

CS ENERGY PROCEDURE FOR
INCIDENT MANAGEMENT
CS-IM-01

Responsible Officer: Principal Advisor, Health & Safety

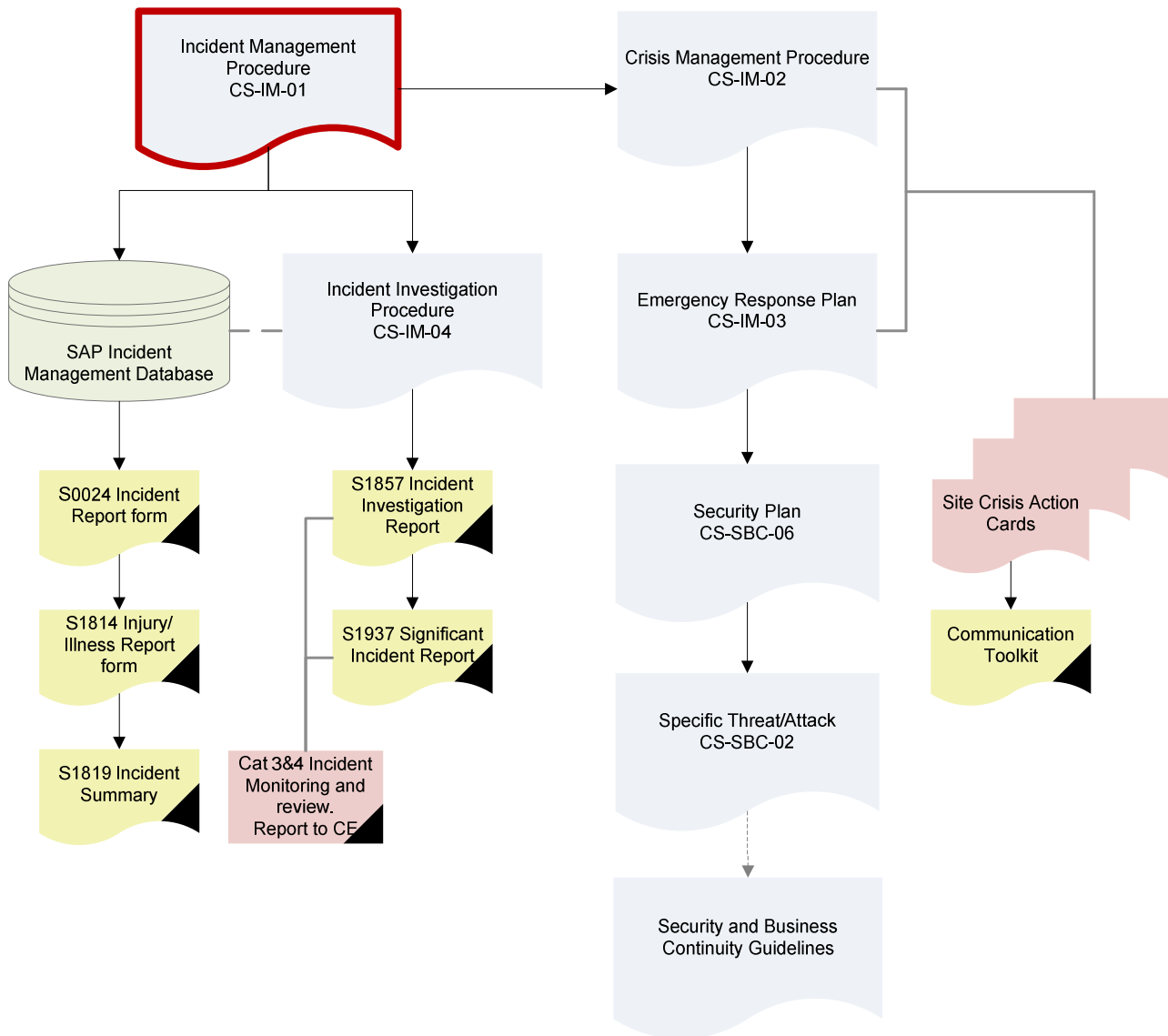
Approved: General Manager Operations

Contents

Procedure Overview	2
Procedure Note	2
1. Purpose	3
2. Scope	3
3. Incident Definition and Category Classifications	3
4. Incident Management Process	4
5. Roles and Responsibilities	4
6. Immediate Actions	5
7. Incident Reporting.....	7
8. Incident Review by Supervisor	8
9. Incident Review by Functional Site Coordinator.....	9
10. Incident Notification	10
11. Incident Investigation.....	13
12. Management Review of Incident Investigation	16
13. Action Management	17
14. Incident Close Out and Completion	19
15. Records, Reports and Forms	20
16. Confidentiality and Information Management.....	20
17. Consultation	21
18. Training	21
19. Audit and Review Process	22
20. Definitions.....	22
21. References.....	28
Appendix 1 - CS Energy Incident Category Matrix	29
Appendix 2 - Incident Management Process Flow.....	30
Appendix 3 - Internal Notification.....	31
Appendix 4 - External Notification	32
Appendix 5 - Incident Investigation Leader Matrix (Person who conducts the investigation).....	33
Appendix 6 - Gas Safety Incident (Applies to gas incidents only)	34
Appendix 7 - Mine Safety Incidents	35
Appendix 8 - Roles and Responsibilities.....	36

Issue Date	Nature of Changes	Originator
29 Sep 2009	Draft for review	D Clarke
17 Dec 2009	Approved for Issue	D Clarke
16 July 2010	Inclusion of section 11.5 Internal Legal Counsel Intervention	B Johnson

Procedure Overview



Procedure Note

This version of the CS Energy Incident Management procedure is an interim procedure until final consultation can be completed. The interim period will commence on the 17.12.2009 and will continue until 01.03.2010. This version of the CS Energy Incident Management procedure will supersede the previous version of the CS Energy Incident Management procedure unless otherwise communicated.

1. Purpose

To define the requirements for the management of incidents that occurs within CS Energy. The management of incidents include immediate actions, notification, reporting, recording, investigation and corrective action associated with health & safety, environmental, operational, security, information technology and fraud incidents.

Management actions taken in response of an incident are to initially protect and minimise the impact on persons, environment, facilities, production and the off-site community. Corrective measures implemented following an incident reduce the likelihood of reoccurrence.

2. Scope

This procedure applies to all health, safety, environmental, operational and security incidents occurring at all sites managed, operated and/or maintained by CS Energy (includes incidents involving contractors), and/or involving CS Energy property or personnel.

All incidents that occur at CS Energy workplaces are to be reported to a CS Energy supervisor or representative. This enables a timely response to be implemented and suitable controls to be put in place to minimise harm or damage to plant or equipment.

3. Incident Definition and Category Classifications

[Appendix 1](#) – Incident Category Matrix summarises the four incident categories and the notification, reporting and investigation requirements. The CS Energy Risk Management Strategy and Risk Matrix (refer to the [Risk Management Procedure](#)) can be used as a guide to assess the level of risk and subsequent Incident Category outlined below.

3.1 Definition of an Incident

An unplanned event which causes or has the potential to cause injury, illness, damage to plant or the environment, theft, fraud, breach of the Code of Conduct or public interest.

3.2 Incident Types

CS Energy groups its incident under 4 different functions. Refer to [Appendix 1](#) – Incident Category Matrix for further information.

1. Health & Safety	Any incident that has an impact or has the potential to impact CS Energy employees, contractors or external persons during CS Energy operations
2. Environment	Any incident that has an impact or has the potential to impact the environment on or off CS Energy property
3. Operations	Any incident that causes or has the potential to cause disruption to generation or the operation of any CS Energy power station.
4. Security	Any incident that causes or threatens to cause damage to CS Energy property or interrupts CS Energy business operations.

3.3 Category Classifications

CS Energy Category classifications are classified below. Refer to [Appendix 1](#) – Incident Category Matrix for further information.

Category 1	Category 1 incidents are of a minor localised nature and are controlled immediately by the site
Category 2	Category 2 incidents may require specialist assistance and are controlled and managed by the site.
Category 3	Category 3 incidents require notification to the Corporate Stakeholders as relevant. These incidents may be reportable to the <i>Regulatory Authorities</i> , require specialist assistance or impact off-site
Category 4	Category 4 incidents impact adversely on people, plant, environment, production and / or the offsite community and would normally initiate the crisis response management plan

4. Incident Management Process

CS Energy’s incident management process is displayed in the flowchart below:

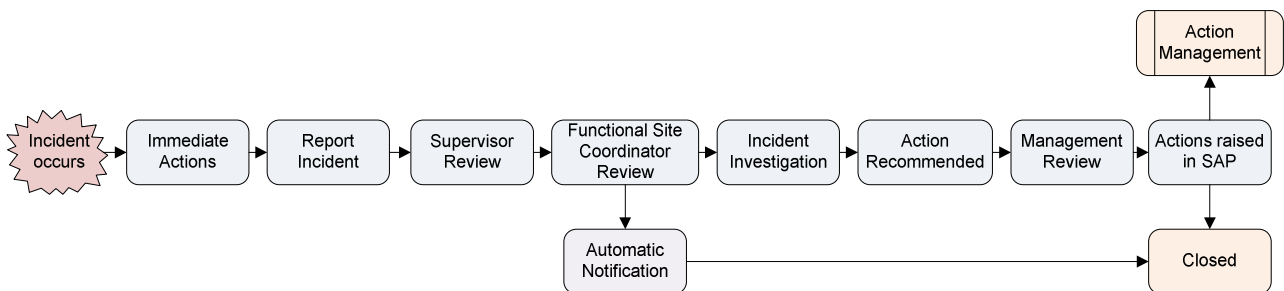


Figure 1 - Incident Management Process Flow

Refer to [Appendix 2](#) – Incident Management Process for a detailed workflow diagram of the incident management process. The management process has a number of sequential steps that requires a unit of work from a person responsible. These steps include:

- [Immediate actions](#)
- [Incident report and data entry into the incident management database](#)
- [Review by Supervisor responsible for area or workers](#)
- [Review by Functional Site Coordinator](#)
- [Incident Notification](#)
- [Incident investigation](#)
- [Action management](#)
- [Incident close out and completion](#)

5. Roles and Responsibilities

The roles and responsibilities of each step in the incident management process are outlined in the following sections of this document. Refer also to [Appendix 8](#) for a list of the roles and their responsibilities.

6. Immediate Actions

When an incident occurs, the highest priority action is to secure the area immediately to ensure damage from the event to people, environment, property or critical systems are mitigated. Where possible, appropriate actions must be taken to ensure the incident does not escalate.

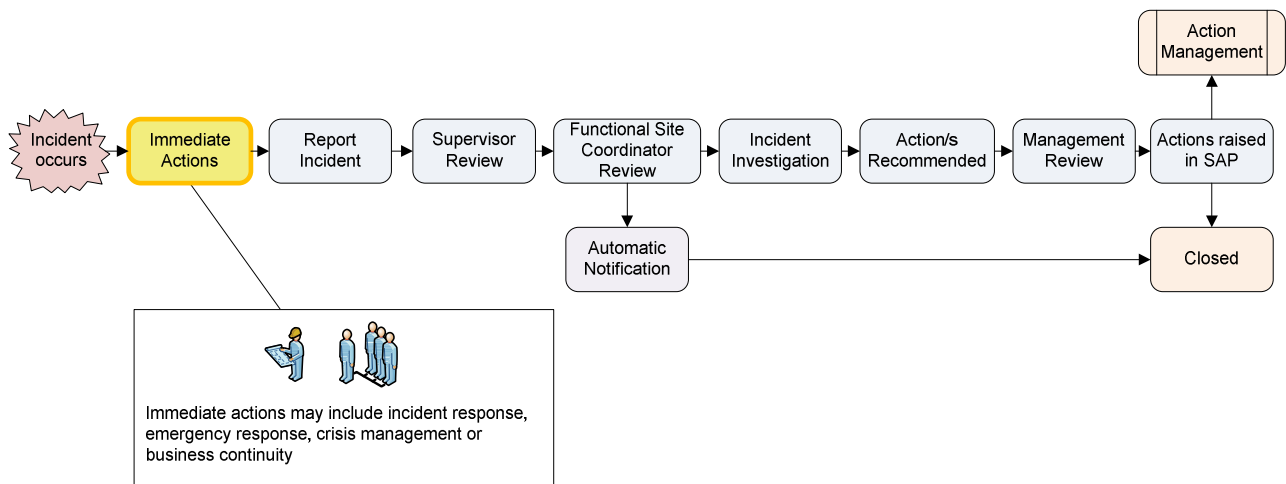


Figure 2 - Immediate actions following an incident

6.1 Incident Response

Initial incident response may require a number of resources from the site. As each individual incident will be different site resources are to be used effectively to mitigate harm and damage. Resources to be used may be:

Emergency Response Team	First Aid Personnel	Competent persons in high voltage rescue
Plant operators	H&S Advisers	Competent persons in basic fire fighting
Environmental Advisers	Security Advisers	Mobile plant and equipment operators
Site Management team	Occupational Nurse	Supervisors and OIC's

6.2 Emergency Response

Emergency response to an incident must be initiated in accordance with site procedures. Protection of personnel is the first priority. Action should be taken to contain the effects of the incident and/or make safe the plant, equipment or building where the incident occurred. Emergency response teams are trained in the following areas:

Incident Management	Advanced fire fighting	Rescue from heights
Rescue from confined space	Advanced first aid	HAZCHEM response

6.3 Crisis Management

The purpose of CS Energy's Crisis Management system is to protect CS Energy from the corporate consequences of a major business interruption, whether sudden (emergency) or creeping (issues generated) in nature. During major business interruption scenarios, there is invariably a demand for rapid and effective communications, commercial and policy decision-making and strategic planning. These are beyond the resources of emergency/operational response teams.

