

Safety & Environment Standard

INCIDENT INVESTIGATION

1 PURPOSE

This standard supports the Hazard/Aspect and Risk Assessment Policy and establishes the requirements for managing environmental and safety incidents at SaskPower. All incidents are to be reported, investigated and communicated in accordance with the SaskPower Incident Investigation Processes and applicable Incident Reference Charts.

2 SCOPE

This standard applies to all incidents with health, safety or environmental concerns involving SaskPower's property or facilities or SaskPower's employees or contractors while they are performing tasks for SaskPower.

This standard identifies the minimum requirements that shall be met or exceeded by SaskPower employees and contractors as well as the roles and responsibilities for an Incident Investigation. It is supplemented by documents referred to in the related references section. Investigations assist in preventing reoccurrence of incidents. Failure to comply with this standard may inhibit the prevention of future incidents resulting in potential injuries, damage to equipment or property, environmental harm, performance management or any combination thereof.

The use of the word "shall" within this standard denotes a mandatory action, whereas the use of the word "should" or "may" denotes a recommended action.

3 DEFINITIONS

The following definitions apply to this standard:

Corrective Action – Actions to eliminate the cause of a detected nonconformity or any other undesirable situation. Corrective actions should be specific, measurable, achievable, realistic and time-bound.

Dangerous Occurrence – Any occurrence or condition or circumstance set out in the Occupational Health and Safety Regulations.

Emergency – A present or imminent event that requires prompt coordination of actions or special regulation of persons or property to protect the health, safety, or welfare of people, or to limit damage to property and the environment.

Environment – The surroundings in which SaskPower operates including air, water, land, natural resources, flora, fauna, humans and their interrelation.

Incident – An occurrence that did, or could have, resulted in injury, damage, environmental impact or loss. Or an occurrence that caused a breach of corporate policy, legislation or other requirement. The classification will be either: Minor, Significant, Major or Critical as defined in the Safety Incident Reference Chart or Environment Incident Reference Chart.

Investigation – Gathering of evidence for analysis of an incident with the intent of establishing root cause, contributing factors and providing recommendations for preventing future incidents.

Near Miss – An incident that could have, but did not, result in unintended harm or damage.

Privileged and Confidential – A document which is produced for the purpose of using its contents to obtain legal advice or to aid in the conduct of litigation or defence of a regulatory action is privileged and must be kept confidential.

Recommendation – A potential solution issued as part of an investigation to prevent future incidents and used to develop corrective actions.

Root Cause – The most basic cause (or causes) that can reasonably be identified that management has control to fix and, when fixed, will prevent (or significantly reduce the likelihood of) the problem's recurrence.

Verification of Effectiveness – The process by which you confirm that an implemented Corrective Action or Preventative Action has removed or reduced the causes(s) of an identified incident/non-conformance.

4 REQUIREMENTS

4.1 EMPLOYEES

Employees shall:

- Report all incidents
- Complete incident investigation forms as requested
- Cooperate with the Incident Investigation Processes including participating in investigation interviews.

4.2 CONTRACTORS

Contractors shall:

- Report all incidents to the designated SaskPower Contract Administrator and Project Manager and to regulators, as required
- Investigate their own incidents and provide a copy of the investigation report to SaskPower.
- Report serious injuries, fatalities and dangerous occurrences to the Ministry of Labour Relations and Workplace Safety
- Report regulated environmental incidents/impacts to Environment Canada, Saskatchewan Ministry of Environment and/or any other applicable regulatory agency
- Provide SaskPower with copies of communications with regulators regarding incidents.
- Co-operate with SaskPower investigators
- Ensure corrective or preventative actions are completed on schedule and are fully implemented.
- Verify the effectiveness of corrective actions and provide updates on corrective actions when requested.

4.3 CORRECTIVE ACTION TEAM

The Corrective Action Team:

- Is formed for Major and Critical incidents at the discretion of the Incident Owner to develop appropriate corrective or preventative actions in response to the recommendations outlined in the investigation report

- Establish how the corrective and preventative action effectiveness will be verified.

