



INTEGRATED MANAGEMENT SYSTEM

OCCURRENCE AND NON-CONFORMANCE MANAGEMENT PROCEDURE

Document Number	TRN-IMS-GRP-PROC-013
Version Number	2.0
Classification	Unclassified
Effective Date	01 December 2019
Review Date	01 October 2022

SUMMARY VERSION CONTROL

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
1.0	New Document		01/12/2017
2.0	Change Presiding Officer to Chairperson throughout the document	All	30/11/2018
2.0	Change Property to Asset throughout the document	All	30/11/2018
2.0	Included Association of American Railroads (AAR):2015 Standard clause 2.18 on the references	15	30/11/2018
2.0	Replaced ISO 17025:2005 with 17025:2018 standard removed clauses 4.8, 4.9, 4.10, 4.11, 4.11.2, 4.11.3, 4.11.4 and 4.12 and replaced them with clauses 7.8.6 and 7.10.	15	30/11/2018
2.0	Removed Risk Management Standard (ISO 31000:2009) and excluded ISO 31000:2018 standard as it is not applicable to this procedure	15	30/11/2018
2.0	Removed OHSAS 18001:2007 Standard and clause 4.5.3 on the references and included ISO 45001:2018 Standard and clause 5.4, 10.2 on the references	15	30/11/2018
2.0	Deleted "...independent...and during an investigation from the definition of "Chairperson"	16	30/11/2018
2.0	Included new definition for "Concession"	17	30/11/2018
2.0	Amended the definition for "Correction" and deleted "Is the action taken to eliminate the problem now" to a new definition."	17	30/11/2018
2.0	Amended the definition for "Corrective Action" and deleted "A reactive process used to address root and other contributory causes to occurrences and prevent recurrence of failed management controls. It may also be triggered by a number of events e.g. non-conformances, unacceptable monitoring and measurement results, internal or external complaints, action to be taken to correct the root or contributory causes of a Rail Occurrence etc. to a new definition."	17	30/11/2018
2.0	Amended the definition for "Employee" and deleted "Any person who is on an indefinite (permanent) contract of employment or on a fix term contract or any person who works for Transnet and who receives, or who is entitled to receive any remuneration, and other person who in any manner assist	17	30/11/2018

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
	in carrying on out or conducting the business of Transnet excluding independent contractors."		
2.0	Included new definition for "Observation", it was not defined before.	18	30/11/2018
2.0	Included "...or from an occupational disease" on the "Fatality" definition.	18	30/11/2018
2.0	Removed "...an 8-hour shift" on the definition of "Immediate".	18	30/11/2018
2.0	Replaced "Independent Verification" with "Independent Validation"	18	30/11/2018
2.0	Included "Operations Control Centre" as one of the examples of "National Command Centre" on the definition.	19	30/11/2018
2.0	Deleted "...non-conformance and near misses..." from the definition of "Occurrence".	20	30/11/2018
2.0	Deleted the entire definition of "Person Involved"	21	30/11/2018
2.0	Included definition for warranty	22	30/11/2018
2.0	Amended the definition for "Witness" and deleted "A person who has physically seen an occurrence or non-conformity taking place."	22	30/11/2018
2.0	Deleted abbreviation for OHSAS	23	30/11/2018
2.0	Included abbreviation of "SHERQSC"	23	30/11/2018
2.0	Included abbreviation of SOPs	23	30/11/2018
2.0	Incorporated Group Chief Executive (GCE) role and responsibilities under Top Management.	24	30/11/2018
2.0	Included "(DoL, SAMSA, SAPS, etc)" as examples of Regulators / Authorities on the first function of SHERQSC.	25	30/11/2018
2.0	Included "...by use of intrinsically safe radio..." under 6.1.1 – Occurrence Notification.	25	30/11/2018
2.0	Reviewed second sentence under 6.1.3 "Management of Occurrence Scene" to read "The scene can only be disturbed when there is a need for medical services, environmental occurrence and if the scene poses immediate threat to life, the receiving environment and asset(s).	27	30/11/2018
2.0	Removed "...root..." and replaced it with "immediate" cause(s) on paragraph 7 of 6.1.3 Management of the Occurrence Scene.	28	30/11/2018
2.0	Reviewed the entire "table 1 – Transnet Occurrences	29-32	30/11/2018



VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
	Classification" across all levels 1 – 4 under 6.1.5		
2.0	Deleted "...within its controlled environment..." on the first paragraph under 6.1.6 – Occurrence Reporting and Recording.	33	30/11/2018
2.0	Included "...before the end of the shift followed by a written report within 24 hours..." on the second paragraph under 6.1.6 – Occurrence Reporting and Recording.	33	30/11/2018
2.0	Included "However reporting to external and Regulatory authorities shall be done according to the respective prescribed legislative timelines and requirements. Internal reporting shall be done..." on the second paragraph under 6.1.6 – Occurrence Reporting and Recording.	34	30/11/2018
2.0	Included "...according to respective prescribed legislative requirements..." Relevant regulatory forms shall be used...following...types..." Deleted "...using relevant regulatory forms..." on the fifth paragraph under 6.1.6 – Occurrence Reporting and Recording.	34	30/11/2018
2.0	Deleted the entire content of the sixth and the seventh paragraphs under 6.1.6 – Occurrence Reporting and Recording which read "All occurrences shall be reported internally and in writing within 24 hours in a form of a preliminary report as per Transnet occurrence notification and reporting form -Preliminary report. The reporting period to external and Regulatory authorities shall be done according to the respective prescribed legislative requirements."	36	30/11/2018
2.0	Deleted the entire content of the eleventh paragraph under 6.1.6 – Occurrence Reporting and Recording "The preliminary occurrence report must cover the following" and included this content in "Annexure 8.7 Transnet occurrence notification and reporting form (Preliminary report).	36	30/11/2018
2.0	Reviewed the type of occurrences which require On-site investigation to include "All Railway occurrences...and all Marine related occurrences." on the first paragraph under 6.1.7 On-Site Investigation.	36	30/11/2018
2.0	Deleted duplicated bullet "Identify, preserve and document on-site evidence;" on the third paragraph under 6.1.7 On-Site Investigation.	37	30/11/2018
2.0	Deleted "part of" on 6.1.7.5 Conduct On-site Investigations	39	30/11/2018

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
	and added "which shall inform and goes into the IC report"		
2.0	Amended table for technical forms by separating HAZMAT and Fire Occurrences Technical form from Explosion and Other Safety Occurrences technical form	40	30/11/2018
2.0	Replaced "should with shall"...include "as" and replaced "remove bias with maintain objectivity" on the first paragraph under 6.1.9 Line Investigation as well as on paragraph seven under 6.1.9.1 6 Appointment of Chairperson and Investigation Team	40 & 46	30/11/2018
2.0	6.1.9.1 – Appointment of Chairperson and Investigation Team, included consulting of approved list from Group for appointment of Attorneys or legal firm.	41	12/11/2019
2.0	Deleted duplicated level on the investigation forms and added Marine occurrences both on the on-site and line investigation in the content of the procedure and on the applicable forms.	36, 40, 44, 63, 75, 87	30/11/2018
2.0	Revised timelines under 6.1.9.3 – Line Investigation method and 6.1.9.9 – Line Investigation report to include calendar and replaced conclusion of the report to fifteen (15) instead of seven (7). Grammatical changes were also made.	43 & 48	22/05/2019
2.0	Deleted "...level 3 and 4...be concluded and report signed off...working..." under paragraph two and three of 6.1.9.3 Line Investigation method.	43 & 48	30/11/2018
2.0	Deleted paragraph five under 6.1.9.3 Line investigation method which read "Investigation for Level 1 and 2 occurrences should be established within 15 working days from the date of the occurrence."	43	30/11/2018
2.0	Added "...any..."deleted "...following...and as defined in the Continual Improvement Procedure – TRN-IMS-GRP-PROC-018-8.2.:" Also deleted the defined types of Root cause analysis techniques from the entire document and instead referred to techniques under Continual improvement. This was on paragraph ten under 6.1.9.3 Line Investigation methods and paragraph three under 6.2.4 Non-Conformance Investigation.	44, 45 & 57	30/11/2018
2.0	Deleted "...support and advice his/her member" of paragraph fourteen under 6.1.9.3 Line Investigation method and left observe.	44	30/11/2018

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
2.0	Deleted the entire paragraph nineteen under 6.1.9.3 Line Investigation method and replaced it with "Any evidence obtained during the onsite and line investigation may be admissible in the independent investigation"	45	30/11/2018
2.0	Deleted "...initiate and replaced it with "...make recommendations" under paragraph 24 of 6.1.9.3 Line Investigation method.	45	30/11/2018
2.0	Deleted the entire paragraph six under 6.1.9.9 Line Investigation Report.	48	30/11/2018
2.0	Included "...The draft report for occurrences needs to be circulated within in 15 calendar days and the..." deleted "...of the level 1 and 2 investigation...()..." included...the relevant stakeholders which include...for level 1 and 2 occurrences" in paragraph eight under 6.1.9.9 Line Investigation Report.	48	30/11/2018
2.0	Added "Investigation reports are confidential and legally privileged" under Disclosure of investigation reports.	48	30/11/2018
2.0	Included "...apply the hierarchy of controls as outlined in the Operational Risk Management Procedure - TRN-IMS-GRP-PROC-004, and..." under paragraph four of 6.1.11 Manage Corrective and Preventative Actions.	49	30/11/2018
2.0	Removed "...Evaluation..." on the heading 6.1.12 Monitoring, Evaluation, Verification and Validation of Corrective & Preventative Actions. Included paragraph two which read "Line Management shall ensure documented verification of all completed action plans and conduct physical verification. Evidence of execution must be submitted to/or monitored by the SHERQSC Management department for independent validation."	49	30/11/2018
2.0	Included paragraph one which reads "Occurrences shall be managed as stipulated in the conditions of interface agreement, and/or compliance obligations as agreed by interfacing parties, refer to Interface Management Procedure - TRN-IMS-GRP-PROC-012" under 6.1.17 Management of Occurrences at Interface.	51	30/11/2018
2.0	Included "...and Transnet... or Safety Agent acting on behalf of the client" on paragraph two under 6.1.18 Management of Contractor related Occurrences. On the same heading	52	30/11/2018