Site crisis teams and the corporate crisis team will convene when an incident has potential to escalate or has escalated causing catastrophic consequences as per CS Energy's consequence matrix.

Refer to CS Energy's procedure for Crisis Management (CS-IM-2) for further information.

6.3 Business Continuity

Business continuity planning meetings may be held in response to an unplanned event that will require a strategic overview to ensure operations return to normal as quickly as possible. The incident has the potential to severely affect the continual operation of CS Energy sites or CS Energy as a business.

Business continuity meetings may/should commence when significant damage/impact has occurred in a manner where there is low risk of escalation. Refer to section 3.4 of the Crisis Management (CS-IM-2) procedure for further information.

Business continuity plans consist of 2 phases:

1. Critical Function Recovery: and
2. Ongoing strategic recovery and loss mitigation.

6.4 Relevant Procedures

Refer to the following table for procedures to be used in conjunction

Procedure	Overview
Site-based Emergency Response procedures	Guideline for the ERT to respond to credible emergencies
Incident Investigation (CS-IM-4)	Guideline for conducting incident investigations, investigation report writing and the contents of an investigation kit
Crisis Management Plan (CS-IM-2)	Incident (crises) impacting adversely on people, plant, environment, operations and /or the offsite community
Specific Threat/Attack (CS-SBC-02)	A specific threat or attack on a site that is classified as a Category 4 security incident
Handling Media Enquiries (CS-COMMS-02)	Incident that affect members of the public or attract or have the potential to attract media attention
Workplace Rehabilitation and Workcover Claims (CS-OHS-04)	Personal injury/illness that requires rehabilitation
Reporting and Treatment required as a result of an electrical incident (CS-OHS-5)	Incidents involving electric shocks
Specific Threat/Attack (CS-SBC-02)	Terrorist acts, bomb threats and specific threats to CS Energy
Security Plan (CS-SBC-06)	Security plan for CS Energy Sites
Incident Report Form (S0024)	Form to record the details of an incident
Injury/illness Report Form (S1814)	Form to record and injury or illness suffered by an employee or Contractor resulting from an in the course of their in employment.

7. Incident Reporting

It is integral that every incident is reported immediately in order for the incident to be managed appropriately. The flowchart below details the requirement for the person/s involved in the incident to notify their Supervisor or the Supervisor of the area or work team. The information must then be raised in SAP to kick off the management process.

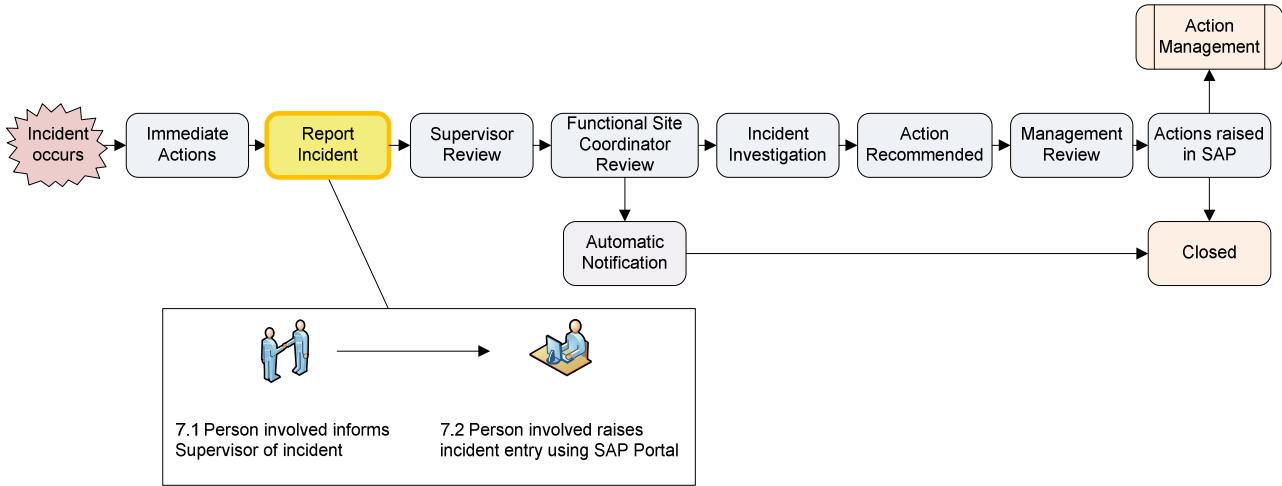


Figure 3 - Report Incident work item

7.1 Communication

The person involved, eye witness or injured person must report the incident immediately to CS Energy. A CS Energy employee shall verbally report the incident to their Supervisor or Manager-One-Removed. A Contractor or Visitor shall report the incident to their contract supervisor or their CS Energy contact.

7.2 Reporting an incident entry in the Incident Management Database

Following consultation with the Supervisor or CS Energy contact, the person involved is to raise an incident entry in Incident Management Database in the SAP Portal. The information required to be entered is:

- Date of incident
- Time of incident
- Work area where the incident occurred
- Incident category
- Incident Type
- People involved
- Description of the incident
- Incident specific details
- Immediate actions taken

SAP Workflow

→ The Supervisor of the person creating the incident entry (or specified person) will receive a workflow notification outlining the details on the incident.

Note: A paper system is available to document the incident details if the SAP system is not available. The incident report form is FORM S0024.

8. Incident Review by Supervisor

The Supervisor that is responsible for the area where the incident occurred or the person/s involved in the incident shall review the incident entry that has been raised in the incident management database. The incident entry can be reviewed when the specified Supervisor receives the workflow notification through the SAP workflow (refer to Figure 4 below).

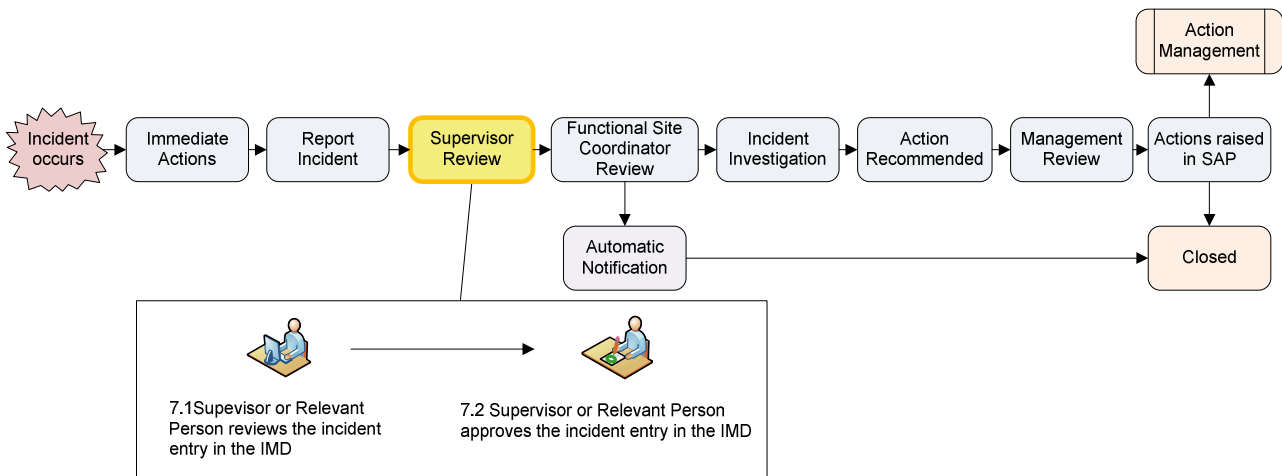


Figure 4 - Review by Supervisor work item

8.1 Communication

The Supervisor that is responsible for the area where the incident occurred or the person/s involved in the incident shall where possible communicate or receive a report of the incident to ascertain the details of the event. The details of the incident shall be accurately represented in the incident management database.

8.2 Supervisor review of the incident in the Incident Management Database

The specified Supervisor of the incident shall review the information contained in the incident entry in the Incident Management Database and declare that it is sufficient and accurate. The information required to be reviewed is the:

- Date of incident
- Time of incident
- Work area where the incident occurred
- Incident category
- Incident Type
- People involved
- Description of the incident
- Incident specific details
- Immediate actions taken

SAP Workflow

→ The Functional Site Coordinator of that incident type (H&S, ENV, OPS & SEC) will receive workflow notification message to conduct a review of the incident details, appoint an investigation leader and action a notification of the incident depending on the category.

Note: A paper system is available to document the incident details if the SAP system is not available. The incident report form is FORM S0024 is to be signed off by the Supervisor.

8.3 Escalation of Incident If Review is not completed

The incident will be escalated to the next level in the organisation structure if the work item is not progressed in the workflow. The recipient of the workflow will be required to review the incident as previously specified. The follow matrix provides the timeframes for escalation.

Incident Category	Timeframe for escalation
Category 1	7 days (escalated one level up in the organisational structure via a workflow message)
Category 2	5 days (escalated one level up in the organisational structure via a workflow message)
Category 3	1 day (escalated one level up in the organisational structure via a workflow message)
Category 4	1 day (escalated one level up in the organisational structure via a workflow message)

9. Incident Review by Functional Site Coordinator

The Functional Site Coordinator is the assigned coordinator for each incident type (H&S, ENV, OPS, SEC) for each site. The Functional Site Coordinator is responsible for critically reviewing the incident details, confirming the incident category and appointed an Investigation leader (for Category 3 and 4 refer to [Appendix 5](#)). The incident entry can be reviewed when the Functional Site Coordinator receives the workflow notification through the SAP workflow (refer to Figure 3 below).

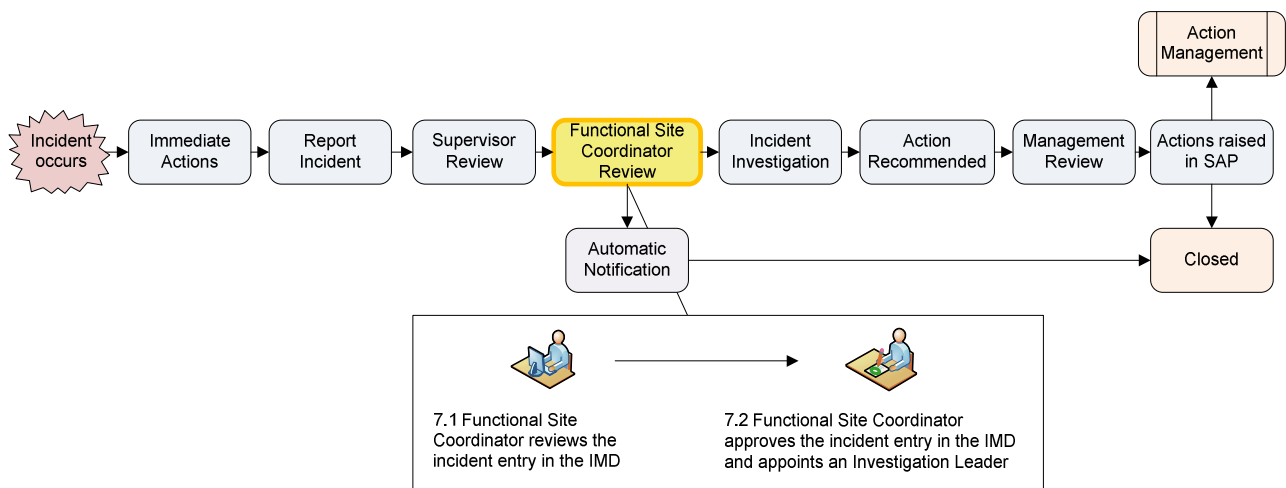


Figure 5 - Functional Site Coordinator work item

9.1 Who are Functional Site Coordinators?

The Functional Site Coordinators are employees who are responsible for each function type in which an incident can be categorised e.g. H&S – Site Health and Safety Coordinator. The responsibilities of this role include:

1. Reviewing the detail assigned to the incident
2. Confirming the incident category as per the category definition
3. Appoint an Investigation Leader to follow up the incident and conduct an investigation

Below is a matrix contains the Functional Site Coordinators for a site:

Incident Type	Functional Site Coordinator
Health and Safety	Site Health and Safety Coordinator
Environment	Site Environmental Coordinator
Operations	Site Operations Superintendent
Security	Site Health and Safety Coordinator

9.2 Communication

The Functional Site Coordinator of the incident is to review the details of the incident. Dependent on the incident that has occurred they may choose to liaise with the nominated Supervisor or the people involved in the incident. The Functional Site Coordinator is responsible for confirming the Category of the incident and nominating the Investigation Leader in SAP to investigate the details of the incident and recommend an action plan for improvement. The Functional Site Coordinator is to communicate with the nominated Investigation Leader prior to being assigned the role in Incident Management Database.

