



Incident Reporting and Investigation Standard

1.0 PURPOSE

This standard supports the Incident Reporting and Investigation Policy and it ensures that all SaskPower incidents are reported and investigated in accordance with the Incident Reporting and Investigation Process and utilizing the Incident Reference Chart.

2.0 APPLICATION/EXCEPTIONS

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

3.0 DEFINITIONS

3.1 Critical Incident – Enterprise Security

An explosion causing widespread outage or an uncontained cyber event resulting in a widespread outage.

3.2 Critical Incident – Environment

An incident, regulatory non-compliance and/or breach of SaskPower Policies, Standards, Procedures which could result in any of the following:

- Extreme adverse effects to the local community or environment (public or private property);
- Some adverse effects beyond the local community or environment;
- Associated financial implications greater than \$500,000;
- High impact to SaskPower's regulatory or public reputation.

High impact to reputation is defined as negative national or international news coverage of protests or irreparable damage to reputation (i.e. investigation from a regulator with a probability that charges/fines will be laid).

3.3 Critical Incident – Safety

Includes a personal critical or permanent injury, fatality, high potential or dangerous occurrence, near miss and/or physical violence by a member of the public that resulted in an injury or fatality. It is also defined as a vehicle incident with damage exceeding \$25,000, or a vehicle incident where probability of litigation exists, or the overturning of a vehicular unit. Included in this definition is an incident where SaskPower property and equipment damage exceeds \$25,000.

3.4 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.



3.5 Investigation

Is an analysis of all incidents with the intent of establishing root cause and corrective/preventive measures.

3.6 Learning Management System (LMS)

A learning management system is a set of interrelated elements used to establish policy and objectives and to achieve those objectives with respect to learning.

3.7 Major Incident – Enterprise Security

Is defined as an explosion or sabotage to equipment causing an outage, a threat of a physical attack or theft over \$100,000 or a cyber event resulting in limited containment and isolated outages.

3.8 Major Incident – Environment

An incident, regulatory non-compliance and/or breach of SaskPower Polices, Standards, Procedures which could result in any of the following:

- Moderate adverse effects to the local community or environment (public or private property);
- Extreme adverse effects to SaskPower owned property;
- Associated financial implications greater than \$100,000 and less than \$500,000;
- Medium impact to SaskPower's regulatory or public reputation.

Medium impact to reputation is defined as negative local or regional news coverage of protests and/or complaints to/concerns from regulators/authorities requiring management involvement (i.e. investigation with a possibility that a warning letter/notice of violation will be issued). Multiple major occurrences may constitute a critical incident.

3.9 Major Incident – Safety

Includes a personal injury (long-term recovery and/or medical treatment), verified exposure to a toxic substance or threatened violence by a member of the public that could have resulted in an injury, or a near miss (medium potential for harm). It is also defined as a vehicular incident where damage ranges from \$10,000 to \$25,000, or when SaskPower property or equipment damage ranges from \$10,000 to \$25,000.

3.10 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.

3.11 Minor Incident – Enterprise Security

Includes the following:

- Thefts from trucks or plants <\$4,000.

- Trespass.
- A cyber event resulting in infection of a single computer.

3.12 Minor Incident – Environment

An incident, regulatory non-compliance and/or breach of SaskPower Polices, Standards, Procedures which could result in any of the following:

- Unlikely to cause adverse effects;
- Associated financial implications less than \$25,000;
- No impact to SaskPower's reputation.

Multiple minor occurrences may constitute a significant incident.

3.13 Minor Incident - Safety

Includes a personal near miss (with low potential for harm), first aid injury, a vehicular near miss or incident where damage is less than \$4,000. It is also defined as SaskPower property or equipment incident where damage is less than \$4,000.

3.14 Near Miss – Safety, Enterprise Security and Environment

An incident that could have, but did not, result in unintended harm or damage. A near miss can be classified as critical, major, significant or minor.

3.15 Serious Injury

An injury that causes or may cause the death of a worker or will require a worker to be admitted to a hospital as an in-patient for 24 hours or more.

3.16 Significant Incident – Enterprise Security

Includes the following:

- A bomb threat.
- Cashiers robbed (theft <\$10,000).
- A cyber event resulting in infections spreading on multiple computers.

3.17 Significant Incident – Environment

An incident, regulatory non-compliance and/or breach of SaskPower Polices, Standards, Procedures which could result in any of the following:

- Some adverse effects to the local community or environment (public or private property);
- Associated financial implications greater than \$25,000 and less than \$100,000;
- Low impact to SaskPower's regulatory or public reputation.

Low impact to reputation is defined as complaints to the company and/or second-hand knowledge of public concern. Multiple significant occurrences may constitute a major incident.



3.18 Significant Incident – Safety

Includes a minor injury (immediate or short term recovery and/or medical treatment), suspected exposure to a toxic substance, the threat of violence from member of the public or near miss (medium potential for harm). This definition also includes a vehicular near miss with damage ranging from \$4,000 to \$10,000. It is also defined as SaskPower property or equipment damage is ranging from \$4,000 to \$10,000.

4.0 ROLES AND RESPONSIBILITIES

4.1 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.

4.2 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.

4.3 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.

4.4 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.

4.5 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.

4.6 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.

4.7 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.



4.8 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.

4.9 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.

4.10 Communications shall:

- Lead media contacts if required.

5.0 METHOD / PRACTICE

5.1 Incident Reporting

- For incident reporting, refer to the Incident Reporting and Investigation Policy, Standard and Process and the Incident Reference Chart.
- The incident reporting process shall include:
 - Response to the incident.
 - Initial assessment of the incident (near miss, Minor, Significant, Major or Critical Incident).
 - Reporting the incident.

5.2 Incident Investigation

- For incident investigation, refer to the Incident Reporting and Investigation Process.
- For incident investigations, members of the investigation team may include Safety, Environment and Enterprise Security and other subject matter experts as required.
- Establish an Investigation Team with the appropriate resources for the incident type.
- The incident investigation shall include:
 - Incident assessment.
 - Investigation resources / team.
 - Information collection.
 - Developing appropriate recommendations.
 - Reporting and communication.
 - Meeting timelines.
 - Verification of completion.
 - Record retention in the Safety and Environment Management Systems and within the Enterprise Security Department.



6.0 RESOURCES

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

7.0 REFERENCES

Saskatchewan

- The Occupational Health and Safety Regulations, 1996.

Safety (located on SafetyNet)

- Incident Reporting and Investigation Policy
- Incident Management Process (IMP)
- IMP Reference Chart
- IMP Flow Chart
- IMP Forms
- IMP Communication Guide

Environment

- EMS Workstation (Master List of Legal and Other Requirements)

Enterprise Security

- Not Applicable at this time

Third Party

- CEA Standard for Major Near Miss Incident Statistics Reports
- CEA Standard for Recording and Measuring Occupational Injury / Illness