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
	included paragraph three "Occurrences that have significant or insignificant impact on the environment, whether in part or wholly, which may or may not have a potential to result in a non-compliance to the respective environmental legislation, shall be managed by the Contractor in line with requirements of applicable environmental legislation."		
2.0	Amended sources of Non-conformances under 6.2.1 to include Non-Conforming products or services received from vendors or supplied to customers.	53	30/11/2018
2.0	Amended process of disputing non-conformances external bodies and non-compliances from Authorities and Regulators	54	30/11/2018
2.0	Amended Table 2: Classification of Non-Conformances to replace "Observation with Areas of Concern, review close-out period for High Priority / Major NC, and referenced ERM and Operational Risk methodologies to address the rating requirement from integrated assurance.	54-55	30/11/2018
2.0	Addressed the manner in which observations will be handled as they are not regarded as non-conformances on the first paragraph of classification of non-conformances.	55	30/11/2018
2.0	Rephrased the method of classifying internal non-conformances on paragraph 2 in the event they are received un-classified from integrated assurance activities and deleted some sections of how it was previously narrated.	55	30/11/2018
2.0	Included a new section on Management of Non-Conforming Products, Services and Warranty Failures under 6.2.4.	55-56	30/11/2018
2.0	Deleted 2 nd paragraph on 6.2.5 – Non-conformance investigation and amended paragraph 3 to include that non-conformance investigations shall be conducted on the NCR reporting form itself.	56	22/05/2019
2.0	Included a new section on Management of Non-Conformances In Relation to Contractors, Vendors and Tenants under 6.2.6	57	30/11/2018
2.0	Deleted the entire content of CAP requirements and included it in the CAP Register.	57	30/11/2018
2.0	Deleted "or" replaced with "and uploaded"	58	30/11/2018
2.0	Minor amendments on 6.2.8 Verification, Close-out and Validation of Non-Conformances	58	30/11/2018

VERSION NO.	NATURE OF AMENDMENT	PAGE NO.	DATE REVISED
2.0	Minor amendments on 6.2.13 Preventive Actions	60	30/11/2018
2.0	<p>Reviewed the following forms and aligned the rest for consistency</p> <ul style="list-style-type: none"> • Transnet occurrence notification and reporting form (Preliminary report). • Railway Occurrence Technical Form • Marine Technical Form • Vehicle Technical Form • Security Technical Form • HAZMAT and Fire Technical Form • Explosions and Other Safety Occurrences Technical Form (separated it from HAZMAT and Fire) • Line investigation for Level 1 , 2, Railway and Marine Occurrences Form • Onsite Investigation Form (Incident Commander Report) to include Marine requirements • Line Investigation for All level 3 and 4 Occurrences • Non-Conformance Reporting Form • Corrective and Preventative Action Plan Form 	70 - 108	30/11/2018
2.0	Document numbering, formatting and alignment on all the attachments and in the procedure in line with the new numbering	70 - 108	30/11/2018
2.0	<p>Reviewed the following Process flows and aligned all other process flows to ensure consistency:</p> <ul style="list-style-type: none"> • Occurrence Notification and Reporting • Maritime Occurrences • Asset Damage • Non-Conformance Management 	66 – 78 & 105	30/11/2018
2.0	Reviewed "Annexure 8.2 Transnet Occurrence Notification and Reporting Process Flow" in line with the revised occurrence classification levels and verified if the requirement to report Level 1 and 2 according to the OD hierarchical order is clear.	66	30/11/2018

Note: Only the latest amendments and/or additions are reflected in italics in the body of the document.

DOCUMENTATION SIGN-OFF SHEET

I, the undersigned hereby approve this procedure.



ROLE	CAPACITY/FUNCTION	SIGNATURE	DATE
Process Owner:	General Manager: Risk and Compliance		19/11/2019
Accepts document for adequacy and practicability. Comments:			
Approval Committee:	Risk Management Committee Chairperson		23.01.2020
Approves document for use. Comments:			

TABLE OF CONTENTS

1. PURPOSE	15
2. APPLICABILITY	15
3. REFERENCE DOCUMENTS	15
4. DEFINITIONS AND ABBREVIATIONS.....	16
4.1 Definitions	16
4.2 Abbreviations.....	22
5. ACCOUNTABILITY, RESPONSIBILITY AND AUTHORITY	24
6. PROCEDURE.....	25
6.1 OCCURRENCE MANAGEMENT	25
6.1.1 Occurrence Notification	25
6.1.2 Activation of Emergency Response.....	26
6.1.3 Management of the Occurrence Scene	27
6.1.4 Guideline for Handling Employee Death in the Workplace	28
6.1.5 Classification of Transnet Occurrences	28
6.1.6 Occurrence Reporting and Recording	33
6.1.7 On-Site Investigation	36
6.1.7.1 Appointment of On-site Investigation team.....	37
6.1.7.2 Incident Commander (IC) and Incident Officer (IO) Duties.....	37
6.1.7.3 Identification, preservation and documentation of evidence	38
6.1.7.4 Collecting of data and information	38
6.1.7.5 Conduct On-site investigation	38
6.1.7.6 Collaboration with Authorities	39
6.1.7.7 Completion and presentation of IC report	39
6.1.7.8 IC handover to Line investigation team	39
6.1.8 Completion of Technical forms.....	40

6.1.9	Line Investigation.....	40
6.1.9.1	Appointment of <i>Chairperson</i> and Investigation Team.....	41
6.1.9.2	Terms of Reference for Line Investigation	42
6.1.9.3	Line Investigation method.....	43
6.1.9.4	Technical Investigation	46
6.1.9.5	Interviewing of the witnesses	46
6.1.9.6	Evaluation of the available evidence collated.....	46
6.1.9.7	Re-enactment of the scene	47
6.1.9.8	Defining of the Recommendations (Corrective & Preventative Actions).....	47
6.1.9.9	Line Investigation Report	47
6.1.10	Disclosure of Occurrence Investigation Reports.....	48
6.1.11	Manage Corrective and Preventative Actions.....	49
6.1.12	Monitoring, Verification and Validation of Corrective & Preventative Actions...	49
6.1.13	Closing-Out Investigation	49
6.1.14	Occurrence Recalls, Communication and Lessons Learnt.....	50
6.1.15	Occurrence Reviews and Trends Analysis	50
6.1.16	Occurrence Statistics and Reports.....	51
6.1.17	Management of Occurrences at Interface	51
6.1.18	Management of Contractor related Occurrences	52
6.2	NON-CONFORMANCE MANAGEMENT	53
6.2.1	Sources of Non-Conformances.....	53
6.2.2	Reporting of Non-Conformances	54
6.2.3	Non-Conformance Classification.....	54
6.2.4	<i>Management of Non-Conforming Products, Services and Warranty Failures...</i>	<i>55</i>
6.2.5	Non-Conformance Investigation.....	56

6.2.6	<i>Management of Non-Conformances In Relation to Contractors, Vendors and Tenants</i>	57
6.2.7	Recommend Corrective and Preventative Action.....	57
6.2.8	Verification, <i>Close-out and Validation</i> of the Non-Conformance.....	58
6.2.9	Monitor and Review of the effectiveness of the corrective & preventative actions	59
6.2.10	Record Non-conformances and associated documentation	59
6.2.11	Non-Conformances Reviews and Trends Analysis	59
6.2.12	Non-conformances Lessons Learnt.....	60
6.2.13	Preventive Actions.....	60
6.2.14	Continual Improvement	61
7.	RECORDS.....	61
7.1	Preliminary reports	61
7.2	Occurrence Technical reports	61
7.3	Transnet Notification for level 1 and 2 reports.....	61
7.4	On-site Investigation reports	61
7.5	Line Investigation reports.....	61
7.6	Attendance Registers.....	61
7.7	Near miss reports.....	61
7.8	Occurrence recalls	61
7.9	Non-conformances reports	61
7.10	Non-compliance Stop Certificates.....	61
7.11	Corrective and Preventative Action Plans	62
8.	ANNEXURES.....	62
8.1	<i>TRN-IMS-GRP-FLC-013.1</i> Transnet Occurrence management process flow	62
8.2	<i>TRN-IMS-GRP-FLC-013.2</i> Transnet Occurrence notification and reporting process flow	62

8.3	<i>TRN-IMS-GRP-GDL-013.3</i> SMS notification guideline for all occurrences	62
8.4	<i>TRN-IMS-GRP-GDL-013.4</i> Transnet Emergency response guideline	62
8.5	<i>TRN-IMS-GRP-FLC-013.5</i> Transnet emergency response process flow	62
8.6	<i>TRN-IMS-GRP-GDL-013.6</i> Guideline for Handling Employee Death in the workplace 62	
8.7	<i>TRN-IMS-GRP-FRM-013.7</i> Transnet Occurrence notification and reporting form (Preliminary Report).....	62
8.8	<i>TRN-IMS-GRP-FLC-013.8</i> Railway Occurrence Management process flow	62
8.9	<i>TRN-IMS-GRP-FLC-013.9</i> Injury on duty Occurrence Management process flow....	62
8.10	<i>TRN-IMS-GRP-FLC-013.10</i> Occupational Diseases & Illnesses Management process flow 62	
8.11	<i>TRN-IMS-GRP-FLC-013.11</i> Environmental Occurrence Management process flow ..	62
8.12	<i>TRN-IMS-GRP-FLC-0.13.12</i> Maritime Occurrence Management process flow	62
8.13	<i>TRN-IMS-GRP-FLC-013.13</i> Asset Damage (including Motor vehicle) Occurrence Management process flow	62
8.14	<i>TRN-IMS-GRP-FLC-013.14</i> Security Occurrence Management process flow	62
8.15	<i>TRN-IMS-GRP-FLC-013.15</i> HAZMAT, Fire, Explosion and Other Safety Occurrences process flow	62
8.16	<i>TRN-IMS-GRP-FRM-013.16</i> Transnet Occurrence Notification and Reporting form for Level 1 and 2	62
8.17	<i>TRN-IMS-GRP-LT-013.17</i> Incident Commander Appointment letter	62
8.18	<i>TRN-IMS-GRP-LT-013.18</i> Incident Officer Appointment letter	62
8.19	<i>TRN-IMS-GRP-FRM-013.19</i> On-site Investigation Form (Incident Commander Report) 62	
8.20	<i>TRN-IMS-GRP-FRM-013.20</i> Railway occurrence technical form	62
8.21	<i>TRN-IMS-GRP-FRM-013.21</i> Injury on duty technical form.....	62
8.22	<i>TRN-IMS-GRP-FRM-013.22</i> Occupational Diseases & Illnesses technical form	62