9.3 Functional Site Coordinator review in the Incident Management Database

The Functional Site Coordinator of the incident shall review the information contained in the incident entry in the Incident Management Database. Using the Incident Category Matrix ([Appendix 1](#)) the category of the incident is to be accurately confirmed. An Investigation Leader is to be appointed for the incident by the Functional Site Coordinator (for Category 3 and 4 refer to [Appendix 5](#)). This should be completed through consultation with the relevant parties. The Functional Site Coordinator is to confirm the following for every incident:

- Incident category
- Appoint Investigation Leader

SAP Workflow

→ The category of the incident will define the notification of the incident throughout CS Energy (refer to section 9). The assigned Investigation leader will receive a workflow message in their workflow inbox indicating the requirement to conduct the investigation. The investigation is to be conducted according to the incident category and the Incident Investigation procedure (CS-IM-04).

Note: A paper system is available to document the incident details if the SAP system is not available. The incident report form is FORM S0024 is to be signed off by the Supervisor.

10. Incident Notification

The primary purpose of an incident notification is to disperse information quickly to various groups around the organisation. The notification keeps people informed of the facts surrounding the incident. A number of actions may follow as a result of an incident e.g. measures put in place on other sites or an independent investigation launched for the incident. Figure 6 below, displays the stage at which an automatic notification message is distributed through SAP to individual's universal work list.

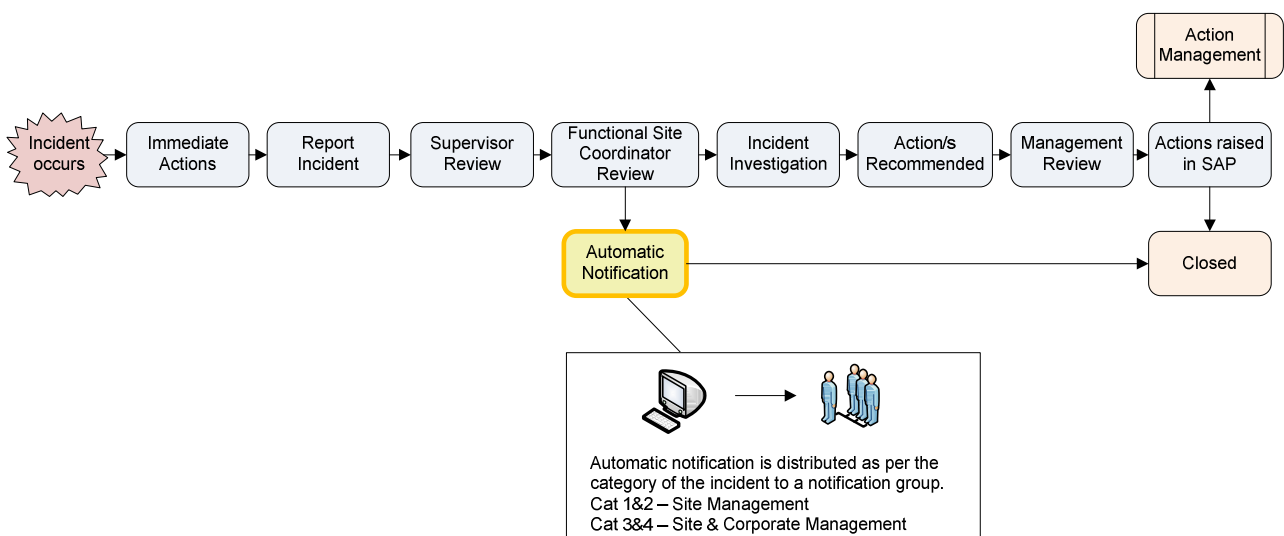


Figure 6 - Automatic incident notification work item

10.1 Communication

The internal notification process is used to alert relevant stakeholders of the incident status.

When making an immediate notification, if the person does not answer their phone, leave a message and then page them. Where the person does not respond within 30 minutes, contact the person they report to.

The SAP notification message contains initial information relating to the incident. Effectively, the incident entry that has been created in the incident management database is distributed to a management group for their information and perusal. **No details of the persons/companies involved are distributed with the notification workflow message.** SAP distributes this notification message automatically as demonstrated in Figure 6 above. The recipients of the notification workflow message are determined by the incident category.

10.2 Incident Notification Groups

The incident notification requirements are dependent on the category of the incident. **The table below assumes that the initial notification to the Supervisor and Functional Site Coordinator has occurred verbally immediately after the incident has occurred.** There may be additional requirement to verbally notify specific stakeholder for specific types of incidents.

The internal notification matrix and timeframes for notification are provided below:

Incident Notification Matrix (Documented Notification)					
	Recipients	Category 1	Category 2	Category 3	Category 4
		(Within 7 Days of occurrence)	(Within 5 Days of occurrence)	(Within 24 hours of occurrence)	(Within 24 Hours of occurrence)
Site Management Team	Site Manager	•	•	•	•
	Superintendents	•	•	•	•
	Site functional Coordinators	•	•	•	•
	Supervisors	•	•	•	•
Corporate Management Group	CEO			•	•
	General Managers			•	•
	Support Managers			•	•
	Functional Managers			•	•
	CEO PA			•	•
	Other Site Managers			•	•
	Other Site Superintendents			•	•

In addition of the above notification, verbal notification must be communicated for the following:

Immediate Verbal Notification				
	Category 1	Category 2	Category 3	Category 4
For a radiation incident notify the Site Radiation Safety Officer			•	•
For an electrical incident notify the Site Qualified Person/RPEQ (Electrical)			•	•
For a Dam Safety Deficiency or Incident notify the Corporate Dam Safety Officer			•	•
For a PTW incident notify the PTW Administrator			•	•
For an ICT incident, fraud, theft occurrence the Site Manager is to notify the ICT Manager/GM Finance			•	•
For a security breach the Site Manager is to notify the Local Police/Critical Infrastructure Liaison Officer			•	•

10.3 SAP Incident Notification (Documented Notification)

The incident notification groups shall receive a SAP notification workflow message to notify of the incident and provide its details. The details provide are below:

- Date of incident
- Work area where the incident occurred
- Incident category
- Incident Type
- Time of incident
- Incident classifications
- Description of the incident
- Immediate actions taken

SAP Workflow

→ The recipients will receive a notification of incident message. This message requires no further work.

Note: A paper system is available to document the incident details if the SAP system is not available. The incident summary report form is FORM S1819. This can be completed and sent off to the corporate incident notification group email.

10.4 SAP Incident Internal Notification Timeframe

The SAP incident notification is dependent on the time required for the Supervisor and Functional Site Coordinator to review the incident details created in the incident management database. The timeframe for incident notification are detailed:

Incident Category	Timeframe for Notification
Category 1	7 days (Notified to the Site Management Team)
Category 2	5 days (Notified to the Site Management team)
Category 3	1 day (Notified to the Site Management Team and Corporate Notification Group)
Category 4	1 day (Notified to the Site Management Team and Corporate Notification Group)

10.5 External Notification Requirements

Some incidents may, under governing legislation, be required to be reported to external Regulators or Stakeholders. Provisions in various pieces of Legislation that CS Energy must abide indicate the incident type or occurrence that qualifies for the incident to be notified to a specified Regulator. In some instances, it may be necessary to notify a number of external Regulators. Refer to [Appendix 4](#) for further information relating to the classification of incidents that will require notification to a Regulatory body.

10.6 Who is to notify externally?

The Functional Site Coordinator for each incident type shall ensure that the external notification (if any) is completed for each incident. External notification to a Regulator is governed by legislation imposed upon CS Energy. Most external notification requirement relate to high risk/high consequence incidents. The requirements for notification can differ. It is critical that the recommended notification process is followed within the time frame allocated. This may involved completing statutory forms. For further direction of who is responsible for external notification refer to [Appendix 4](#).

11. Incident Investigation

The incident investigation is the most critical step in identifying opportunity for improvement to reduce the chances of the incident occurring again. An incident investigation can be very complex or alternatively quite streamlined. It is dependent on the incident. An incident investigation shall be completed for every incident. The complexity of the incident investigation report will be congruent with the complexity and significance of the incident (i.e. category classification). Every incident investigation shall have an Investigation Leader appointed. Figure 7 below outlines the incident investigation step in the incident management process flow.

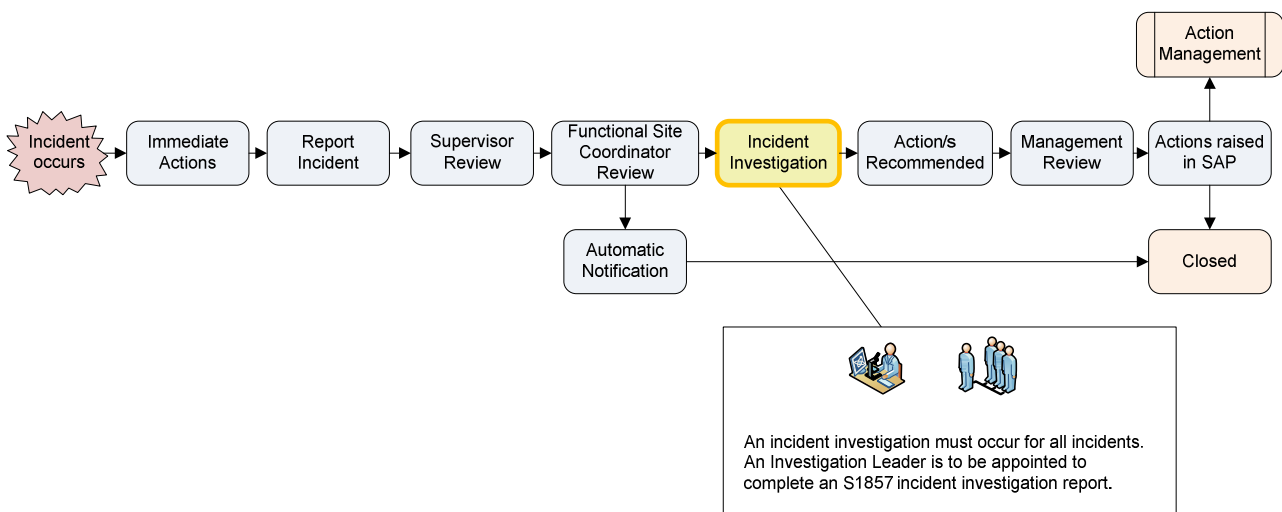


Figure 7 - Incident Investigation work item

11.1 Appointing the Investigation Leader for an Incident

The Functional Site Coordinator for the incident type (H&S, ENV, OPS & SEC) is to appoint the Investigation leader. This process shall occur when the Function Site Coordinator reviews the incident confirming the incident category. The Investigation Leader is to be informed verbally of their appointment and also allocated this role in the incident entry within SAP. The Investigation Leader will receive a workflow message which notifies the requirement to investigate the incident.

Category 3 and 4 incident investigations shall be led by Site Health & Safety drawing on functional expertise as necessary to conclude investigations. Corporate Health and Safety will undertake an

oversight responsibility to ensure that all incident investigations are carried out to a high standard and in line with industry best practice.

These functions will include:

- (i) Ensuring an effective structure and appropriate capabilities of the investigation team;
- (ii) Ensuring site line management accountability to report to the Chief Executive outcomes of all Category 3 and 4 incident investigations;
- (iii) Effecting a comprehensive monitoring and review function to ensure all Category 3 and 4 incident investigations are undertaken in accordance with safety investigation best practice and that recommendations are reasonable and relevant; and
- (iv) Effecting audit to ensure priority attention to incident investigation and make sure recommendations are completed.

Refer to [Appendix 5](#) for direction of appointing an Investigation Leader and/or Investigation team for an incident.

11.2 Structure of an Investigation Team

An investigation team should be employed to effectively investigate an incident. The investigation team formed will be determined by what type of incident and what specific area of expertise the investigation may require. An investigation team may constitute a minimum number of 2 people. CS Energy adopts a structured investigation methodology that assists in the identification of contributing factors the led to the incident occurring.

The investigation team for all Category 3 and 4 incident investigations shall consist of a minimum of two people. This will include the Site Health and Safety Coordinator as the Investigation Leader and the respective functional coordinator.

Additional members of the team shall be nominated by the Site Health and Safety Coordinator and functional coordinator and agreed with the Site Manager (Category 3 incidents) and the respective General Manager/s (Category 4 incidents). The number of team members shall be determined by the complexity of the investigation required.

The Site Health and Safety Coordinator is to report back to Corporate Health and Safety who are to ensure quality and exercise audit of recommendations

Refer to CS-IM-04 Incident Investigation for additional direction for forming an investigation team.

