to share, then inform people when additional information is expected to be available and the tracking number for the incident.

5.5.3 Communication “Incident Information – Final”

This communication is used for all incidents after the investigation has closed and the corrective and/or preventative actions have been identified and actioned by the business. State that the investigation is closed and include all relevant and shareable findings and associated corrective and/or preventative actions. Include the tracking number for the incident.

6.0 TRAINING REQUIREMENTS AND MATERIAL

Those staff responsible for the using the Safety Incident Investigation Process shall be provided awareness sessions as well as information is accessible on SafetyNet.

There is no single training course for investigators to take to cover all the skills required for an investigation. Instead training opportunities should focus on developing the following skills:

- Writing
- Interviewing techniques
- Project Management
- Team leadership
- ESMIS
- Root Cause Analysis

7.0 REFERENCES

7.1 Internal References:

- SaskPower Hazard/Aspect and Risk Assessment Policy
- SaskPower Safety & Environment Incident Investigation Standard
- SaskPower Code of Conduct Policy
- SaskPower Drug and Alcohol Policy

Tools

- SaskPower Safety Incident Reference Chart
- SaskPower Safety Incident Flowchart
- SaskPower Witness Statement Form
- SaskPower Conflict of Interest Form
- SaskPower Secure the Scene Checklist
- SaskPower Corrective Action Table Template
- SaskPower Safety Formal Investigation Report Template
- SaskPower Evidence and Chain of Custody Form

7.2 External References:

- Saskatchewan Occupational Health and Safety Regulations, 2020.

For more information regarding the Safety Incident Investigation Process, you should contact your local Safety Specialist or Safety Business Partner.