8.23	<i>TRN-IMS-GRP-FRM-013.23</i>	Environmental occurrence technical form.....	63
8.24	<i>TRN-IMS-GRP-FRM-013.24</i>	Maritime occurrence technical form.....	63
8.25	<i>TRN-IMS-GRP-FRM-013.25</i>	Asset Damage Occurrence technical form	63
8.26	<i>TRN-IMS-GRP-FRM-013.26</i>	Motor vehicle occurrence technical form	63
8.27	<i>TRN-IMS-GRP-FRM-013.27</i>	Security occurrence technical form.....	63
8.28	<i>TRN-IMS-GRP-FRM-013.28</i>	HAZMAT and Fire occurrences technical form.....	63
8.29	<i>TRN-IMS-GRP-FRM-013.29</i>	Explosion and Other Safety occurrences technical form	63
8.30	<i>TRN-IMS-GRP-GDL-013.30</i>	Transnet Occurrence Severity Matrix (Guideline) for Line Investigation Chairpersons and Investigation team	63
8.31	<i>TRN-IMS-GRP-LT-013.31</i>	Chairperson Appointment letter	63
8.32	<i>TRN-IMS-GRP-LT-013.32</i>	Investigation Team member Appointment letter.....	63
8.33	<i>TRN-IMS-GRP-TOR-013.33</i>	Transnet Terms of Reference for Level and 2	63
8.34	<i>TRN-IMS-GRP-TMP-013.34</i>	Confidentiality Undertaking.....	63
8.35	<i>TRN-IMS-GRP-FRM-013.35</i>	Line Investigation Form for Level 1, Level 2, Railway and Marine Occurrences	63
8.36	<i>TRN-IMS-GRP-FRM-013.36</i>	Line Investigation Form for Level 3 and 4 occurrences	63
8.37	<i>TRN-IMS-GRP-GDL-013.37</i>	Just Culture Principles for Occurrence Investigation	63
8.38	<i>TRN-IMS-GRP-GDL-013.38</i>	Code of Ethics for Investigation Team	63
8.39	<i>TRN-IMS-GRP-FRM-013.39</i>	Near miss reporting and severity matrix form (report)	63
8.40	<i>TRN-IMS-GRP-GDL-013.40</i>	Guidelines for interviewing witnesses.....	63
8.41	<i>TRN-IMS-GRP-FRM-013.41</i>	Occurrence Recall.....	63
8.42	<i>TRN-IMS-GRP-FLC-013.42</i>	Non-conformance management process flow	63
8.43	<i>TRN-IMS-GRP-FRM-013.43</i>	Non-conformance reporting form	63
8.44	<i>TRN-IMS-GRP-FRM-013.44</i>	Non-compliance Stop Certificate.....	63
8.45	<i>TRN-IMS-GRP-FRM-013.45</i>	Corrective and Preventative Action Plan Capturing form	63

1. PURPOSE

The purpose of this procedure is to provide guidelines and a framework for identification, reporting, recording and effective investigation of all actual and potential occurrences and non-conformities as defined in this procedure for Transnet SOC Ltd (hereafter referred to as "Transnet"). This is done in order to ensure proper and timeous implementation of corrective and preventive actions.

2. APPLICABILITY

This procedure is applicable to Transnet.

3. REFERENCE DOCUMENTS

NAME	REFERENCE	APPLICABLE SECTIONS
Asset Management Systems	ISO 55001:2014	Clauses 10.1 and 10.2
<i>Association of American Railroads</i>	<i>AAR 5000:2015</i>	<i>Clause 2.18</i>
Business Continuity Management Procedure	TRN-IMS-GRP-PROC-016	
Conformity Assessment	ISO 17020:2012	Clauses 8.7 and 8.8
Contractor Management Procedure	TRN-IMS-GRP-PROC-014	
Continual Improvement Procedure	TRN-IMS-GRP-PROC-018	
Derailment Investigation Handbook		BBD6462
Energy Management System	ISO 50001:2011	Clause 4.6.4
Environmental Management System	ISO 14001:2015	Clause 10.2
Food Safety Management System	SANS 10049:2012	Clauses 9, 9.1, 9.2, 9.3, 10, 10.1 and 10.2
<i>General requirements for the competence of testing and calibration Laboratories</i>	<i>ISO 17025:2018</i>	<i>Clauses 4.8, 4.9, 4.10, 4.11, 4.11.2, 4.11.3, 4.11.4 and 4.12</i>
Guidance on Social Responsibility	ISO 22301:2012	Clause 10, 10.1 and 10.2
Information Technology – Service Management	ISO 20000-1:2011	Clause 8.1
Integrated Assurance Procedure	TRN-IMS-GRP-PROC-015	
Interface Management Procedure	TRN-IMS-GRP-PROC-012	
Leadership Procedure	TRN-IMS-GRP-PROC-001	
<i>Occupational Health and Safety Management System</i>	<i>ISO 45001:2018</i>	<i>Clause 5.4, 10.2</i>

NAME	REFERENCE	APPLICABLE SECTIONS
Quality Management Systems	ISO 9001:2015	Clause 10.2
Railway Safety Management	SANS 3000-1:2016	Clauses 4.8, 4.9, 4.10, 5 and 6
RSR Determination of Safety Management Systems and Reports		Clauses 8.3.1, 8.3.2, 8.4.1, 9.4.2 10.2.3 and 10.2.4
Societal Security – Business Continuity Management System	ISO 22301:2012	Clauses 8.4.2, 8.4.3 and 10.1
Stakeholder Engagement and Management Procedure	TRN-IMS-GRP-PROC-007	
Objectives, Targets and Programmes Management Procedure	TRN-IMS-GRP-PROC-006	
Operational Risk Management Procedure	TRN-IMS-GRP-PROC-004	
Transnet Applicable Policies		

4. DEFINITIONS AND ABBREVIATIONS

4.1 Definitions

Asset

All *assets* of Transnet, including buildings, contents, equipment, machinery, rolling stock, motor vehicle (owned and leased) and third party *asset* in the care, custody and control of Transnet.

Assessment

Process of gathering information related to predetermined criteria in order to make a judgement/decision within a specific context.

Awareness

Knowledge or perception of a situation or fact.

Chairperson

A person formally appointed to chair and facilitate proceedings.

Close Out

System status indicating that an occurrence has been adequately investigated, root and other contributory causes addressed and corrective measures have been implemented to prevent future events.

Competent

Having the qualifications, knowledge, skills, attitudes and capabilities required to function successfully in a given job.

Concession

A concession is a permission that you get from the client to use or release a non-conforming product. This concessions is usually time and quantity limited.

Contractor

An employer (organization) or a person who performs **ANY** work and has entered to a legal binding business agreement contract to supply a product or provide services to Transnet. This applies to the Suppliers, Vendors, Consultants, Service providers or Contractors performing construction work. **NB:** A Contractor is an employer in his/her own right.

Correction

An immediate action taken to correct a non-conformity.

Corrective Action

An action to eliminate the cause of a non-conformity and to prevent re-occurrence.

Document

Any note or written material, whether produced by hand or by printing, typewriting or any other similar process in either tangible or electronic format. Any copy, plan, picture, sketch or photographic or other representation of any place or article.

Employee

Any person who is employed by or works for Transnet and who receives or is entitled to receive any remuneration or who works under the direction or supervision of Transnet.

Employer

Any person who employs or provides work for any person and remunerates that person.

Evidence

Objective data supporting the existence or verity of something.

Observation

It is an area of concern that has the potential to lead into non-conformance if not addressed /attended to.

Fatality

A death of an employee resulting from a work related injury *or from an occupational disease.*

First responder/Designated person

A person from Transnet and/or responding unit/emergency service to arrive at the scene of an occurrence and who could correctly identify the goods and hazards, and communicate relevant information to other emergency services either directly or through a base station.

Governance structure

Transnet organizational structures and include the Transnet Board; Board Sub-Committees and other committees established to support the aforementioned committees.

Immediate

As soon as reasonable practical before the end of *the* shift.

Incident Commander

An authorized management representative from operational environment who is appointed and activated to respond to an occurrence based on their seniority level.

Incident Officer

An authorised person who is appointed and required to form part of the team activated to an occurrence based on their technical expertise.

Independent *validation*

A process undertaken by a person outside of the specific operational environment in order to provide assurance that adequate measures have been taken to address the corrective and preventative action.

Information

Meaningful data, evidence, material, etc. which has been obtained by word-of-mouth (verbally) or documented (in writing) and includes documents, data and records.

Injury on duty

Injuries arising out of and in the course and scope of employment.

Interface

Area, point or location, either physical or organizational, where the activities or assets of Transnet and other external operators/organisations meet, and where the activities or assets or both interact or have the potential to affect one another. Examples include Service Level Agreement, Private siding agreements, Terminal Operator Licences, Section 56 and 57 (NPA) agreements, Access Agreements and Lease agreements, MoUs.

NOTE: For the purpose of this procedure as outlined in the **Interface Management Procedure, TRN-IMS-GRP-PROC-012**; interface refers to intraface, interface and interoperability.

Just Culture

Where conditions prevailing in Transnet are such that individuals are not blamed for honest errors, but are held accountable for wilful violations and gross negligence.

Line Investigation

Formal investigation conducted by a team which has been properly appointed/constituted based on the scale, magnitude and type of occurrence being managed.

Line Management

A person or group of people overseeing the day-to-day business operations. This refers to Middle Managers, Junior Managers, Supervisors and Team Leaders.

National Command Centre

All the existing command centres across Transnet like Port Control, Security Nerve Centres, Train Control Office, Centralised Train Control, National Operations Control, National Control Centre, *Operations Control Centre*, etc.

Near Miss

An un-intended, uncontrolled event that, under slightly different circumstances, could have resulted in an injury, pollution or damage to *asset*.