11.3 Incident Investigation

Investigating an incident requires an applied methodology to determine the basic cause and contributing factors of the incident. The details of the incident investigation must be completed using the Incident Investigation Report (S1857) form template. An Incident Investigation Report (S1857) shall be completed for all incidents that are classified as Category 2, 3 and 4. Refer to CS-IM-04 Incident Investigation for detailed information of the incident investigation methodology and requirements to conduct an investigation.

Investigations into unique incidents (e.g. security, theft, dam safety) shall utilise the S1857 form with suitable changes to suit the circumstances involved and are to be conducted in accordance with the CS Energy Procedure CS-HR-17 Investigations.

The investigation should, as far as practicable, determine the cause or likely cause of the incident and the contributing factors.

11.4 Significant Incident Report

Incidents that result in significant consequence may have the requirement under legislation to be reported to external Regulators or other Stakeholders at their request. The information contained in the report that is forwarded to these parties shall only contain the facts relating to the incident

and be thoroughly checked by Legal Counsel before being sent to an external entity. A Significant Incident Report (s1937) template is available to assist with the format of this report. There will be a S1857 Incident Investigation Report completed for the incident. This may not be appropriate to be distributed externally from CS Energy.

11.5 Legal Internal Counsel Intervention

Internal legal counsel shall be requested to provide advice to, and coach management and investigation team members on the legal aspects of any investigation undertaken for category 4 incidents and high potential consequence category 3 incidents.

Where such incidents have occurred the Site Manager, or his/her nominee, shall contact CS Energy internal legal counsel advising of the incident and request for legal support.

Additionally, where it is considered necessary for internal legal counsel intervention, other than for those incidents described above, executive management or the relevant site manager may request their services.

11.6 Recommending Improvement Actions

The investigation Leader and/or investigation team is responsible through their investigation to identify the contributing factors of the incident and recommend an action plan aimed towards obtaining improvement within CS Energy’s people, plant or processes. The actions that are recommended should target identified deficiencies that with improvement will contribute toward preventing of recurrence of a similar incident.

The action plan that is recommended by investigation team shall be documented in the Incident Investigation Report (S1857). Depending on the type and category of incident the level of management team shall review these recommendations toward endorsing the action plan as they see fit. When the action plan is endorsed by the required management level (see [Section 12](#) – Management Review); the action plan shall be raised in SAP (see [Section 13](#) – Action Management).

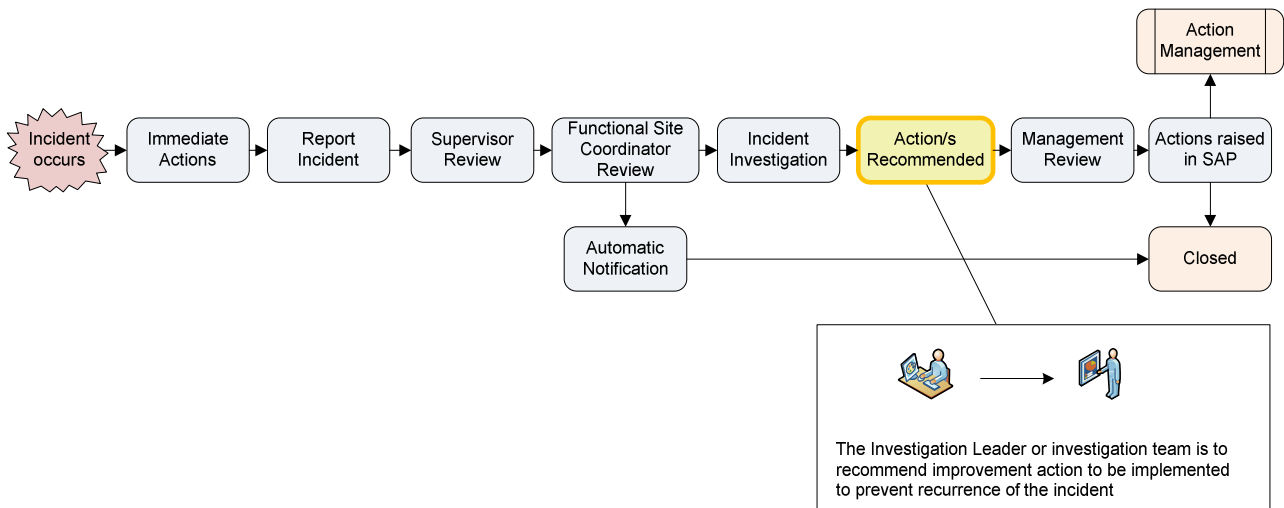


Figure 8 - Investigation Report completed with recommended actions

11.6 Investigation Leader completes incident investigation report in the Incident Management Database

The appointed Investigation Leader completes a S1857 Incident Investigation Report as outlined in the CS-IM-04. The investigation report is to be created in a unique folder in TRIM and linked to the incident in the SAP Incident Management Database. The investigation team members shall be listed in the incident entry in SAP for historical purposes.

SAP Workflow

→ The Investigation Leader appointed by the Functional Site Coordinator of the incident receives a workflow message to conduct an investigation for the incident. Upon completion of the investigation the work flow message is to be selected as complete.

12. Management Review of Incident Investigation

It is a requirement for completed investigation reports to be reviewed and signed off by site management and nominated corporate management.

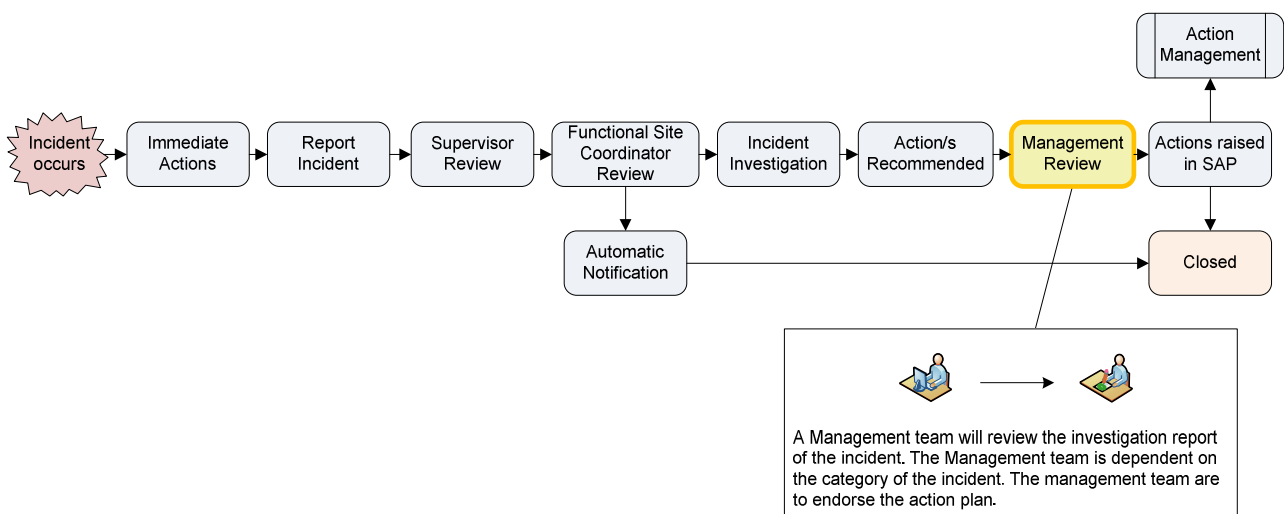


Figure 9 - Management Review of the Incident Investigation

The level of organisational management sign-off is dictated by the category classification of the incident i.e. the higher the category classification the more level of sign-off is required. Below is a table outlining the level of review and sign off for each incident category.

Incident Category	Management Review and Sign-off
Category 1	Functional Site Coordinator
Category 2	Functional Site Coordinator → Site Manager
Category 3	Functional Site Coordinator → Site Manager → Functional Manager (Corporate) → General Manager Operations/OD
Category 4	Functional Site Coordinator → Site Manager → Functional Manager (Corporate) → General Manager Operations/OD → CE (Corporate)

12.1 Purpose of Management Review

The purpose of Management reviewing the incident investigation report is to acknowledge the identified contributing factors and endorse the recommended actions. The actions will be raised in SAP by the Investigation Leader and a resource identified as responsible to complete the action/s. By endorsing the recommended actions the reviewer is acknowledging the investigation report as sufficient and complete. The Reviewer is satisfied that the investigation into the incident can be closed.

12.2 Communication

The Investigation Leader is to ensure that the incident investigation report is linked to the incident entry in SAP via TRIM. The Manager who receives the workflow to review the investigation is to access the investigation report from SAP. The Manager has the opportunity to edit the investigation report or alternatively consult with the Investigation Leader regarding any questions or suggested changes to the investigation report.

12.3 Management review of the incident investigation report in the Incident Management Database

The incident investigation report is attached to the incident entry in incident management database. The report will be accessible to each level of management that receive a workflow notification to review the investigation. Upon completion of the review of the investigation the incident status will move to 'conference' status. The action plan can be raised in SAP at this time. Management review of the incident investigation report should involve an assessment of:

- Incident Description
- Damage or impact of the incident
- Contributing factors
- Sequence of events
- Basic cause
- Recommended actions

SAP Workflow

→ The Manager who is to review the incident investigation report receives a workflow after the Investigation Leader identifies the investigation complete. Category 1 & 2 incidents are reviewed by Manager's within the site of its occurrence. Category 3 & 4 investigations are sent to the Functional Manager of the incident, General Manager Operations/OD and Chief Executive. Upon completion of the review the Investigation Leader is notified to raise the actions in SAP.

13. Action Management

At the conclusion of the investigation review, the numerous levels of Management that are to review the incident shall endorse an action plan for the incident. This action plan is to incorporate measures that mitigate the risk of a similar incident reoccurring. The actions shall be raised and tracked using the SAP action management module in the incident management database.

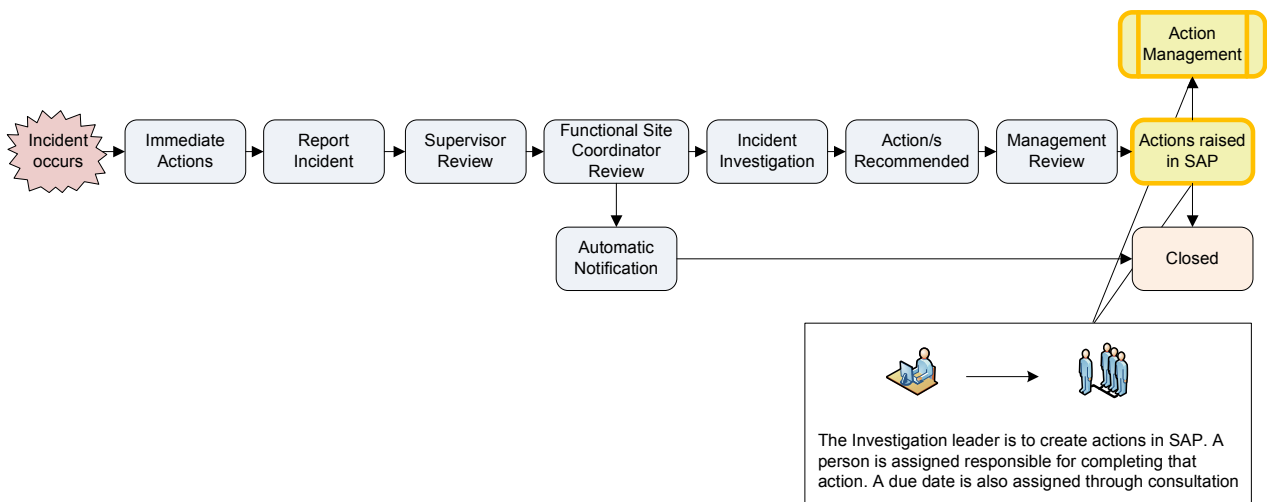


Figure 10 - Action Management in Incident Management Database

13.1 Creating Actions in the Incident Management Database

Every incident entry reported in the SAP incident management database contains the opportunity to create an action or a number of actions linked to the incident. Refer to the incident management database (overview) training course for additional information to create an action in the database.

As the final process of the investigation, the Investigation Leader is responsible for creating the action/s that has been endorsed by the Management level (see [Section 12](#) – Management review) who has reviewed the incident. This should occur immediately after the management review phase is completed.

In the interests on risk control, it is also possible for the Functional Site Coordinator and Supervisor to create actions in the SAP system at any stage during the incident management process. It would be suitable to create an action before the completion of the investigation if it was of priority nature or risk mitigation strategy.

It is a requirement when creating the actions to provide sufficient context and purpose for the person who is appointed Person Responsible. The following detail is to be provided when assigned an action to an employee:

- Description of the action to be completed;
- Commencement date of the action (to be agreed between parties prior to the action being created);
- Completion date of the action (to be agreed between parties prior to the action being created);
- Assigned Person Responsible (To be agreed between parties adhering to the Teamworks methodology);
- Assigned Person Authorisation (If applicable) – This employee authorises the action to go ahead; and
- Assigned Person Administrator (If applicable) – This employee is responsible for checking for effectiveness of the implementation of the action.

