

## Incident Reporting and Investigation Policy

### 1.0 POLICY

SaskPower is committed to maintaining a workplace in which health, safety, environment and security is part of everything we do and is as important as anything we do. One expression of our commitment to health, safety, environment and security is the Incident Reporting and Investigation Policy. This policy supports SaskPower's Health, Safety and Environment Policy.

It is a SaskPower policy that:

- Incidents are categorized in accordance to the SaskPower Incident Reference Chart.
- Incidents that did or could have resulted in a dangerous occurrence, injury, damage, loss, adverse environmental impact or security impairment shall be reported and investigated in a timely manner.
- All internal and regulatory reporting requirements are met/exceeded.
- The investigation shall identify root causes and contributing factors.
- Corrective or preventive actions shall be identified in accordance with the Occupational Health and Safety Assessment Specification (OHSAS) 18001, International Organization for Standardization (ISO) 14001, North American Electric Reliability Corporation (NERC) and the Critical Infrastructure Protection (CIP) and implemented in order to prevent recurrence.

### 2.0 PURPOSE

The purpose of this policy is to ensure incidents are effectively managed. This is done by identifying actions and using that information to prevent similar actions from reoccurring.

### 3.0 APPLICATION/EXCEPTIONS

This policy applies to all SaskPower facilities/operations, employees, contractors and visitors. There are no exceptions to SaskPower's Incident Reporting and Investigation Policy.

### 4.0 DEFINITIONS

#### 4.1. CIP

The Critical Infrastructure Protection is a concept that relates to the preparedness and response to serious incidents that involve the critical infrastructure of a corporation.

#### 4.2. Dangerous Occurrence

An occurrence that does not result in, but could have resulted in an incident that causes the death or serious injury to an employee.

#### **4.3. Environmental Impact**

Any change to the environment whether adverse or beneficial, wholly or partially resulting from an organization's environmental aspects.

#### **4.4. Incident**

A work related event in which an injury, ill health (regardless of severity), fatality, adverse environmental impact or security impairment occurred, or could have occurred.

#### **4.5. ISO 14001**

A series of criteria published by the International Organization for Standardization relating to the implementation of an Environmental Management System.

#### **4.6. Learning Management System (LMS)**

Is a software platform that provides a strategic solution for planning, delivering and managing all learning events within an organization.

#### **4.7. Management System**

A management system is a set of interrelated elements used to establish policy and objectives and to achieve those objectives. A management system includes organizational structure, planning activities, responsibilities, practices, procedures, processes and resources.

#### **4.8. NERC**

A standards program developed by the North American Electric Reliability Corporation that ensures the reliability of bulk power systems by developing quality standards in a timely manner that are effective, clear, consistent and technically sound.

#### **4.9. OHSAS 18001**

International Occupational Health and Safety Management System Specifications published by the Occupational Health & Safety Advisory Services.

#### **4.10. Security Impairment**

A lapse in any physical and/or cyber security policies and rules.

## **5.0 ROLES AND RESPONSIBILITIES**

### **5.1. SaskPower Divisions shall:**

- Implement the Incident Reporting and Investigation Standard in accordance with requirements defined within the SaskPower Safety and Environment Management Systems and Enterprise Security Procedures.
- Monitor the Incident Reporting and Investigation Policy, Standard and Process for their respective areas of responsibility.

### **5.2. Corporate Safety shall:**

- Develop, implement and monitor compliance with the Incident Reporting and Investigation Policy, Standard and Process.
- Provide centralized leadership to the incident response and investigation if the incident has a safety component.
- Provide administrative and technical support for the application of the Incident Reporting and Investigation Policy as required for health and safety incidents.
- Provide centralized distribution of incident statistics and related key indicators, and conduct regular trending and analysis for health and safety incidents.
- Communicate information and findings for health and safety incidents.
- Ensure that serious injuries, fatalities and dangerous occurrences are reported to the Ministry of Labour Relations and Workplace Safety.
- Verify the effectiveness of the corrective and preventative actions for health and safety incidents.
- Conduct audits for conformance to the policy for health and safety.
- Allocate resources to the investigation process where applicable.
- Ensure safety incidents are effectively managed based on internal/regulatory requirements.