Non-Conformance

Deviation from specification, relevant work standards, practices, procedures, legal requirements, a failure to fulfil a requirement. Non-compliance only relates to a non-conformance with a specific legal requirement.

Non-Conformance management

The entire process of notification/identification, reporting, investigation, corrective and preventative action plans and close-out as defined in this procedure.

Notification

A process of informing a person of an occurrence or non-conformity as defined in this procedure.

Occurrence

An undesired, unplanned or unexpected work related safety, health, environment, security, railway, *asset*, asset damage that involve Transnet employees, learners, visitors, contractors and members of the public on Transnet premises and anywhere else where employees are engaged in the organizational activities and services. It is managed by an employer/operator in accordance with his/her integrated management system.

Occurrence management

The entire process of notification, reporting, investigation, corrective and preventative action plans and close-out as defined in this procedure.

On-site Investigation

Formal investigation facilitated by the incident commander with the assistance of incident officers immediately after the occurrence has been reported, aimed at collating all the evidence, establishing basic, root causes and other contributing factors before the scene is disturbed considering that the line investigation might take long to sit after the occurrence.

Perishable Evidence

Fresh, delicate or consumable evidence

Preliminary Report

An initial report which is produced based on the basic factual information following the occurrence within 24 hours pending verification and testing of all the information.

Preventative Action

A proactive process used to identify non-conformities before they actually occur and put measure in place to ensure they do not occur.

Process flow

A systematically and documented steps from the start to an end of the activity.

Recording

Capturing of the occurrence using a recognised method/system for tracking and reference purposes.

Reference number

Identification number of an occurrence issued either internally or externally, e.g. OB, CAS, AR, Nerve Centre Reference No, etc.

Regulatory Authorities

Regulators

Reporting

Formal reporting of an occurrence (in writing using prescribed forms), stating basic factual information gathered at the time of the occurrence.

Root Cause

The fundamental issue(s) or cause of an occurrence which can reasonably be identified from the occurrence that has occurred utilising a recognised root cause analysis technique, which management can control or rectify.

Safe Custody

Under lock and key where access is controlled to ensure unauthorised persons do not have access.

System

A set of interrelated components working together to achieve a common outcome / objective.

Warranty

A warranty is the period that you are given to use a product/service without a failure, should that product fail then it will be repaired/replaced at the cost of the manufacture or service provider.

Witness

A witness is someone who has, who claims to have, or is thought, by someone with authority to compel testimony, to have knowledge relevant to an event or other matter of interest.

4.2 Abbreviations

AR	Accident Report
CAP	Corrective and Preventative Action Plan
CAS	Case
CCRO	Chief Corporate and Regulatory Office
DEA	Department of Environmental Affairs
DoL	Department of Labour
DWS	Department of Water and Sanitation
ECC	Emergency Command Centre
GCE	Group Chief Executive
HAZMAT	Hazardous Materials
IC	Incident Commander
ICC	Incident Command Control

IMS	Integrated Management System
ISO	International Standardisation Organisation
IO	Incident Officer
NEMA	National Environmental Management Act
NWA	National Water Act
OB	Occurrence Book
OD	Operating Division
PPPSG	Policy, Procedure, Process, Standard and Guideline
RSR	Railway Safety Regulator
R-CAT	Root Cause Analysis Technique
SAMSA	South African Maritime Safety Authority
SANS	South African National Standard
SHE	Safety, Health and Environment
<i>SHERQSC</i>	<i>Safety, Health, Environment, Risk, Quality, Security</i>
SMART	Simple, Measurable, Achievable, Realistic, Time-bound
<i>SOPs</i>	<i>Standard Operating Procedures</i>

5. ACCOUNTABILITY, RESPONSIBILITY AND AUTHORITY

Top Management	<ul style="list-style-type: none"> • Overall accountability of this procedure; • Provide guidance to the overall occurrence and non-conformance management; • Demonstrate commitment to the development and implementation of occurrence and non-conformance management procedure; • Ensure availability of financial, human and organisational resources to effectively implement the requirements for the procedure; • Ensure implementation of this procedure; and
Chief Corporate and Regulatory Officer (CCRO)	<ul style="list-style-type: none"> • Ensure compliance to this procedure. • Communicate to employees regarding occurrence trends;
Senior Management	<ul style="list-style-type: none"> • Communicate requirements of the procedures and ensure adherence; • Ensure adequacy and integrity of data and information; • Analysis of the occurrence trends, initiate and communicate action plans; • Ensure corrective and preventative actions are implemented to address the root cause(s); • Provide required training and awareness, and maintain records for all personnel; • Ensure effective communication on how measurements and targets will be met; and
Line Management	<ul style="list-style-type: none"> • Communicate requirements of the procedures and ensure adherence; • Ensure adequacy and integrity of data and information; • Analysis of the occurrence trends, initiate and communicate action plans; • Implement this procedure; • Notify, report and record occurrences; • Conduct occurrence investigations; • Ensure relevant competencies are in place to effect this procedure; and • Implement recommendations, corrective and preventative actions.
Employees	<ul style="list-style-type: none"> • Adhere to this procedure and cooperate with management; • Carry out instructions issued in the interest of this procedure; • Attend training and awareness; • Report all occurrences in line with the requirements of this procedure; and

	<ul style="list-style-type: none"> Participate in the successful implementation of corrective action plans.
SHERQ/Security/Compliance Management (SHERQSC)	<ul style="list-style-type: none"> Report mandatory occurrences to applicable regulatory authorities (e.g. DoL, SAMSA, SAPS, etc); Report level 1 and level 2 occurrences to the CCRO; Assist in occurrence investigation; Following up on mitigations, and monitor non-conformances, occurrences to ensure prevention of reoccurrence; Verify close-out of corrective and preventative actions; and Validate adequacy and sustainability of control measures implemented.

6. PROCEDURE

6.1 OCCURRENCE MANAGEMENT

The following occurrence management process shall be followed when dealing with Transnet occurrence(s) as outlined in **Annexure 8.1, Transnet Occurrence Management Process Flow**.

6.1.1 Occurrence Notification

Immediate notification of an occurrence shall be done by any person who witnesses or receives information about an occurrence, either verbally, *by use of intrinsically safe radio*, or in writing to the supervisor or National Command Centre (NOC) (where applicable). The attached Transnet occurrence notification and reporting process flow shall be followed as per **Annexure 8.2 Transnet Occurrence Notification and Reporting Process Flow**.

In the event that an employee is injured whilst on duty, he/she must notify the supervisor on duty or SHE Representative of the injury immediately or before the end of shift.

The Supervisor must then immediately notify the next level of Line Management (in their hierarchical order) and Safety, Health, Environment, Risk, Quality, Security and Compliance (SHERQSC) Management Department.

Immediate notification of **Level 1 and 2** occurrences to the Senior and/or Executive Management level, Operating Division (OD)/Specialist Unit (SU) Corporate SHERQSC Management Office, Divisional Chief Executive, Group CCRO Office and Group Chief

Executive shall be done telephonically and/or by short message service (SMS, WhatsApp, etc.) as per **Annexure 8.3, SMS notification guideline for all occurrences.**

The Transnet employee/s that receives notification of an occurrence must ensure the following immediate measures are taken and information collated:

- Name of the person/s involved;
- Location of the occurrence;
- Date and time of the occurrence;
- Details of the witness(es) to the occurrence;
- Brief description of the occurrence and the scene;
- Consequence of the occurrence (e.g. injury (ies), fatality (ies), asset damage(s), theft, defect, quality impact, environmental impact etc.);
- Indicate if medical attention is needed;
- If it is an environmental occurrence (is it managed to prevent continuous damage to the environment);
- If it is a HAZMAT occurrence (is it contained and recovered or uncontained);
- Weather condition;
- Make safe and preserve the occurrence site;
- In the event of a security occurrence report it to SAPS and/or Security Nerve Centre, obtain a case number and/or reference number; and
- Immediate actions taken to minimize the impact.

6.1.2 Activation of Emergency Response

First responder/designated person should assess the extent and scale of the occurrence and then classify the occurrence according to Level 1, 2, 3 or 4.

First responder/designated person should activate required stakeholders in line with the local emergency response plan. Local emergency response plans can be formulated utilising the attached Transnet emergency response guideline, **Annexure 8.4, Transnet Emergency Response Guideline** and **Annexure 8.5 Transnet Emergency Response Process Flow.**

Depending on the level and severity, Incident Command and Control (ICC) or Emergency Control Centre (ECC) might require to be established (if necessary).

The following illustration should be used as a guideline during the activation process, **Figure 1** (depending on the level and severity of the occurrence):

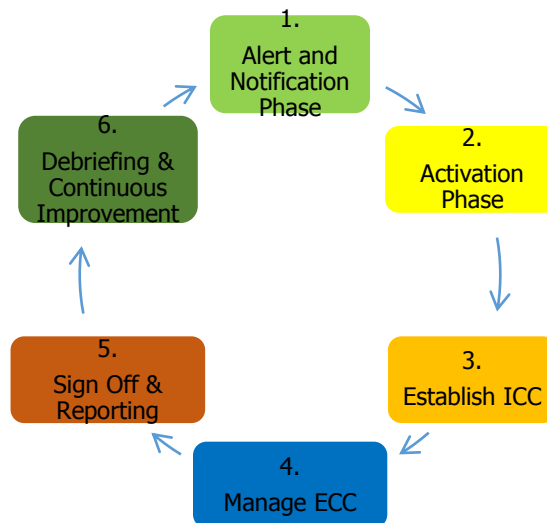


Figure 1: Illustration of Activation phases

Alert the Business Continuity Coordinator throughout the management of the Level 1 and 2 occurrences to ensure in the event the occurrence escalates, the local contingency plan should be activated in line with the guidelines defined under **Business Continuity Management Procedure – TRN-IMS-GRP-PROC-016**.

6.1.3 Management of the Occurrence Scene

Occurrence scene must be secured, preserved and evidence not tampered with. The *scene* can only be *disturbed* when there is a need for medical services, *environmental occurrence and if the scene poses immediate threat to life, the receiving environment and/or asset(s)*. Care must be exercised when the injured employee is handled in order not to cause further injuries.