13.2 Action Management plan in the SAP Incident Management Database

The action management plan is to be created in SAP by the Investigation Leader after the investigation has been reviewed by Management. Consultation shall be undertaken with Supervisors, Superintendents and Site Manager to ensure the resources identified to complete the action/s are available and have the capability of completing the action. Each action shall be listed in SAP and also be included in the investigation report.

SAP Workflow

→ The Investigation Leader will receive a workflow to create the action plan in SAP. The actions are endorsed in the investigation report and shall be used to create the actions. All fields of the action are to be completed. Once the action has been released, the action workflows to the following roles:

1. Authorisation – the initial workflow is forwarded to the person responsible to authorise action. The Supervisor or Manager may be required to authorise funds for the action or the release of resources to complete the action.
2. Person Responsible – A workflow is sent to the Person Responsible (person who is assigned to complete the action) who completes the action and marks the action complete in the workflow message.
3. Administrator – The Administrator does not receive a workflow message. This role is assigned to a person responsible for checking the effectiveness of implementing the action.

Prior to resuming work activities, or returning the plant or equipment to service the persons responsible for the corrective actions are to:

- inspect the work area/ plant/procedures/modifications to check the actions have been implemented; and
- Verify that no further actions are necessary.

14. Incident Close Out and Completion

When the incident has been investigated and improvement action raised, the incident can be progressed to 'Conference' and marked as complete. The action management processes in place can remain in progress during this time. When all of the action management items are marked as completed the incident can be progressed to 'Closed' status. The Incident Management Database will archive the information relating to the incident for statistical and historical purposes.

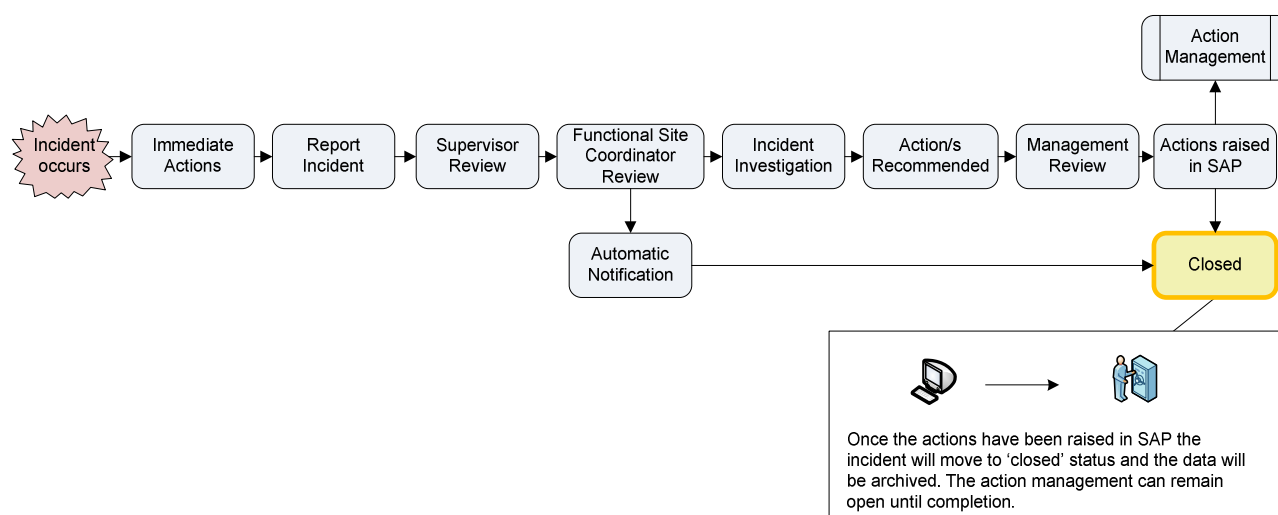


Figure 11 - Incident Management close out

14.1 Action Management plan in the SAP Incident Management Database

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3. Administrator – The Administrator does not receive a workflow message. This role is assigned to a person responsible for checking the effectiveness of implementing the action.

15. Records, Reports and Forms

1. **S0024 Incident Report Form** – is to be used to report hazards or incidents that occur and do not result in injury, illness or damage.
2. **S1814 Injury, Illness Report Form** – is to be used for all Category 1,2,3 and 4 health and safety incidents.
3. **S1857 Incident Investigation Report Form** – is to be used for Category 3 and 4 investigation reports. (Category 4 incidents would normally use all of the headings while lesser Categories may use all or some of the headings dependent on the type of investigation).
4. **S1819 Incident Summary Form** – is to be used to provide a summary of an incident. The form can be distributed in the for notification purposes if the SAP system is not operating.
5. **S1937 Significant Incident Report** – is to be used to create an incident report that is to be sent external of CS Energy (e.g. Regulator, Stakeholder, etc.)

The SAP incident Management database is to contain all information (excluding rehabilitation data) relating to each incident. Access to privileged information in the SAP incident management database will be controlled via its authorisation structure.

16. Confidentiality and Information Management

Only factual information is to be included (no supposition) in all forms or incident investigation report.

Any investigation reports (not approved forms submitted to *Regulatory Authorities*) must be reviewed by Legal Services prior to forwarding to the statutory authority/external body.

Subject to the requirement to maintain Legal Professional Privilege, information will be shared across sites by the use of the Incident Management Database. Any disclosure of privileged information should be reported to the Site Manager and CS Energy Legal Services immediately.

In general, when sharing information with other sites, any personal information (e.g. worker's names, treatment) is not to be disclosed. Always liaise with Legal Services and Human Resources for advice.

Full details of incidents and the outcome of investigations, must be recorded in the CS Energy Incident Management Database. Each investigation report is to be saved in TRIM and linked via DMS to the SAP entry in the incident management database. All records for a site, including supporting documentation must be consolidated and be readily accessible.

Statutory Reporting Forms are to be completed and forwarded by the relevant Site Health & Safety Advisor/Coordinator, Environmental Coordinator and be signed by the Site Manager. A copy of the statutory report should be added to the incident entry in the SAP incident management database.

CS Energy is required to report compensable commuting injuries to Workcover Queensland and will make use of that information in developing preventative strategies or control measures.

Professional indemnity practices must be upheld at all times during the incident management process

For any Media Enquiries, prior to a response to any request made by an external body/person in relation to an incident as per this procedure:

- a) for an interview (for media-related interviews refer CS-COMMS-2 Handling Media Enquiries);
- b) to provide a statement;
- c) for information relating to an event or incident pertaining to an existing or potential common law action or criminal matter; and/or
- d) access to CS Energy records;

The CS Energy employee or representative receiving the request must **immediately notify** the Site Manager. The Site Manager must **immediately notify** CS Energy Legal Services and Manager Marketing & Communications.

Any event/incident that may have the potential to result in a common law claim or criminal charge or conviction must be reported as a Category 4 Incident in the SAP incident management database.

CS Energy is required to retain all documentation relating to all incidents that occur for 7 years.

17. Consultation

During the investigation into an incident the site health and safety committee is to be advised of any work injury, work caused illness, dangerous event or near miss.

After investigating a workplace incident the investigation team leader is to consult with the health and safety committee about the ways/actions/recommendations to avoid incidents and near misses into the future.

18. Training

New employees will receive documented induction incident management training covering at least:

- SAP Incident management database overview;
- The responsibilities of workers and *Supervisors* for reporting injuries and incidents;
- Workers' obligations under the Workers Compensation and Rehabilitation Act, Workplace Health and Safety Act and Environmental Protection Act; and
- Completing an Action to them in SAP.

Employees directly involved in incident recording and investigation will receive documented training in the following areas:

Role in incident	Training Module	When
Incident Reporter	1. IMD Overview Course	Commencing employment
Supervisor	1. IMD Overview Course 2. IMD Supervisor Course	Commencing role
Functional Site Coordinator	1. IMD Overview Course 2. IMD Supervisor Course 3. IMD Incident Manager Course	Commencing role
Incident Manager	1. IMD Overview Course 2. IMD Supervisor Course 3. IMD Incident Manager Course	Commencing role
Incident Investigation	External Incident investigation methodology course	Identified investigators
Site Manager	1. IMD Overview Course 2. IMD Management Review Course	Commencing role
Functional Manager	1. IMD Overview Course 2. IMD Management Review Course	Commencing role
General Manager	1. IMD Overview Course 2. IMD Management Review Course	Commencing role
Chief Executive	1. IMD Overview Course 2. IMD Management Review Course	Commencing role

19. Audit and Review Process

Monthly reviews of incidents must be carried out by Site Managers to determine whether corrective actions have been completed and whether the actions taken were effective in preventing recurrence.

Overdue corrective/follow-up actions for Category 3 and Category 4 incidents will be reported monthly to the relevant Site Manager, General Manager Operations/OD and quarterly to the Audit & Risk Committee.

The appropriateness and effectiveness of remedial actions resulting from investigations following any Category 3 and 4 incident is important to demonstrate continuous improvement.

Corporate Health and Safety shall audit the outcomes resulting from the investigation to ensure the actions are:

- (a) entered into the incident management database;
- (b) scheduled to be completed using the appropriate mechanism with deadlines, i.e. maintenance planning, performance management;
- (c) Closed out against allocated timeframe.

A formal audit shall be conducted by Corporate Health and Safety for each site every four months to ensure conformance to this Corporate Incident Management Procedure.

20. Definitions

Asbestos Release	Release of asbestos due to plant damage resulting in airborne asbestos fibres/dust/particles
Commuting incident	Incidents that occur during travel while not on duty or during a recess period. Examples include travel between place of abode and workplace, travel to a technical college, travel to receive medical treatment for an injury sustained at work
Complaint	Adverse comment on the operations of CS Energy by workers, members of the public or statutory authorities where those comments are communicated to CS Energy verbally or in writing (e.g. noise, odour)
Crisis	A crisis is any event that has affected, or is threatening to affect, the safety of persons, environment, property or production on a site, or in the off-site community e.g. Category 4 incidents.
Dam Safety Deficiency	A deficiency is a situation that threatens the safety of a dam and may be detected by surveillance inspections and evaluations of dam safety reviews; lag time based deterioration or breakdown of material, inappropriate design, minor damage to dam, maintenance or operational problems)
Dam Safety Incident	Is an event, which could deteriorate to a very serious situation or endanger the dam (e.g. rapid change in seepage, excessive embankment erosion, sliding of the dam, malfunction of gates, spillway erosion or blockage, overtopping of earth embankment)
Dam Failure	The physical collapse of all or part of the dam or the uncontrolled release of any of its contents (e.g. overturning of concrete dams, overtopping of embankment dams, collapse or erosion of spillways, internal erosion or piping through earth embankments or abutments)
Dam Safety Officer	Person nominated by CS Energy to manage safety conditions for dams

Dangerous Event

An event caused by specified high risk plant, or an event at a workplace caused by a workplace activity, if the event involves or could have involved exposure of persons to risk to their health and safety because of:

- (a) collapse, overturning, failure or malfunction of, or damage to, an item of specified high risk plant; or
- (b) collapse or failure of an excavation or of any shoring supporting an excavation; or
- (c) collapse or partial collapse of any part of a building or other structure: or
- (d) damage to any load bearing member of, or the failure of any brake, steering device or other control device of, a crane, hoist, conveyor, lift or escalator; or
- (e) implosion, explosion or fire; or
- (f) escape, spillage or leakage of any hazardous material or dangerous goods; or
- (g) fall or release from a height of any plant, substance or object; or
- (h) damage to a boiler, pressure vessel or refrigeration plant; or
- (i) uncontrolled explosion, fire or escape of gas or steam

The approved form for notifying Workplace Health & Safety Qld of a notifiable incident is available from Workplace Health and Safety - Queensland website

Dangerous Electrical Incident

Is any of the following (as defined in the Electrical Safety Act 2002):

- (a) the coming into existence of circumstances in which a person is not electrically safe, if
 - (j) the circumstances involve high voltage electrical equipment; and
 - (ii) despite the coming into existence of the circumstances, the person does not receive a shock or injury;
- (b) The coming into existence of the following circumstances:
 - (i) if a person had been at a particular place at a particular time, the person would not have been electrically safe
 - (ii) the person would not have been electrically safe because of circumstances involving high voltage electrical equipment.
- (c) an event that involves electrical equipment and in which significant property damage is caused directly by electricity or originates from electricity;
- (d) the performance of electrical work by a person not authorised under an electrical work licence to perform the work;
- (e) the performance of electrical work by a person if, as a result of the performance of the work, a person or property is not electrically safe;

Examples for paragraph (e)

- *The connection of electrical equipment to a source of supply involving incorrect polarity or other incorrect connection.*
- *The performance of electrical work as a result of which an exposed wire is left in circumstances in which it can be energised by the operation of a switch or circuit breaker or the insertion of a fuse.*

- (f) The discovery by a licensed electrical worker of electrical equipment that has not been marked as required under this Act