4.4 SAFETY AND ENVIRONMENT DEPARTMENTS

The Safety and Environment departments shall:

- Own the Incident Investigation Processes and Incident Reference Charts
- Provide administrative and technical support for the application of the Incident Investigation Processes for all incidents
- Assign a Lead Investigator for Major and Critical incident investigations
- Provide support to operational staff that lead Minor and Significant investigations as requested
- Analyze incident data for trends and communicate trends and statistics to internal stakeholders
- Communicate findings and information from incident investigations in bulletins
- Monitor completion of corrective or preventative actions and verification of effectiveness
- Provide support in relation to safety or environment regulatory requirements relevant to incidents
- Maintain confidentiality of records including the Formal Investigation Report as appropriate
- Ensure that the business area reports serious injuries, fatalities and dangerous occurrences to the Ministry of Labour Relations and Workplace Safety
- Ensure that regulated environmental incidents/impacts are reported to Environment Canada, Saskatchewan Ministry of Environment and/or any other applicable regulatory agency

4.5 EXECUTIVE

SaskPower's Executive shall:

- Monitor incidents and investigations for their respective areas of responsibility
- Participate in the development of actions to correct any organizational deficiencies identified in investigation reports
- Allocate resources to support investigations and implementation of actions

4.6 DIRECTORS

SaskPower's Directors shall:

- Be assigned as the Incident Owner for Major (Environment Incidents only) and Critical incidents in their area of responsibility and may assign a Manager as a designate
- Participate in Major and/or Critical incident investigations and ensure staff are meeting responsibilities described in this Standard
- Discuss the details of incidents with legal counsel, as required

4.7 MANAGERS

SaskPower's Out of Scope Managers or their designate shall be:

- Assigned as the Incident Owner for Minor, Significant and Major Safety incidents and may be designated by Director for Critical incidents in their area of responsibility or assign designate
- Assigned as the Incident Owner for Minor and Significant Environment Incidents and may be designated by Director for Major and Critical Environment Incidents in their area of responsibility or assign designate.
- Assigned as the Lead Investigator for any Minor or Significant incident investigations

4.8 INCIDENT OWNER

The incident owner is responsible for the following:

- Accountable for the investigation and approves corrective actions that are created in response to recommendations arising from an investigation
- Own the incident that occurred in the assigned operational area of responsibility
- Act as the primary contact for the incident and development of corrective actions
- Assign staff to the Corrective Action Team (if required)
- Review draft investigation reports prior to being finalized for Major and Critical level incidents
- Responsible to create the investigation report for Minor and Significant level incidents
- Approve all developed corrective or preventative actions upon completion of the investigation

- Accountable for ensuring the completion of corrective actions resulting from the investigation
- Maintain confidentiality of records including the Formal Investigation Report, if required

4.9 LEAD INVESTIGATOR

The Lead Investigator is responsible for the following:

- For Minor and Significant incidents shall be the Incident Owner or designate.
- For Major and Critical incidents shall be assigned from the Safety or the Environment Department depending on if the severity is higher based on the Environmental or Safety Reference Chart
- The Lead Investigator is not required to be a subject matter expert in the operational area where the incident occurred
- Ensure that supporting subject matter experts are identified prior to the start of the investigation.
- Set the terms of reference for the investigation with the Incident Owner, including communication expectations
- Act as the primary contact for the investigation
- Work with the Incident Owner to set the investigation team and coordinate the investigation team, when appropriate
- Conduct interviews and analyze evidence
- Identify root causes and provide recommendations based on evidence gathered throughout the investigation.
- Hold a formal review of the incident and present findings and recommendations to the Incident Owner (and Corrective Action Team, if applicable) and participate on the Corrective Action Team if/when requested to do so.
- Have the authority for making any reasonable recommendations they believe will assist in preventing future incidents. This is to ensure lead investigator independence and to promote openness and transparency in incident investigations.

4.10 OCCUPATIONAL HEALTH COMMITTEES (OHC)

Occupational Health Committees shall:

- Participate in investigations as required as per the Safety Incident Reference Chart
- Participate in other investigations at the request of the Incident Owner
- Have access and review incident reports and investigations for all health and safety incidents at regular meetings with the exception of those marked privileged and confidential

4.11 COMMUNICATIONS, HUMAN RESOURCES AND LABOUR RELATIONS, LEGAL

Communications, Human Resources and Labour Relations and Legal departments shall have the roles and responsibilities as indicated in the Incident Reference Charts.

5 IMPLEMENTATION

The requirements of this standard take effect six months after the approval date.

6 RESOURCES

6.1 INTERNAL RESOURCES

Related Policies:	Hazard/Aspect and Risk Assessment Policy
References:	Safety Incident Reference Chart Environment Incident Reference Chart Safety Incident Investigation Process Environment Incident Investigation Process

6.2 EXTERNAL RESOURCES

Related Legislation:	<i>The Saskatchewan Employment Act</i> <i>The Occupational Health and Safety Regulations, 2020</i>
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Ownership

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