The first responder/designated person, who will assume or act as an incident commander determines the severity of the occurrence and activate the appropriate incident commander level.

The first responder/designated person must immediately make record of the disturbance such as original position, reason for moving the person/piece of evidence and make the incident commander who takes over from him/her and investigating officer aware of those activities.

Hand over the scene to the incident commander with all necessary information.

As far as practical, the occurrence scene must be preserved so that it may assist in the investigation process to determine *immediate* cause(s) of the occurrence as well as in filing an insurance claim amongst other requirements.

The recording of evidence can include pictures, sketches, videos, 3D scanner images etc.

The scene may be preserved by one of the following means:

- Cordon off;
- Physical guarding;
- Set up of a security perimeter and access control access into the scene;
- Appoint a person to accompany all visitors to the equipment;
- Lock strategic areas or erecting physical barriers; and
- Evacuate the area if possible.

6.1.4 Guideline for Handling Employee Death in the Workplace

A guideline has been developed for handling employee death in the workplace as per **Annexure 8.6 Guideline for Handling Employee Death in the workplace**. This document is aimed at bringing consistencies amongst Transnet and should be utilised as a minimum.

6.1.5 Classification of Transnet Occurrences

Transnet occurrences shall be classified as indicated in **Table 1** below according to level 1, level 2, level 3 and level 4.

The classification of an occurrence can however be escalated to the next level of severity where there is a repeat of similar occurrences on regular basis.

LEVEL	TYPE	DESCRIPTION
LEVEL 1	Technical	<p>1.1. Plant /Asset damage <i>exceeds R20 million in the case of Transnet Freight Rail and R10 million in respect of all other Divisions</i>;</p> <p>1.1. Occurrence that have resulted in significant business interruption, as per Transnet risk rating;</p> <p>1.2. An occurrence impacting significantly on more than one Division; and</p> <p>1.3. Impact on customers, stakeholders or outside parties where costs to Transnet might <i>exceed R20 million in the case of Transnet Freight Rail and R10 million in respect of all other Divisions</i>.</p>
	Operational	<p>2.1 Transnet becoming liable to prosecution or other legal action;</p> <p>2.2 Major political or media focus on the image of Transnet; and</p> <p>2.3 National or international media outcry.</p>
	Health and Safety	<p>3.1 The death of an employee and/or contractor on Transnet premises as a result of Transnet's operations;</p> <p>3.2 Level crossing occurrences which resulted in fatalities to third (3rd) parties;</p> <p>3.3 Exposure to any hazardous chemical substance above the occupational exposure limit Control Limit (OEL – CL) listed in table 1 of the Regulations for Hazardous Chemical Substances with or without the required use of respiratory protection unless Breathing Apparatus sets were used as part of rescue situations; and</p> <p>3.4 A release of material (gas, liquid, solid) or energy that will cause chronic illness, permanent lost time injury, fatality or extensive asset damage is experienced by interested and affected parties.</p>
	Environmental	<p>4.1 Environmental occurrences as defined by NEMA section 30 and the National Water Act (36 of 1998) Section 20, that resulted in:</p> <p><i>4.1.1 A significant impact on the physical or biological environment (air, ground, water, ecosystems and habitats) with extensive or long term impairment of the ecosystem or habitat function including surface and ground water resources;</i></p> <p><i>4.1.2 A disturbance/disruption/altercation including odour, dust, noise and pollution which will cause prolonged environmental damage (>12 months);</i></p> <p><i>4.1.3 Large impact or disturbance to the environment and nearby sensitive environment(s);</i></p> <p><i>4.1.4 Long term environmental impact or disturbance with a long term impact on interested and affected parties (3rd parties and stakeholders);</i></p> <p><i>4.1.5 Irreparable damage to a protected and/or conserved ecologically viable areas and sacred locations (such as heritage sites);</i></p>



LEVEL	TYPE	DESCRIPTION
		<p>4.1.6 Instances where water samples taken by or for the regulator to check legal compliance, were found to be outside the permitted limits and have resulted in prosecution; and</p> <p>4.1.7 <i>Significant quantities of dangerous substance spilled above the regulated limits as per Section 30 (1000L) of NEMA in an uncontained manner.</i></p>
LEVEL 2	Technical	<p>1.1 Plant/asset damage <i>between R10 and R20 million in the case of Transnet Freight Rail and between R5 and R10 million in respect of all other Divisions;</i></p> <p>1.2 Capacity loss considered significant by the Divisional Chief Executive; and</p> <p>1.3 Events that have resulted in serious business interruption and other impact to customers</p>
	Operational	<p>2.1 Occurrences or circumstances that have the potential to generate significant reaction from trade unions/customers;</p> <p>2.2 Significant political or media focus on image;</p> <p>2.3 Attention from local media or widespread complaints; and</p> <p>2.4 An official strike.</p>
	Health and Safety	<p>3.1 Work related physical harm to a person or persons that results in admission in hospital in an Intensive Care Unit; and</p> <p>3.2 <i>A release of material (gas, liquid, solid) or energy that causes severe but reversible illness, non-lost time injury or moderate asset damage experienced by interested and affected parties;</i></p>
	Environmental	<p>4.1 <i>A moderate impact on the physical or biological environment (air, ground, water or habitat) with limited impairment of ecosystem function and/or surface and ground water resources;</i></p> <p>4.2 An inconvenience disturbance / disruption/annoyance (including odour, dust, noise, traffic problems, loss of water supply) of moderate or with medium effect on interested and affected parties;</p> <p>4.3 <i>Reparable damage to a protected and/or conserved ecologically viable areas and sacred locations (such as heritage sites); and</i></p> <p>4.4 <i>Significant quantities of dangerous substance spilled in an uncontained manner.</i></p>

LEVEL	TYPE	DESCRIPTION
LEVEL 3	Technical	<p>1.1 Plant/asset damage <i>between R5 and R10 million in the case of Transnet Freight Rail and between R5 and R2.5million in respect of all other Divisions;</i></p> <p>1.2 Events that have resulted in business interruption considered significant by the executive of the Business Unit/Port/Terminal/department concerned; and</p> <p>1.3 Other significant impact to customers;</p>
	Operational	<p>2.1 Isolated complaints by interested and affected parties;</p> <p>2.2 Little media interest;</p> <p>2.3 Situation can be handled entirely by Transnet personnel; and</p> <p>2.4 Widespread public complaints</p>
	Health and Safety	<p>2.1 Work related physical harm to a person or persons that result in hospitalisation (not ICU), in a lost time injury / Disabling injury;</p> <p>2.2 Exposure to noise levels above 120 dB(A);</p> <p>2.3 Machinery or any part thereof fractured or failed resulting in flying, falling or uncontrolled moving objects;</p> <p>2.4 Any serious operating irregularity, including movements exceeding the limit of authority, collisions and derailments with resultant of injuries;</p> <p>2.5 Release of material (gas, liquid, solid) or energy that has potential to cause illness or that cause short term discomfort or reversible health effect to interested and affected parties;</p> <p>2.6 <i>Instances where inspections conducted by or for the regulator to check legal compliance, have been outside the permitted requirements and an official caution/ prohibition or improvement notice was issued;</i></p> <p>2.7 Level crossing occurrences (injuries to 3rd parties);</p> <p>2.8 <i>Near miss with a high probability of something occurring and potential of high severity should it occur; and</i></p> <p>2.9 SPADS, SEROPS, Averted collision.</p>
	Environmental	<p>3.1 An inconvenience/annoyance/disturbance/ disruption (including odour, dust, traffic or loss of water supply) of a limited effect on the Interested & Affected Parties;</p> <p>3.2 Minor impact on the physical and/or biological environment with short term impairment of the ecosystem function;</p>

LEVEL	TYPE	DESCRIPTION
		<p>3.3 Minor spills or release of material (solid, liquid or vapour), including dust, that could lead to short term elevated levels of dust in the atmosphere.</p> <p>3.4 Instances where inspections or water samples taken by or for the regulator to check legal compliance, have been outside the permitted limits and an official; and caution/ prohibition or improvement notice was issued.</p> <p>3.5 <i>Blatant negligence of Contractor Environmental Management Plan, Service Environmental Specification or Project Environmental Specification leading to the issue of a NCR</i></p>
LEVEL 4	Technical	1.1 Plant/asset damage <i>less than R5million for Transnet Freight Rail and less than R2.5million in respect of all other Divisions;</i>
	Operational	<p>2.1 No media interest;</p> <p>2.2 Isolated public complaints; and</p> <p>2.3 Immediate control is possible.</p>
	Health and Safety	<p>2.1 Work related physical harm to a person or persons that does not result in hospitalisation, results in a minor occurrence / injury / medical treatment / first aid case;</p> <p>2.2 Occurrence with no injury</p> <p>2.3 Any safety occurrence arising from shunting operations (in marshalling yards or centres) such as shunting derailments, hard couplings, points run through and limited damage to assets and freight and the environment including delays and service disruptions;</p> <p>2.4 Derailments and collisions and level crossing accidents associated with no loss of life;</p> <p>2.5 Shunting derailments /collisions; and</p> <p>2.6 <i>Near miss with a high probability of something occurring and potential of low severity should it occur.</i></p>
	Environmental	<p>3.1 Environmental occurrence that could result in service disruption with a lesser significance;</p> <p>3.2 Spills or releases that were not intended/due to normal operations but is confined and controlled.</p>

Table 1: Transnet Occurrences Classification

6.1.6 Occurrence Reporting and Recording

Transnet requires that all occurrences must be reported and recorded where such occurrences had or could have an adverse effect on the health and safety of employees, contractors, public, quality, the environment, legal interests, operations, security, assets and rail infrastructure. This is also a legislative requirement depending on the type of occurrence being managed.

Employees shall report all occurrences *before the end of the shift followed by a written report within 24 hours* as per the defined Transnet occurrence notification and reporting process flow. *However reporting to external and Regulatory authorities shall be done according to the respective prescribed legislative timelines and requirements. Internal reporting shall be done utilising the approved Transnet notification and reporting form for all internal reporting regardless of the criteria, severity, impact or financial value as per **Annexure 8.7 Transnet occurrence notification and reporting form (Preliminary report)**.* This form will serve as a Preliminary report.