Environmental Exception	Minor non-recurring or recurring breach of licence discharge parameter limits as defined by environmental licence
Environmental Harm	Any adverse effect, or potential adverse effect (whether temporary or permanent and of whatever magnitude, duration or frequency) on the environment (For further information refer to the site Environmental Adviser)
First Aid Injuries	Injuries requiring immediate on-site care
Fraud	An intentional, unethical or dishonest act committed by one or more individuals involving the use of deception, falsification, alteration, misrepresentation, manipulation, embezzling, collusion and/or misappropriation to obtain an unjust or illegal advantage
Incident	An unplanned event which causes or has the potential to cause injury, illness, damage to plant or the environment, theft, fraud, breach of the Code of Conduct or public interest
Incident Notification Group	the relevant corporate persons delegated authority for their particular area of responsibility (e.g. health and safety, operations, environment, security, finance, etc.). <i>Note: Refer to the e-mail group address</i>
Information Technology Incident	An incident that challenges, threatens or causes damage to the administration, intellectual property, software, hardware, security structures, processes and systems (e.g. firewalls, backup, intrusion detection) developed to manage the communication and storage of data. It also includes any intentional malicious attack (hacking), destruction of information systems, virus protection, interference with sites, misuse of access and authorisations, sabotage or actions that are not in accordance with CS Energy's IT Policies
Legal Professional Privilege	Legal Professional Privilege is a privilege attainable by a party if the party can establish that the dominant purpose for obtaining the advice or undertaking the investigation was in preparation for legal proceedings, whether existing or contemplated
Lost Time Injury (LTI)	<p>A work related and/or work place occurrence:</p> <ul style="list-style-type: none">• which results in a fatality, permanent disability, illness or time lost from work of one day / shift or more,• the resultant time lost from work can occur on the next subsequent shift or at any other time (e.g. heavy lifting resulting in hernia, where the lost time occurs at a later date due to an operation).• which can be directly linked to an "event" at the workplace,• where the worker suffered an injury or illness as a result of that event,• where CS Energy has direct control over preventing the event or occurrence,• work or employment is identified as a significant contributing factor to the injury or illness, and• the worker is unable to participate in meaningful work. <p><i>Direct control – an example of CSE not having direct control follows: a person delivering a package on behalf of CSE trips on the footpath in the city as a result of a hole in the footpath and sprains their ankle requiring time off work; a person driving from Gladstone airport to Callide in a hire car has a tyre blow out resulting in hospitalisation.</i></p> <p>In the case of part-time workers, if a person is away from work due to a lost-time injury/illness for one whole day or shift, irrespective of how many hours constitute that shift, they are considered to have satisfied the threshold of the one day / shift time lost.</p>

For the purposes of calculating the average time lost rate, fatalities are to be assigned a time lost of 12 months (220 standard working days lost)

Recurring Injuries are not to be included in the calculation of LTIs – see *Recurring Injury* definition

Commuting or journey injuries are not to be included in the calculation of LTIs or in the calculation of other measurement rates or other indicators of performance. However, Workcover Qld legislation includes provision for the compensation of commuting injuries

Major Accident	(Dangerous Goods Safety Management Legislation) means a sudden occurrence (including, in particular, a major emission, loss of containment, fire, explosion or release of energy) leading to serious danger or serious harm to persons, property or the environment, whether immediate or delayed
Medical Personnel	includes occupational health nurses, nurses, and doctors
Medical Treatment Injuries (MTI)	Occurrences that require treatment by a medical practitioner beyond the scope of first aid. Medical treatment does not include a consultation by the medical practitioner where treatment is not provided
Minor Non-Recurring Exception	minor non-recurring breach of licence discharge parameter limit as defined by environmental licence
Minor Recurring Exception	minor recurring breach of licence discharge parameter limits as defined by site environmental licence
MWh	megawatt hours
Multiple Treatment Cases	where a worker sustains a work-related injury / illness, and subsequent or follow up treatment is required, the entire case is to be classified as a single incident for reporting. Where a case is first recorded as first aid only, and subsequently exacerbates to a medical treatment or occupational illness, that incident is to be re-classified at the higher level but not as both first aid and medical treatment / occupational illness
Near Miss	any unplanned incident that occurs at the workplace or while undertaking CS Energy work, which, although not resulting in: a workplace injury, illness or damage to environment or plant, or loss of generation – unit trip, had the potential to do so
Near Miss	(Dangerous Goods Safety Management Legislation) means any sudden event that, apart from mitigating effects, actions or systems, could have escalated to a major accident
Notification	advising of the incident in person, by phone, pager or email
Notify immediately	advising in person, by phone or pager after becoming aware of the incident/ event
Occupational Illness	An illness attributed to or aggravated by the environment factors of a particular process, trade or occupation
Permanent Disablement	is a loss of, or loss of efficient use of, any part of the worker's body that is stable and stationary and not likely to improve with further medical or surgical treatment
PTW Incident	an incident that results in a non-compliance with the procedures outlined in the PTW Manual and site procedures
Qualified Person	A person appointed to exercise certain powers under the Electricity Act relating to CS Energy's Contractor Licence

Radiation Incident

- The radiation source is, or appears to have been lost or stolen;
- Emission of radiation adversely affects, or is likely to adversely affect, the health or safety of any person (as a guide: exposure to 10µSV (microsieverts) or greater);
- Equipment that uses, measures or controls radiation emitted from the source, malfunctions with the result, or likely result, that there is, or will be, an unintended emission of the radiation or a person is, or will be, unintentionally exposed to the radiation.

Radiation Safety Officer

A person appointed as a radiation safety officer under section 36 of the Radiation Safety Act

Recurring Injury

Cases of recurring injury or disease should be recorded and cross-referenced to the original record but not counted as a separate occurrence unless there was a separate identifiable incident associated with the recurrence. They should **not**, however be used in the calculation of measurement rates or other indicators of performance

Regulatory Authorities

Examples include Environmental Protection Agency, Division of Workplace Health and Safety, Police, Department of Health, Department of Transport, Department of Emergency Services, Department of Natural Resources and Mines

Relevant Superintendent

As per the site organisation structure and roles on site

RPEQ

Registered Professional Engineer in Queensland.

Security Incident

information from the Authorities relating to an increase in the critical infrastructure threat level, criminal activity on or nearby site, unauthorised entry or trespass onto site or into site airspace, bomb threat, unauthorised protests or occupancy of property or vehicles, breach of physical site security measures, threat or violence to site personnel, unidentified substances in the mail, sabotage, radiation, biological or chemical exposure, unauthorised disclosure of sensitive or confidential information or politically motivated attack or seizure.

Serious Bodily Injury

An injury to a person that causes:

- (a) the injured person's death; or
- (b) the loss of a distinct part of an organ of the injured person's body; or
- (c) the injured person to be absent from the person's voluntary or paid employment for more than 4 days.

Serious Electrical Incident

Is an incident involving electrical equipment if, in the incident

- (a) a person is killed by electricity; or
- (b) a person receives a shock or injury from electricity, and is treated for the shock or injury by or under the supervision of a doctor; or
- (c) a person receives a shock or injury from electricity at high voltage, whether or not the person is treated for the shock or injury by or under the supervision of a doctor.

Serious Harm

(Dangerous Goods Safety Management Legislation DGSML) – is harm that:

- (a) causes the death of a person; or
- (b) impairs a person to such an extent that because of the harm the person becomes an overnight or longer stay patient in a hospital; or

	(c) results in costs of more than \$50,000 being incurred to prevent, minimise or repair harm to property or the environment.
Serious Danger	(DGSML) is danger that has the potential to cause serious harm
Significant Exception	significant breach of licence discharge parameter limits as defined by site environmental licence
Site Coordinator	the site person delegated the authority for the particular area of responsibility (e.g. health and safety, environment, radiation officer, dam safety, security, finance, information technology)
Stealing	An act where a person fraudulently takes or converts anything to the person's own use or to the use of any other person, with intent to permanently deprive the owner of the thing
Substantiated Complaint	Complaint for which CS Energy plant operations/maintenance is the source e.g. noise
Supervisor	may include team leader, workgroup coordinator, manager and/or management representative.
Theft	See the definition for stealing
Time Sequence Model	takes into account pre-conditions (conditions that existed prior to and at the time of the event / incident), mechanism (triggers the event), the event (the point at which control of damaging energy is lost), the immediate outcome and the consequences
Total Reportable Cases (TRC)	The sum of fatalities, lost time injuries, permanent disablements and medical treatment cases For an injury/illness to one person for which more than one category is applicable, the injury/illness will be considered as one TRC.
Unsubstantiated Complaint	Complaint for which CS Energy is not the source e.g. odour produced by neighbouring company
Vehicle Incident	All incidents that involve a vehicle with wheels except a train e.g. car, buggy, bicycle, commercial vehicle, motorbike, tractor, truck
Work Caused Injury / Illness	(a) an illness contracted by a person to which work, a workplace, a workplace activity or specified high risk plant was a significant contributing factor; or (b) the recurrence, aggravation, acceleration, exacerbation or deterioration in a person of an existing illness if work, a workplace, a workplace activity or specified high risk plant was a significant contributing factor to the recurrence, aggravation, acceleration, exacerbation or deterioration.
Works	Anything used for, or in association with, the generation, transmission or supply of electricity.

21. References

- AS 1885.1 – 1990 Workplace injury and disease recording standard
- Electricity Act and Regulation 1994
- Environmental Protection Act 1994
- Petroleum and Gas Production and Safety Management Act 2005
- Radiation Safety Regulation 1999
- Workplace Health and Safety Act 1995 and Regulation 1997
- Workers Compensation and Rehabilitation Act and Regulation 2003

CS Energy Documents

- CS-COMS-2 Handling Media Enquires
- CS Risk Management Procedure
- CS-HR-17 Investigations
- CS-IM-02 Crisis Management Plan
- CS-OHS-4 Rehabilitation.
- CS-OHS-5 Reporting and Treatment Required as a Result of an Electrical Incident
- CS Energy Occupational Health & Safety Manual
- CS-SBC-02 Specific Threat/Attack
- CS-SBC-06 Security Plan
- Security and Business Continuity Guidelines

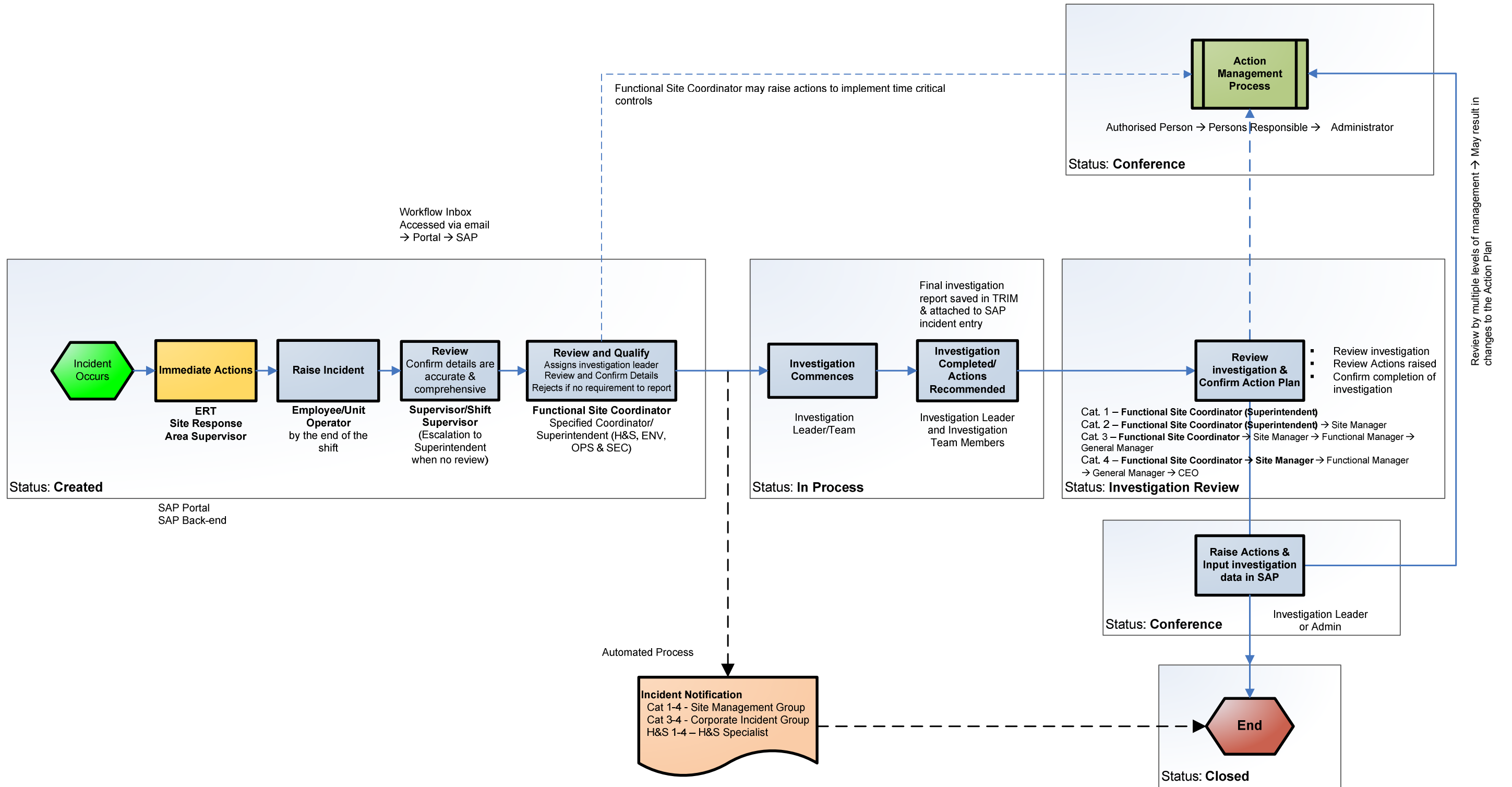
Forms

- S1814 Injury Illness Report
- S1819 Notification of Incident
- S1857 Investigation Report (Category 3 & 4 Incidents)
- S1873 Incident Monitoring and Review
- S0025 Investigation Report (Category 1 and 2 Incidents)
- S0024 Hazard/Incident Report Form