### **5.3. Corporate Environment shall:**

- Develop, implement and monitor compliance with the Incident Reporting and Investigation Policy, Standard and Process.
- Provide centralized leadership to the incident response and investigation if the incident has an environmental component.
- Provide administrative and technical support to the application of the Incident Reporting and Investigation Policy as required for environmental incidents.
- Provide centralized distribution of incident statistics and related key indicators and conduct regular trending and analysis for environmental incidents.
- Communicate information and findings for environmental incidents.
- Ensure that reportable environmental incidents/impacts are reported to Environment Canada, Ministry of Environment and/or any other applicable regulatory agency.
- Verify the effectiveness of the corrective and preventative actions for environmental incidents.
- Conduct audits for conformance to the policy for environmental aspects.
- Allocate resources to the investigation process where applicable.
- Ensure environmental incidents are effectively managed based on internal/regulatory requirements.



#### **5.4. Enterprise Security shall:**

- Develop, implement and monitor compliance with the Incident Reporting and Investigation Policy, Standard and Process.
- Be integrated with investigations as required.
- Provide centralized leadership to the incident response and investigation if the incident has a security component.
- Provide administrative and technical support to the application of the incident investigation policy as required for security incidents.
- Provide centralized distribution of incident statistics and related key indicators and conduct regular trending and analysis for security incidents.
- Communicate information and findings for security incidents.
- Verify the effectiveness of the corrective and preventative actions for security incidents.
- Conduct audits for conformance to the policy for security aspects.
- Allocate resources to the investigation process where applicable.
- Ensure security incidents are effectively managed based on internal/regulatory requirements.

#### **5.5. Executive shall:**

- Monitor the Incident Reporting and Investigation Process for their respective areas of responsibility.
- Cooperate, stay informed and provide resources from respective areas to increase effectiveness of investigations.
- Allocate resources to ensure the implementation of incident corrective/preventive actions.

#### **5.6. Management shall:**

- Ensure the required information is maintained in the Safety and Environment Management Systems and Enterprise Security.
- Cooperate and ensure participation in the investigation.
- Evaluate and cooperate in recommendations stemming from the incident investigation and initiate corrective or preventative actions as required.
- Ensure corrective and preventative actions have been followed.
- Participate and fully cooperate in the incident investigation as required.

#### **5.7. Contractors shall:**

- Report all incidents in accordance with the SaskPower Incident Reference Chart to their contractor administrators.
- Investigate all incidents as required and make results available to SaskPower contract administrators upon request.
- Refer to Contractor Health, Safety, Environment and Security Management Policy, Standard and Procedures.
- Report on the progress of investigations and corrective actions.



#### **5.8. Employees shall:**

- Report all incidents in accordance with the SaskPower Incident Reference Chart.
- Assist with completion of the incident report form.
- Cooperate during the incident investigation process.
- Participate in an incident investigation as required.

#### **5.9. Occupational Health Committees (OHC) shall:**

- Be advised of all injuries and fatalities as required by the OH&S legislation.
- Participate in investigations when required.
- Participate in other investigations at the request of the supervisor or as defined in the local OHC Terms of Reference.
- Have access to incident reports and investigations for all health and safety incidents.

#### **5.10. Communications shall:**

- Lead media contacts if required.

### **6.0 TRAINING**

- Training requirements shall be identified and managed in accordance with the Learning Management System.

### **7.0 RESOURCES**

Corporate Safety, Environment and Enterprise Security shall assist in all aspects of complying with this policy, as outlined or requested.

### **8.0 REFERENCES**

#### Saskatchewan

- The Saskatchewan Occupational Health and Safety Regulations, 1996  
Safety

#### Safety (located on SafetyNet)

- Incident Reporting and Investigation Standard
- Incident Management Process
- Incident Reference Guide
- Incident Reference Chart
- Contractor Health and Safety Management Program
- OHSAS 18001 Elements 4.5.3.1 and 4.5.3.2
- ISO 14001 Element 4.5.3

#### Environment

- EMS Workstation (Master List of Legal and Other Requirements)  
Enterprise Security
- Not Applicable at this time