The following types of occurrences which can be expected within Transnet operations are reported as per defined process flows both internally and externally to authorities and regulators (where required):

Type of Occurrence	Reporting Process Flow Reference
Railway occurrence	Annexure 8.8, Railway Occurrence Management process flow;
Injury on duty	Annexure 8.9 Injury on duty Management process flow;
Occupational Diseases and Illnesses	Annexure 8.10 Occupational Diseases & Illnesses Occurrence Management process flow;
Environmental occurrence	Annexure 8.11 Environmental Occurrence Management process flow;
Maritime occurrence	Annexure 8.12 Maritime Occurrence Management process flow;
Asset Damage (including Motor vehicle) occurrence	Annexure 8.13 Asset Damage (including Motor vehicle) Occurrence Management process flow;

Security occurrence	Annexure 8.14 Security Occurrence Management process flow;
HAZMAT, Fire, Explosion and Other Safety occurrences	Annexure 8.15 HAZMAT Fire, Explosion and Other Safety Occurrences Management process flow;

The reporting of any occurrence to relevant internal stakeholders ultimately lies with Line Management. The Line Manager shall also report the occurrence based on the applicability to:

- Respective Senior Management Representative/s;
- Relevant SHERQSC Management Office;
- Relevant Insurance office;
- Respective Support Services;
- Respective System Administrator/s and/or IOD Claims Office;
- Respective Fleet Management Representative/s; and
- Respective Facilities Management.

Reporting to external and Regulatory authorities shall be done *according to respective prescribed legislative requirements* through the SHERQSC Management department. *Relevant regulatory forms shall be used* depending on the *following types* of occurrence e.g.:

- Section 37 of National Railway Safety Act (Act 16 of 2002), as amended, (Railway Occurrences);
- Clauses 5.2, 5.6, 6.2 of SANS 3000-1:2016, as amended, (Railway Occurrences);
- Section 24 of Occupational Health and Safety (OHS) Act (Act 85 of 1993), as amended, (Occupational Injuries);
- Section 25 of OHS Act (Act 85 of 1993), as amended, (Occupational Diseases);
- Section 39 of Compensation for Occupational Injuries and Diseases Act (Act 130 of 1993), as amended (Occupational injuries and diseases);
- Regulation 8 of General Administrative Regulations 2003, as amended, (Occupational injuries and Diseases);

- Section 30 of National Environmental Management (NEMA) Act (Act 107 of 1998), as amended, (Environmental occurrences);
- Section 24(g) of NEMA Act (Act 107 of 1998), as amended (Rectification of unlawful activity);
- Part 8 of Waste Act, Section 36(5) (Contamination of Land);
- Section 20 of National Water Act (Act 36 of 1998), as amended, (Water Pollution);
- Section 62(5) of National Ports Act (Act 12 of 2005), as amended, (Maritime occurrences to the Authority and SAMSA);
- Section 259 of Merchant shipping Act (Act 57 of 1951), as amended (Maritime occurrences to SAMSA)
- Article 1 of Marine Pollution Act, (Act 2 of 1986), as amended, Section S259 (marine occurrences which might pollute water resources);
- Section 2(5) of Dumping at Sea Control Act (Act 73 of 1980), as amended, (Occurrences related to dumping at sea)
- Safety of Life At Sea Policy / Directive (reporting of sea related occurrences) to the authority and SAMSA;
- Regulation 21(2)(s)(xiii) of Firearms Control Regulations, 2004 as promulgated under the Firearms Control Act (Act 60 of 2000), as amended (Accidental discharging of fire Arms);
- Criminal Matters Amendment Act (Act 18 of 2015), as amended (security related occurrences reportable to SAPS);
- Section 24(10)(b)(4) of Disaster Management Act (Act 57 of 2002), as amended, (Quarterly reporting of Disaster occurrences), where applicable;
- Section 24(15.(1) of Explosive Act (Act of 15 of 2003), as amended, (Occurrences related to explosives);
- Section (37.1) of Nuclear Act (Act 47 of 1999), as amended, (Occurrences related to nuclear energy);and
- Local By-laws and Provincial Ordinances.

All Occurrences should be recorded on the Transnet management system using Transnet Notification and Reporting form and other applicable forms for management of actions, statistics and occurrence report and registers.

Recording of occupational injuries and diseases shall be done utilising Annexure 1, as required by Regulation 9 of the General Administrative Regulations as promulgated under the OHS Act (Act 85 of 1993), as amended.

Level 1 and 2 occurrences shall be reported to the responsible Senior and/or Executive Management level, OD Corporate SHERQSC Management Office, Divisional Chief Executive and, Group COO, Group CCRO Office and Group Chief Executive utilising a Transnet Notification and Reporting form for level 1 and 2 within 12 hours followed by a Preliminary report within 24 hours as per **Annexure 8.16 Transnet Occurrence Notification and Reporting form for Level 1 and 2.**

Occurrence communication and alerts should be produced for all Level 1 occurrences by the responsible division and circulated to the entire organisation through Group Risk and Compliance and Group Communications Departments.

6.1.7 On-Site Investigation

The on-site investigation should be conducted as a minimum for the following types of occurrences in order to ensure preliminary information is adequately collated prior to the Line investigation:

- All level 1 and 2 occurrences irrespective of the occurrence type;
- *All Railway occurrences; and*
- *All Marine related occurrences.*

Preliminary information for all other type of occurrences where on-site investigation has not been conducted can be gathered through preliminary report as well as technical forms as defined in this procedure.

The following steps should be taken during on-site investigation by the team involved in managing these type of occurrences:

- Conduct Incident Commander (IC) and Incident Officer (IO) Duties;
- Identify, preserve and document on-site evidence;
- Collect Data and information;
- Conduct On-site investigation;
- Collaborate with Authorities (RSR, Police, DoL, SAMSA, DEA, DWS etc.);
- Complete and present IC report; and
- Information handover by the Incident Commander to Investigation team.

6.1.7.1 Appointment of On-site Investigation team

The appropriate incident commander level as activated in line with the activation plan should meet the following requirements:

- Appointed as an incident commander using **Annexure 8.17 Incident Commander Appointment letter**; and
- Be in possession of valid training and competency certificate.

Incident officer depending on the required technical expertise should meet the following requirements:

- Appointed as an incident officer using **Annexure 8.18 Incident Officer Appointment letter**; and
- Be in possession of valid training and competency certificate.

6.1.7.2 Incident Commander (IC) and Incident Officer (IO) Duties

Incident commander must ensure:

- That the scene is safe, that the injured (if any) are taken care of and if deemed necessary establish the Emergency Control Centre (ECC);
- Post occurrence substance abuse testing is conducted where reasonably possible;

- Counselling is offered to the affected employees in line with Transnet EAP policy;
- Psychological de-briefing is conducted to employees in cases where the fire arm has been discharged (either accidentally or intentionally), as required by Regulation 21(2)(s)(xii) of Firearms control Regulations, 2004;
- Briefs Incident Officer on the modus operandi for the onsite alignment;
- Nominates a scribe to record the site proceeding; and
- Executes all duties in accordance with their appointment letter.

6.1.7.3 Identification, preservation and documentation of evidence

The IC shall ensure that all evidence (including perishable evidence) is identified during the walking of the site and preserved for use during further investigation.

In order to achieve this, the IC utilizes the expertise of the IO team.

The IO team examines the site, identifies, tags, makes sketches, draws layout of the scene, takes photos, preserves and documents evidence (including perishable evidence) in order to reconstruct the scene during the investigation.

The IO team hands all evidence over to the IC for safekeeping.

6.1.7.4 Collecting of data and information

All data and information collected must be kept in safe custody for use during the occurrence investigation and for handing over to the investigation team.

6.1.7.5 Conduct On-site investigation

The IC should facilitate the on-site investigation with relevant IOs utilising an on-site investigation form which shall *inform what goes into* the IC report as per **Annexure 8.19 On-site Investigation Form (Incident Commander Report)**.

The onsite team should systematically evaluate, assesses and analyse all obtained evidence, data and information with the view to establish the immediate cause/s of the occurrence

prior to the site being cleared. The agreed upon immediate cause/s must be documented as such.

In cases where the onsite team is unable to establish the immediate cause/s, the site should be left undisturbed whilst waiting for the technical experts. The latter should be activated to the site and/or consulted to provide assistance.

6.1.7.6 Collaboration with Authorities

Management of external authorities namely, RSR, Police, DoL, SAMSA, DEA, DWS, emergency services, etc.), shall be in accordance to the requirements of the local emergency or contingency plan depending on the activation plan.

6.1.7.7 Completion and presentation of IC report

The IC should coordinate the activities of the relevant representatives during the on-site investigation.

The IC together with the IO's shall compile an on-site investigation report detailing all relevant information pertaining to the occurrence.

The IC shall present the signed off report to the accountable line manager and to the other relevant authorities when reasonably requested to do so.

The IC/IO's should cooperate with other investigations authorities such as RSR, DoL, DEA, Loss Adjusters, etc (where applicable).

The IC report should be made available 72 hours following the occurrence.

The report and other related documents will be captured and saved on the Transnet System.

6.1.7.8 IC handover to Line investigation team

The IC should hand over all secured data, evidence, information and his/her report to the line investigation team.

6.1.8 Completion of Technical forms

The following technical forms shall be completed as soon as additional information is available based on the type of occurrence and specific information required for that type of occurrence:

Type of Occurrences	Type of Technical Forms
Railway occurrence	Annexure 8.20, Railway Occurrence technical form;
Injury on duty	Annexure 8.21, Injury on duty Occurrence technical form;
Occupational Diseases & Illnesses	Annexure 8.22, Occupational Diseases & Illnesses Occurrence technical form;
Environmental	Annexure 8.23, Environmental Occurrence technical form;
Maritime occurrence	Annexure 8.24, Maritime Occurrence technical form;
Asset Damage Occurrence	Annexure 8.25, Asset Damage Occurrence technical form;
Motor vehicle occurrence	Annexure 8.26, Motor Vehicle Occurrence technical form;
Security occurrence	Annexure 8.27, Security Occurrence technical form;
<i>HAZMAT and Fire Occurrences</i>	<i>Annexure 8.28, HAZMAT and Fire Occurrences technical form;</i>
<i>Explosion and Other Safety Occurrences</i>	<i>Annexure 8.29, Explosion and Other Safety Occurrences technical form;</i>

6.1.9 Line Investigation

Line investigation *shall* be conducted for all types of occurrences and levels as classified in this procedure. This investigation serves *as* a formal investigation which should allow for independence in order *to maintain objectivity*.