Appendix 1 – CS Energy Incident Category Matrix

Incident Category	Health & Safety	Environment	Security	Operations	Reporting Procedure	Incident Investigation
1 Low	<p>First aid injury.</p> <p>Near miss risk rated as LOW using CSE Risk Matrix.</p> <p>A PTW incident resulting in no risk of plant damage, or personal injury.</p>	<p>Localised onsite release immediately contained by worker (will not cause environmental harm or breach of the environmental license and has minimal potential for effects outside the affected area e.g. 4 litre oil spill onto concrete cleaned up with spill kit).</p> <p>Minor non-recurring exception.</p>	<p>Minor security incident (theft of company property)</p> <p>Trespass resulting in low or very minor damage to property (graffiti)</p> <p>Building doors found not locked</p> <p>Maintenance issue with gate, fence, security cameras etc</p> <p>Unidentified vehicle parked or travelling adjacent to the site after hours</p>	<p>Loss of ICT critical system/service for 1-4 hours All Sites, 4-8 hours for 1-2 Sites</p>	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Reported immediately to Supervisor ✓ Raise incident in the Incident Reporting Database within 1 shift/working day. ✓ Area Supervisor/Shift Supervisor to review report within 1 shift/working day. ✓ Functional Site Coordinator to review within 7 days. <ul style="list-style-type: none"> ○ Review incident and Review Category and Appoint Investigation leader ○ Automatic notification of approved notification group managed by SAP 	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Incident report created using Incident Management System ✓ Incident Investigation is managed internally by SAP ✓ Actions created in SAP by Investigation Leader if required ✓ Action Management module to monitor actions
2 Moderate	<p>Medical Treatment for which rehabilitation is required (alternate duties, reduced hours etc.)</p> <p>A PTW incident resulting in MODERATE risk of personal injury and/or plant damage.</p> <p>A near miss rated as MODERATE using the CS Energy Risk Matrix.</p> <p>A Reportable Event rated as MODERATE using the CS Energy Risk Matrix.</p> <p>Instalment</p>	<p>On-site release requiring assessment and possible response by environmental team (will not cause environmental harm or breach of the environmental license and has minimal potential for effects outside the affected area e.g. loss of oil to bunded area).</p> <p>Minor recurring exception.</p> <p>Dam Safety deficiency</p>	<p>Fraud or theft or suspected fraud or theft where the value, money, equipment, materials or property involved does not exceed \$10,000</p> <p>Trespass resulting in minor property damage or vandalism.</p> <p>non-violent demonstration/protest outside but near company property</p> <p>Attempt to hack or access CS Energy's secure ICT network</p> <p>Activities observed offsite that identifies the potential for a security breach</p>	<p>Near Miss (potential loss of generation/capability to generate) risk assessed as MODERATE using CSE Risk Matrix.</p> <p>Single event causing a loss of generation resulting in direct loss of \$75,000 - \$1,000,000.</p> <p>Cumulative similar events causing a loss of generation resulting in direct loss of \$75,000 - \$1,000,000 in a reporting month (report generated by Operations reporting role)</p> <p>Corrective maintenance task that costs between \$75,000 - \$250,000</p> <p>Loss of ICT critical system/service for 4-8 hours All Sites, 8-24 hours for 1-2 Sites</p> <p>NOTE: (Mica Creek only: event causing load shed to 1 or more customers in the NWS)</p>	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Reported immediately to Supervisor ✓ Raise incident in the Incident Reporting Database within 1 shift/working day. ✓ Area Supervisor/Shift Supervisor to review report within 1 shift/working day. ✓ Functional Site Coordinator to review within 5 days. <ul style="list-style-type: none"> ○ Review incident and Review Category and Appoint Investigation leader ○ Automatic notification of approved notification group managed by SAP 	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Incident report created using Incident Management System ✓ Incident Investigation report completed (\$1857) by appointed Investigation Leader ✓ Actions created in SAP by Investigation Leader ✓ Action Management module to monitor actions
3 Significant	<p>Lost Time Injury (severe or potential major disability or long-term illness).</p> <p>Serious bodily injury</p> <p>A PTW incident resulting in MAJOR risk of personal injury and/or plant damage.</p> <p>A near miss rated as MAJOR using the CS Energy Risk Matrix.</p> <p>A Reportable Event rated as MAJOR using the CS Energy Risk Matrix and is controlled immediately (no further risk of personal injury, environmental release or plant damage).</p> <p>Event controlled immediately with potential to cause Occupational Illness (e.g. asbestos release, chemical exposure).</p> <p>Radiation incident.</p> <p>Incident classified as a 'Major Accident or Serious Danger' under Dangerous Goods Legislation.</p>	<p>Major on-site release not contained, or requiring specialist assistance to contain or clean up (e.g. loss of oil from bunded area or requiring vacuum tanker pump out).</p> <p>Offsite release (excluding minor exceptions) exceeding environmental license discharge parameter limits.</p> <p>Highly likely the incident will escalate to this category (e.g. unable to isolate cause of oil leak; awaiting analytical results on discharge sample)</p> <p>Dam Safety Incident</p> <p>Incidents required to be notified to the Regulatory Authorities.</p>	<p>Trespass with clear criminal intent e.g. theft</p> <p>Violent/non-violent demonstration/protest outside or near company property</p> <p>Breach of site security systems which allows unauthorized entry onto site or into computer systems resulting in escalated damage</p> <p>Successful hack or unauthorized access CS Energy's secure ICT network on site that results in MAJOR risk to personnel, plant, systems.</p> <p>A bomb threat or threat of violence made by any means.</p> <p>Fraud or theft or suspected fraud or theft where the value, money, equipment, materials or property involved exceeds \$10,000</p>	<p>Unit trip</p> <p>Near Miss (potential loss of generation/ capability to generate) risk assessed as MAJOR using CSE Risk Matrix.</p> <p>Single event causing a loss of generation resulting in direct loss of \$1,000,000 - \$10,000,000.</p> <p>Cumulative similar events causing a loss of generation resulting in direct loss of \$1,000,000 - \$10,000,000 in a reporting month (report generated by Operations reporting role)</p> <p>Corrective maintenance task that costs between \$250,000 - \$1,000,000.</p> <p>Loss of ICT critical system/service for 8-24 hours All Sites, 24-48 hours for 1-2 Sites</p> <p>NOTE: (Mica Creek only: loss of 2 or more generators or system event causing load shed to 2 or more customers for greater than 4 hours in NWS – potential to cause loss of revenue to customers)</p>	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Reported immediately to Supervisor ✓ Raise incident in the Incident Reporting Database within 1 shift/working day. ✓ Area Supervisor/Shift Supervisor to review report within 1 shift/working day. ✓ Functional Site Coordinator to review within 1 shift/working day. <ul style="list-style-type: none"> ○ Review incident and Review Category and Appoint Investigation leader ○ Automatic notification of approved notification group managed by SAP 	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Incident report created using Incident Management System ✓ Incident Investigation report completed (\$1857) by appointed Investigation Leader ✓ Investigation Leader may assemble an investigation team if required ✓ A Full ICAM is mandatory for the incident ✓ If the Incident Investigation Report is to be distributed externally. The Investigation Leader is to complete a Significant Incident Report (s###) ✓ Actions created in SAP by Investigation Leader ✓ Action Management module to monitor actions ✓ Investigation report presented to CEO at an arranged time following the completion of the incident investigation.
4 High	<p>Fatality or multiple fatalities.</p> <p>Grievous bodily harm</p> <p>A PTW incident resulting in CATASTROPHIC risk of personal injury and/or plant damage.</p> <p>A Reportable Event rated as CATASTROPHIC using the CS Energy Risk Matrix and not controlled immediately (further risk of personal injury, environmental release, plant damage, media, industrial relations or market impact).</p> <p>Event not controlled immediately with potential to cause Occupational Illness (e.g. asbestos release, chemical exposure).</p> <p>Incident classified as a 'Serious Harm' event under Dangerous Goods Legislation.</p>	<p>Catastrophic on-site or off-site release, exceeding environmental license limits, resulting in extensive clean up and Environmental Harm caused or threatened (e.g. major offsite oil spill).</p> <p>Highly likely the incident will escalate to this category (e.g. major oil spill with rain threatening).</p> <p>Failure of Dam.</p>	<p>An actual attack on facilities or assault on staff.</p> <p>Violent demonstration on company property.</p> <p>Successful hack or unauthorized access CS Energy's secure ICT network causing malicious damage or breach of privacy or confidentiality.</p>	<p>Unit trip resulting in direct loss of > \$10,000,000</p> <p>Single event causing a loss of generation resulting in direct loss of > \$10,000,000.</p> <p>Cumulative similar events causing a loss of generation resulting in direct loss of > \$10,000,000 in a reporting month (report generated by Operations reporting role)</p> <p>Corrective maintenance task that costs between > \$1,000,000.</p> <p>Loss of ICT critical system/service for 24-48 hours All Sites, >48 hours for 1-2 Sites</p> <p>NOTE: (Mica Creek only: total loss of generation from Mica Creek or collapse of NW system causing major disruption to power supply to the community)</p>	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Reported immediately to Supervisor ✓ Raise incident in the Incident Reporting Database within 1 shift/working day. ✓ Area Supervisor/Shift Supervisor to review report within 1 shift/working day. ✓ Functional Site Coordinator to review within 1 shift/working day. <ul style="list-style-type: none"> ○ Review incident and Review Category and Appoint Investigation leader ○ Automatic notification of approved notification group managed by SAP ✓ Crisis Management team is assembled if required. ✓ Business Continuity meeting held if required ✓ CS Energy Board and/or relevant Stakeholders notified by the CEO 	<ul style="list-style-type: none"> • Health & Safety, Environment, Security & Operations Incident ✓ Incident report created using Incident Management System ✓ Investigation requirements are to be determined after consultation with Legal Services ✓ A Full ICAM is mandatory for the incident ✓ If the Incident Investigation Report is to be distributed externally. The Investigation Leader is to complete a Significant Incident Report (s###) ✓ Actions created in SAP by Investigation Leader ✓ Action Management module to monitor actions ✓ Investigation report presented to CEO at an arranged time following the completion of the incident investigation.