The objectives of this investigation are as to:

- Establish the facts / immediate / root / underlying / contributory causes surrounding the occurrence;
- Develop robust corrective and preventative control measures;
- Comply with compliance obligations;
- Establish lessons learnt for continuous improvement; and
- Compile a report covering the elements of the Terms of Reference.

The following principles should be followed when constituting a line investigation team:

- Appointment of the Chairperson and properly constituted investigation team;
- Terms of Reference for the investigation; and
- Conducting Line Investigation.

6.1.9.1 Appointment of *Chairperson* and Investigation Team

The nature of an occurrence will inform the type of expertise that will be assigned to conduct the investigation with relevant training and competencies.

The severity level of the occurrence will dictate the competency level of the Chairperson. All levels of management shall attend relevant training to declare them competent to enable them to be appointed Incident Commanders and also Chairpersons of occurrences based on their seniority as per **Annexure 8.30 Transnet Occurrence Severity Matrix (Guideline) for Line Investigation Chairperson and Investigation team.**

Line management is responsible for establishing a multidisciplinary internal investigation team which must include a SHE Representative of the affected area/section thereof as part of the team. Line management, subject matter expert, co-opted member and witnesses shall be involved in the investigation process where required and necessary.

Line management is responsible for the investigation of all occurrences (level 1 to level 4) in their areas of responsibility.

Persons appointed to investigate occurrences shall have the necessary competence and independence (where possible and necessary), both in relation to the nature and seriousness of the occurrence, and the scope and level of the investigation.

The chairperson and team members for level 1 and 2 occurrences should be formally appointed as per the defined Transnet appointment letters, **Annexure 8.31 *Chairperson* appointment letter** and **Annexure 8.32 Investigation team member appointment letter**.

The appointed Chairperson and at least one (1) member of the investigation team for level 1 and 2 occurrences shall be from another OD/SU/area/department to *maintain objectivity* and allow for independent investigation.

In certain cases of level 1 and 2 where necessary, an external subject matter expert could be sourced to supplement the internal expertise available. Care shall be exercised that internal procurement processes are followed.

The use of external attorneys, if at all, shall be restricted to those cases which may draw broader public interest and where it may bring Transnet into disrepute (i.e. for not having an independent occurrence investigation). *In instances where an external attorney or legal firm is required an approved list from Group shall be consulted.*

A Transnet Legal Adviser and other relevant subject matter experts (e.g. Engineers, Operations, etc.) should be considered to form part of the panel for occurrence investigations which should be inquisitorial in nature.

Chairperson for level 3 and 4 and investigation team members' investigation can be nominated based on the criteria in the occurrence severity matrix and does not necessarily require an appointment letter.

It is recommended that each OD/SU have a dedicated Occurrence Investigation team for major occurrences (Level 1 -2). This would be a multi-disciplinary team at an OD/SU level, tasked with the objective investigation of major occurrences. The investigation approach is to learn and improve rather than avoiding litigation. This group should own the investigation policy and provide some of the core investigation training.

6.1.9.2 Terms of Reference for Line Investigation

Terms of Reference should be developed for Level 1 and 2 occurrence with a view of formally appointing/nominating the Chairperson and investigation team as well as giving the team the scope of investigation. Refer to attached guideline, **Annexure 8.33 Transnet Terms of Reference for level 1 and 2.**

The investigation for level 3 and 4 shall not require any documented terms of reference, the following scope will be adequate, which is to determine the following:

- Establish immediate and root causes with an objective to take action to control and establish corrective actions in-order to prevent recurrence.
- The outcome of the investigation shall not be used for consequence management purpose. Should deliberate unsafe behaviour be discovered during line investigation to determine the immediate cause(s), root cause(s) and system element(s) failure, a separate independent investigation into such behaviour shall be undertaken in line with Transnet Disciplinary Code and Procedure.
- Establish the effectiveness and the adequacy of the Policies, Procedures, Processes, Standards and Guidelines (PPPSG) governing such activity (task) being performed which resulted in an occurrence.

6.1.9.3 Line Investigation method

The final classification of an occurrence including escalated cases where there is a repeat of similar occurrences on regular basis, shall determine the level and intensity of line investigation to be undertaken.

The investigation for occurrences should be initiated immediately after the occurrence within seven *calendar* (7) days from the date of the occurrence.

In instances where the occurrence has led to an injury of an employee and the injured employee has not returned to work and other circumstances warranting non-compliance, a preliminary investigation shall be conducted and interim corrective and preventative action be implemented. The investigation shall be concluded *within fifteen (15)* days from the day an injured employee has returned to work.

In instances where an employee is unable to return to work due to long recuperation period, arrangement shall be made with an injured employee to carry out an investigation at a convenient time and place. Such arrangement shall afford the employee the respect and dignity he/she deserves.

Investigation team members external to Transnet should sign a confidentiality undertaking, as per attached **Annexure 8.34 Transnet Confidentiality undertaking**. It is also recommended that internal team members sign same undertaking especially for level 1 and 2 occurrences, as deemed necessary by the OD/SU.

On-site investigation team should not form part of the line investigation team members.

Attendance register should be signed by all members and employees involved in the investigation. **See Leadership Procedure for an applicable attendance register format.**

Line investigation shall be conducted utilising a prescribed Transnet Line Investigation form as per **Annexure 8.35 Line Investigation Report for Level 1, 2, Railway and Marine Occurrences** and **Annexure 8.36 Line Investigation Report for Level 3 and 4 occurrences**.

The line investigation shall be conducted utilising *anyone* of the prescribed Transnet Root Cause Analysis Techniques as defined in the **Continual Improvement Procedure – TRN-IMS-GRP-PROC-018**, depending on the technicality and severity of the occurrence.

The line investigation team shall systematically evaluate, assess and analyse all obtained evidence, data and information with the view to establish the root cause/s of the occurrence.

Based on the immediate causes identified, the root cause(s) shall be informed by the above approved investigation technique in order to establish and analyse the evidence and identify the root cause(s) of the occurrence.

All employees shall cooperate with the investigation team when requested to do so. Employees shall be available to be interviewed by the line investigation team as and when required.

Identified witnesses may request to be interviewed in the presence of their Union Representative. The Union Representative is there to observe. The Union representative is not permitted to speak on behalf of the employee/witness.

An interpreter shall be arranged where a language barrier has been identified.

The team shall collect information pertaining to the occurrence. Information shall include but not limited to people, parts, position, paper and process. For further information refer to the Transnet Derailment Investigation handbook BBD6462 for guidelines pertaining to Railway occurrence investigation process. Investigate the control measures that have failed. These control measures would have been ideally identified through the baseline risk assessment process.

The team shall recommend the Specific, Measurable, Achievable, Relevant & Realistic, Timely (SMART) corrective and preventative actions which addresses the root cause/s as informed and/or guided by the PPPSG.

Should deliberate unsafe behavior be discovered during line investigation to determine the immediate cause(s), root cause(s) and system element(s) failure, a separate independent investigation into such behavior shall be undertaken in line with Transnet Disciplinary Code and Procedure.

Any evidence obtained during the onsite and line investigation may be admissible in the independent investigation.

The extent and intensity of the root cause analysis will be consistent in all the levels of the occurrence.

The principles of Just Culture are taken into account during the investigation and these have been developed to guide the team as per **Annexure 8.37 Just Culture Principles for occurrence investigation.**

In addition to the "Just culture" principles stipulated above, investigation team should follow the prescribed Code of Ethics for the investigation team as per **Annexure 8.38 Code of Ethics for Investigation Team.**

This investigation process shall include near miss investigations. A near miss severity matrix of the near misses has been developed as part of the reporting form in-order to guide the

near misses that need to be investigated team; **Annexure 8.39 Near miss reporting and severity matrix form (report)**.

The responsible *chairperson* with the assistance of the investigation team shall establish the root cause/s, other contributing factors, findings and *make recommendations* and target dates to resolve the findings and prevent recurrence.

6.1.9.4 Technical Investigation

In cases where the immediate cause(s) are of a technical nature (e.g. rail break, machinery failure, metallurgical, occupational disease, etc.), such evidence shall be subjected to further analysis such as laboratory testing and a technical report be issued.

The technical report should be considered by the line investigation team when determining the root cause/s of the occurrence.

6.1.9.5 Interviewing of the witnesses

The *Chairperson* of the line investigation team should take the lead in preparing questions for interviews, but may not necessarily always be the interviewer. The guidelines for interviewing witnesses have been developed to assist the investigation team when interviewing witnesses as per **Annexure 8.40 Guidelines for interviewing witnesses**.

Interview duties can be assigned to other investigation team members.

Interviews need to be taken in quiet, private, comfortable location that is free from disruption.

Consider providing frequent breaks for the effectiveness of the interviewing process.

6.1.9.6 Evaluation of the available evidence collated

The investigation team should consider other types of evidence during an investigation as follows:

- Position that the injured employee was found in;
- Parts (Equipment, Tools, etc.) involved;

- Paper (written evidence) and etc.

6.1.9.7 Re-enactment of the scene

If it needs be, the scene should be reconstructed in order to have a view of how the occurrence occurred.

6.1.9.8 Defining of the Recommendations (Corrective & Preventative Actions)

The line investigation team shall recommend SMART corrective and preventative actions that will prevent recurrence of similar occurrences in relation to the identified immediate cause(s), root cause(s), and system failure(s) as informed and/or guided by the PPPSG.

Engagements with all relevant stakeholders shall take place to reach consensus (without being unduly influenced) on the findings and recommendations.

The team should bear in mind not to create another risk whilst recommending corrective and preventative action.

6.1.9.9 Line Investigation Report

The line investigation team shall compile a report containing all significant information pertaining to the investigation.

The report shall have considered the onsite investigation report and other relevant information.