Appendix 2 - Incident Management Process Flow



Note: SAP Workflow will be used to transfer the incident between the steps outlined above

Appendix 3 - Internal Notification

Incident Notification Matrix (Documented Notification)					
	Recipients	Category 1	Category 2	Category 3	Category 4
		(Within 7 Days of occurrence)	(Within 5 Days of occurrence)	(Within 24 hours of occurrence)	(Within 24 Hours of occurrence)
Site Management Team	Site Manager	•	•	•	•
	Superintendents	•	•	•	•
	Site functional Coordinators	•	•	•	•
	Supervisors	•	•	•	•
Corporate Management Group	CEO			•	•
	General Managers			•	•
	Support Managers			•	•
	Functional Managers			•	•
	CEO PA			•	•
	Other Site Managers			•	•
	Other Site Superintendents			•	•

Immediate Verbal Notification				
	Category 1	Category 2	Category 3	Category 4
For a radiation incident notify the Site Radiation Safety Officer			•	•
For an electrical incident notify the Site Qualified Person/RPEQ (Electrical)			•	•
For a Dam Safety Deficiency or Incident notify the Corporate Dam Safety Officer			•	•
For a PTW incident notify the PTW Administrator			•	•
For an ICT incident, fraud, theft occurrence the Site Manager is to notify the ICT Manager/GM Finance			•	•
For a security breach the Site Manager is to notify the Local Police/Critical Infrastructure Liaison Officer			•	•

Appendix 4 - External Notification

Incident Type	Incident Classification	External Regulator to be Notified	Notified by
Health & Safety Workplace Health and Safety Act 1995 Petroleum and Gas Act Large Dangerous Goods Legislation Mines Safety Act	Work injury	Workplace Health And Safety Queensland	Health and Safety Coordinator
	Serious bodily injury	Workplace Health And Safety Queensland	Health and Safety Coordinator
	Dangerous event	Workplace Health And Safety Queensland	Health and Safety Coordinator
	Work caused illness	Workplace Health And Safety Queensland	Health and Safety Coordinator
	Serious electrical incident	Electrical Safety Office	Health and Safety Coordinator
	Dangerous electrical incident	Electrical Safety Office	Health and Safety Coordinator
	Gas incident – Prescribed incident	Petroleum & Gas Inspectorate	Health and Safety Coordinator
	Injury requiring rehabilitation	Workcover	Health and Safety Coordinator
	Mine safety incident	Mines and Energy Safety Inspectorate	Health and Safety Coordinator
	Major accident or ‘Serious Harm’ event under the Dangerous goods legislation	Chemical Services (Emergency Services Department)	Health and Safety Coordinator
	Radiation safety incident	Department Queensland Health	Health and Safety Coordinator
	Chain of Responsibility incident	Department of Transport Queensland	Health and Safety Coordinator
Environment Environmental Protection Act	Incidents that cause or threaten serious or material environmental harm	Department of Environment and Resource Management	Environmental Coordinator
	Dam safety incident	Department of Environment and Resource Management	Environmental Coordinator
Operations NWS Supply Contract	Mica Creek only: Operations event causing load shed to 1 or more customers in the NWS escalating up to total loss of generation from Mica Creek or collapse of NW system causing major disruption to power supply to the community	North West Customers	Operations Superintendent
Security Critical Infrastructure Legislation Criminal Code	Security events on site that results in high risk to personnel, plant, systems	Police	Site Manager
	A bomb threat or threat of violence made by any means.	Police	Site Manager
	An actual attack on facilities or assault on staff	Police	Site Manager
	Violent or non-violent demonstration on company property	Police	Site Manager
	Trespass with clear criminal intent e.g. theft/sabotage	Police	Site Manager
	Possession of illegal drugs and/or firearms	Police	Site Manager
	Fraud or theft or suspected fraud or theft where the value, money, equipment, materials or property	Police	Site Manager
Financial	Fair Trading, Collusive Tendering, Insider Trading and corruption	Australia Security and Investments Commission, Office of Fair Trading	CFO/General Manager

Appendix 5 - Incident Investigation Leader Matrix (Person who conducts the investigation)

Refer to the following table for the minimum roles that shall undertake or assist in the investigation for certain types of incidents. Use this Matrix as a guide only.

Incident	Investigation Role		Corporate Stakeholder
	Investigation Leader	Investigation team Member	
Health & Safety	Health & Safety Coordinator	Supervisor Process Specialist Engineer Superintendent Health and Safety Adviser	CE Principal Adviser Health and Safety General Manager Operations General Manager OD
Electrical	Health and Safety Coordinator*	Qualified Person/RPEQ Corporate Electrical Engineer	Principal Adviser Health and Safety
Gas	Health and Safety Coordinator*	Qualified Engineer – Gas Experience Area Coordinator	Site Manager or Asset Owner
Radiation	Health and Safety Coordinator*	Radiation Safety Officer Engineer	Principal Adviser Health and Safety
Dangerous Goods	Health and Safety Coordinator*	Station Chemist Environmental Coordinator Area Coordinator	Principal Adviser Health and Safety Chemical Manager
PTW	Health and Safety Coordinator*	PTW Administrator PTW Officer Officer In Charge	Operations Support Manager Principal Adviser Health and Safety
Environment	Health and Safety Coordinator*	Environmental Coordinator Supervisor/Asset Owner Process Specialist	Environment Manager
Dam Safety Incident	Health and Safety Coordinator*	Environmental Coordinator Civil Engineer	Corporate Dam Safety Officer
Operations	Health and Safety Coordinator*	Technical Expert/RPEQ Shift Supervisor	General Manager Operations
Information Technology	Health and Safety Coordinator*	Site IT Specialist Corporate IT Representative	Information Technology Manager
Plant Damage	Health and Safety Coordinator*	Asset/Plant Management Unit Operator Shift Supervisor	Site Manager Portfolio Asset Specialist
Coal Mine	Health and Safety Coordinator*	Coal Mine employees CS Energy representative	Mine Manager – CS Energy
Security	Health and Safety Coordinator*	Site Security Contract Administrator Shift Supervisor Operations Superintendent	Risk & Assurance Manager, Manager Marketing & Communications
Fraud or Theft	Health and Safety Coordinator*	Site Financial/Commercial Manager, Employee Relations Officer	Corporate Financial Officer, Legal Services, Risk & Assurance Manager and Industrial Relations Manager
Financial	Health and Safety Coordinator*	Corporate Finance Legal Counsel	Site Manager Site Financial/Commercial Manager

Category 3 and 4 incident investigations shall be led by Site Health & Safety drawing on functional expertise as necessary to conclude investigations. Corporate Health and Safety will undertake an oversight responsibility to ensure that all incident investigations are carried out to a high standard and in line with industry best practice.

These functions will include:

- (v) Ensuring an effective structure and appropriate capabilities of the investigation team;
- (vi) Ensuring site line management accountability to report to the Chief Executive outcomes of all Category 3 and 4 incident investigations;
- (vii) Effecting a comprehensive monitoring and review function to ensure all Category 3 and 4 incident investigations are undertaken in accordance with safety investigation best practice and that recommendations are reasonable and relevant; and
- (viii) Effecting audit to ensure priority attention to incident investigation and make sure recommendations are completed.

Appendix 6 - Gas Safety Incident (Applies to gas incidents only)

In relation to gas safety incidents or incidents occurring to operating plant the term “immediately” – means without delay after the incident occurs, other than delay caused by action taken to –

- a) save the life of, or prevent further injury to a person; or
- b) contain damage to property.

Incident Description	Way report must be given	When report must be given
An incident with the potential to cause a general shortage of fuel gas in Queensland or an area of Queensland	By telephone	Immediately
	In writing	As soon as practicable
An incident involving damage to property that substantially increases the risk of damage to plant or equipment or injury to persons	By telephone	Immediately
	In writing	As soon as practicable
An incident at an operating plant to which the <i>Workplace Health & safety Act 1995</i> does not apply, if the incident is not otherwise mentioned in this schedule	In writing	As soon as practicable after the end of the month during which the incident occurs
An incident that had the potential to, but did not, cause the death of, or injury to a person or damage to plant or equipment	In writing	As soon as practicable after the end of the month during which the incident occurs
An incident involving death of a person	By telephone	Immediately
	In writing	As soon as practicable
A incident involving injury to a person requiring medical treatment other than at the operating plant	By telephone	Immediately
	In writing, if a written report is requested by an inspector	As soon as practicable
An emergency, including an emergency alarm activation other than as part of a routine test, at an operating plant that is a major hazard facility under the Dangerous Goods Act	By telephone	Immediately
	In writing	As soon as practicable
A fire at an operating plant	By telephone	Immediately
	In writing	As soon as practicable
An uncontrolled oil or gas leak attended by emergency services	In writing if a written report is requested by an inspector	As soon as practicable

Appendix 7 - Mine Safety Incidents

Mine Safety Incidents are to be reported by the Coal Mine Operator (for Mines owned by CS Energy) to the CS Energy Mine Manager. The Mine Manager is to ***immediately notify*** the General Manager Operations. External stakeholders are to be notified in accordance with the Mine Safety Act. Investigation of the incident is to be conducted by the Coal Mine Operator in accordance with the legislation and a report is to be forwarded to the Mine Manager.

Appendix 8 - Roles and Responsibilities

Chief Executive

- Review and approve the investigation and action plan for all Category 4 incidents.
- Complete the Executive Safety Managers annual safety report for the Gas Safety Management Plan for CS Energy's operating plant.
- Review incident investigations, recommendations and reporting processes annually.

General Manager Operations

- Ascertain the level of investigation required for Category 4 incidents in consultation with the Legal Services, relevant Corporate Stakeholder and Site/Project Manager and appoint an investigation team responsible for investigation of the incident. Functional Site Coordinator is to allocate the investigation team in the SAP incident management database.
- Review and approve the investigation and action plan for all Category 3 and Category 4 incidents.
- Ensure action plans listed in SAP are completed within the allocated timeframe.

General Manager Major Projects

- Review and approve the investigation and action plan for all Category 3 and Category 4 incidents that involve major project operations or work.
- Ensure action plans that result from major project incidents are completed within the allocated timeframe.

Functional Manager (Corporate Manager of Health and Safety, Environment, Operations and Security)

- Review and approve the investigation and action plan for all Category 3 and Category 4 incidents before it is reviewed by the General Manager
- Assist or be involved with Category 3 and Category 4 investigation as required.

Site/Project Manager

- Ensure requirements of the Incident Management procedure are met.
- Ensure the General Manager Operations/Major Projects/Organisational Development and Legal Services (where required), are verbally notified of Category 3 and 4 incidents immediately.
- Ascertain the level of investigation required for Category 2 or 3 incidents and be involved in appointing an investigation team as relevant. Where there is a requirement to maintain Legal Professional Privilege, Legal Services must be involved.
- Nominate a person to be the site liaison point with the external investigation team.
- Review and approve the investigation and action plan for all Category 2, 3 or 4 incidents that occur on the site.
- Ensure monthly reviews of incidents are undertaken to determine whether corrective actions have been implemented or completed.
- Ensure Legal Services is informed of requests by external bodies to interview CS Energy workers etc prior to the interview-taking place.
- Ensure any investigation reports (not approved forms) to be submitted to Regulatory Authorities are reviewed by Legal Services prior to submission.

Relevant Corporate Stakeholder

- Ensure the General Manager Operations/Major Projects and Corporate Stakeholders are notified of Category 3 and 4 incidents.

- Ensure key stakeholders are notified.
- Undertake documented review at the end of each financial year to assess patterns of systems failure in incidents.

Supervisors / Coordinators / Superintendents

- Report incidents immediately using the approved method as per this procedure.
- Review the incident report in the Incident Management Database. Add details as required.
- Participate in incident investigations as requested by Site Management team.
- Facilitate actions to completed in action management is phase.

Responsible Person for Action Management

- Ensure corrective actions are completed in the timeframe provided.
- Ensure the action is marked as completed in the Incident Management Database one the action has been implemented or completed

Authorised Person for Action Management

- Provide authorization (resource or monetary), in their role, for the action to be implemented on the site. The action shall contain a description, start date, end date and person responsible in the Incident Management Database.

Radiation Safety Officer

- Ensure reportable radiation events are notified to the relevant regulatory authority.

Environmental Coordinator (Functional Site Coordinator)

- Ensure environmental incidents are verbally communicated internally to the Site Management team.
- Ensure environmental incidents are notified to the relevant regulatory authorities as required.
- Consult with the Site Management team to appoint an investigation leader/team. This is to be reflected in the Incident Management Database.
- Qualify the determination of the environmental incident category for each incident in the incident management database.
- Reject the incidents that do not satisfy the definition of an incident in the Incident Management Database.

Health & Safety Coordinator (Functional Site Coordinator)

- Ensure Health and Safety incidents are verbally communicated internally to the Site Management team.
- Ensure Health and Safety incidents are notified to the relevant regulatory authorities as required.
- Consult with the Site Management team to appoint an investigation leader/team. This is to be reflected in the Incident Management Database.
- Qualify the determination of the Health and Safety incident category for each incident in the incident management database.
- Reject the incidents that do not satisfy the definition of an incident in the Incident Management Database.

Operations Superintendent (Functional Site Coordinator)

- Ensure Operational incidents are verbally communicated internally to the Site Management team.
- Ensure Operational incidents are notified to the relevant regulatory authorities as required.
- Consult with the Site Management team to appoint an investigation leader/team. This is to be reflected in the Incident Management Database.
- Qualify the determination of the Operational incident category for each incident in the incident management database.

- Reject the incidents that do not satisfy the definition of an incident in the Incident Management Database.

Security Coordinator (Functional Site Coordinator)

- Ensure Operational incidents are verbally communicated internally to the Site Management team.
- Ensure Operational incidents are notified to the relevant regulatory authorities as required.
- Consult with the Site Management team to appoint an investigation leader/team. This is to be reflected in the Incident Management Database.
- Qualify the determination of the Operational incident category for each incident in the incident management database.
- Reject the incidents that do not satisfy the definition of an incident in the Incident Management Database.

PTW Administrator

- Participate in the investigation of PTW incidents.
- Ensure that Site Managers are provided with suitable recommendations, investigation reports and documentation associated with the PTW incident in a timely manner.
- Report the investigation of PTW incidents to the Corporate PTW Committee

Investigation Team

- Commence investigation as soon as possible after the incident.
- Conduct the investigation as per the CS-IM-4 Incident Investigation procedure.
- Complete final investigation report within 30 days of the incident date. Report the investigation using the approved method as per this procedure. Brief site management and others as relevant on the investigation findings / recommendations. If Legal Professional Privilege is to be maintained then this is all to be done in consultation with and direction from Legal Services.

Legal Services

- Review all reports (not approved forms) prior to being sent to statutory / external authorities.
- Provide advice and direction to Stakeholders to ensure all legal rights are maintained.

Workers

- Report incidents immediately using the approved method as per this procedure.