Executive summary shall entail occurrence synopsis, key finding(s), immediate and root cause(s) as well as the key recommendations that if implemented would prevent future recurrence. This ideally should not be more than one (1) page.

Annexure 8.34 Line Investigation Report for Level 1, 2, Railway and Marine Occurrences should be used to generate final investigation report as a minimum.

The Chairperson of the investigation team for level 1 and 2 occurrences, shall present the final draft of the investigation report to the appropriate forum of the OD/SU/department

concerned for their inputs/alignment/acceptance of the report without unduly influencing the investigation outcome.

The *Chairperson* to ensure that the report is signed off by all the investigation team members.

The investigation report for level 3 and 4 occurrences shall be finalised within fifteen (15) calendar days from the date of an occurrence.

The draft report for level 1 and 2 occurrences shall be circulated within in 15 calendar days and the final report shall be delivered within 30 calendar days from the last sitting to the relevant stakeholders which include OD Corporate Divisional Executive/General Manager SHERQ/Security/Compliance Office for level 1 and 2 occurrences.

The line manager shall ensure that the report is of good quality and all the associated documents or evidence is captured on the Transnet system.

Should new evidence surface after the final report has been issued, the investigation team should be assembled to look into the new evidence and issue an amendment to the original report which shall be indicated as such on the cover page.

6.1.10 Disclosure of Occurrence Investigation Reports

Investigation reports are confidential and legally privileged. Where a request for disclosure of an occurrence investigation report is made, legal requirements as defined in the Protection of Information Act (Act 84 of 1982) and Protection of Personal Information Act (Act 4 of 2013) shall be followed. Transnet legal adviser should handle this request.

In order to maintain the integrity of the confidential nature of occurrence investigation reports, the circulation of such reports must be restricted to the absolute minimum (essential for recipients to be in receipt) and further circulation controlled;

Findings or instructions that must be communicated as a result of the occurrence investigation report must be communicated in a separate communication that does not refer back to the occurrence investigation report;

6.1.11 Manage Corrective and Preventative Actions

The line manager shall ensure that the report is distributed to allocated responsible person(s) for the development and implementation of action plan(s).

Action plan(s) shall be SMART in-order to address the recommendations.

Engagements with all relevant stakeholders shall take place to ensure alignment regarding the actions required.

Whilst formulating action plans, the team should *apply the hierarchy of controls as outlined in the **Operational Risk Management Procedure - TRN-IMS-GRP-PROC-004**, and bear in mind not to create another risk.*

Senior Management or responsible person to approve the adequacy and effectiveness of the action plan.

Corrective and preventative actions shall be registered or loaded in the relevant recognized Transnet system.

6.1.12 Monitoring, Verification and Validation of Corrective & Preventative Actions

The progress on the implementation of the action plans shall be monitored and reported to the relevant Governance Committee (e.g. SHE Committee meeting, Operational Meetings and etc.) on the reasonable intervals for endorsement.

Line Management shall ensure documented verification of all completed action plans and conduct physical verification. Evidence of execution must be submitted to/or monitored by the SHERQSC Management department for independent validation.

6.1.13 Closing-Out Investigation

The action plan may only be closed out once the allocated responsible person has verified that the corrective and preventative actions have been implemented.

6.1.14 Occurrence Recalls, Communication and Lessons Learnt

The organization will strive to learn from all occurrences and this shall be achieved by one of the following:

- Occurrence recall in-order to share lessons learnt; Annexure 8.41 Occurrence Recall.
- Occurrence Alert immediately after the occurrence (where necessary)
- Occurrence will be communicated at Letsema/green area where employees will further participate in making relevant recommendations for corrective and preventative actions as part of lessons learnt.
- A work stoppage could be held for certain major occurrences where required.

The communication of lessons learnt from occurrences will be done using various communication channels and tools as outlined in the **Stakeholder Engagement and Management Procedure – TRN-IMS-GRP-PROC-007**, which shall include but not limited to:

- IMS review and other governance structure meetings;
- Newsflash via emails;
- Safety Alerts/Occurrence recall;
- Symposiums;
- Safety talk;
- Green Area / Letsema; and
- Outcome of simulation exercises.

6.1.15 Occurrence Reviews and Trends Analysis

A review of all occurrences within a specified period to establish trends should be undertaken.

The outcome of occurrence trend analysis will result into the reactive management of actions which shall serve as lagging indicators.

Based on the trends, additional actions or controls should be implemented and risk assessment review be conducted, where necessary.

6.1.16 Occurrence Statistics and Reports

Occurrences should be classified and recorded according to the required statistical reports (where applicable) for internal/external reporting and claims process purposes.

6.1.17 Management of Occurrences at Interface

*Occurrences shall be managed as stipulated in the conditions of interface agreement, and/or compliance obligations as agreed by interfacing parties, refer to **Interface Management Procedure - TRN-IMS-GRP-PROC-012**.*

In the event of more than one operator and/or stakeholder being involved in any of the identified occurrence (e.g. railway, injuries, diseases, asset damage, security, maritime, HAZMAT, environment, etc.), all parties shall report separately to the relevant the authorities depending on who is impacted.

Notification of such occurrences to the relevant interface stakeholder's internal hierarchical order should be followed in line with the agreed timelines.

General notification should also be sent to all the stakeholders in that location to alert everyone on that area.

Emergency response and contingency plans shall be established by each operator and/or stakeholder, shared between stakeholders and alignments be done through joint simulations between the involved parties.

Joint investigations for occurrences occurring at an interface shall be held where applicable. Such investigations shall be initiated by the landlord, network operator and/or as per the existing agreements defined in the **Interface Management Procedure - TRN-IMS-GRP-PRO-012**.

Such occurrence investigation reports must be made available "as and when" requested through the legal departments of both parties.

It will be through the joint investigations that level of accountability between the parties shall be derived at and enable parties to take necessary responsibilities.

6.1.18 Management of Contractor related Occurrences

Based on the Section 37(2) agreement signed between the contractor and client, the contractor is an employer in his own right.

Occurrences as a result of the contractor *and Transnet* activities impacting the employees of the contractor shall be reported by the contractor. Occurrences as a result of the contractor activities impacting the employees of the client shall be reported by the client *or Safety Agent acting on behalf of the client*. This will mainly be aligned to who is impacted in the context of Section 37(2).

Occurrences that have significant or insignificant impact on the environment, whether in part or wholly, which may or may not have a potential to result in a non-compliance to the respective environmental legislation, shall be managed by the Contractor in line with requirements of applicable environmental legislation.

Railway occurrences should be reported by an operator.

Notification of such occurrences between the contractor and client internal hierarchical order should be followed in line with the agreed timelines.

General notification should also be sent to all the stakeholders in that location to alert everyone on that area.

Emergency response and contingency plans shall be established by the contractor and client, shared between stakeholders and alignments be done through joint simulations between the involved parties.

Each stakeholder (contractor and client) shall be responsible for investigating their occurrences and report be shared by the contractor to the client. Joint investigations are however recommended depending on the severity and impact of the occurrence. Refer to

the **Contractor Management Procedure - TRN-IMS-GRP-PRO-014** and Section 37(2) agreement.

Such occurrence investigation reports must be made available “as and when” requested through the legal departments of both parties.

6.2 NON-CONFORMANCE MANAGEMENT

The non-conformance management process shall be followed when dealing with non-conformity (ies) within Transnet; **Annexure 8.42 Non-conformance management process flow.**

6.2.1 Sources of Non-Conformances

Non-conformances originate from internal operations, interaction with customers and failure by suppliers to adhere to Transnet specifications and requirements.

Examples of non-conformances are as follows (but not limited to):

- Hazard or condition that arises and could threaten the health, safety and security of any person and could have a detrimental impact on the environment;
- Quality related non-conformances as defined in the relevant ODs/SUs frameworks and procedures;
- *Non-Conforming products or services received from vendors or supplied to customers;*
- Non-adherence to compliance obligations that applies to the organisation;
- Deviation from the specifications;
- Any condition that does not comply with the IMS and organisation PPPSG and any other requirements that the organisation subscribes to; and

Integrated Assurance activities (IMS internal, external and compliance obligations audit findings, inspections, monitoring etc.) outcomes. Refer to **Integrated Assurance Procedure – TRN-IMS-GRP-PRO-015.**

Non-conformances *from external bodies and authorities* which in the objective view of Transnet or a department cannot be justified shall be disputed in line with the agreed dispute resolution processes *from the external bodies*. *In the event of disputes around legal non-compliances, engagement with the authorities shall be in line with the process outlined Group Legal and Compliance as well as the respective Legal and Compliance Officers within the ODs depending on the jurisdiction.*

6.2.2 Reporting of Non-Conformances

Non-conformances should be reported immediately to the relevant person(s) who need to confirm the relevance and accuracy, and line management address the non-conformance. A prescribed **Annexure 8.43 Non-conformance reporting form**, should be utilised for this purpose.

6.2.3 Non-Conformance Classification

Non-conformances will be classified according to table 2 below:

Table 2: Classification of Non-conformances originating internally within Transnet, external Accreditation Bodies & Regulatory Authorities		
Low Priority (LP) / Areas of Concern	Medium Priority (MP) / Minor	High Priority (HP) / Major
<p>Non-conformances in which the auditor, assurer or an observer believes the system/product/situation/occurrences requires correction.</p> <p>NOTE: The non-conformances will be received as findings from integrated assurance audits and will already be classified as Priority 4 & Priority 5 findings, <i>(in terms of Enterprise Risk Management Standards)</i> and Low in terms of Medium TRN-IMS-GRP-PROC 004 Operational Risk Management Procedure).</p>	<p>A random or isolated occurrence that by itself does not indicate a major deviation. This can be addressed by minor changes in the system or procedure or by a once off clean up or training exercise.</p> <p>NOTE: The non-conformances will be received as findings from integrated assurance audits and will already be classified as Priority 3 findings, <i>(in terms of Enterprise Risk Management Standards)</i> and High and in terms of Medium TRN-IMS-GRP-PROC 004 Operational Risk Management Procedure).</p> <p>These non-conformances should be resolved within the short to medium-</p>	<p>Significant deficiency and/or deviation that seriously impairs integrity and effectiveness of the system, procedures, and products can result in significant occurrence, reputational damage or is of legal nature. A significant amount of reoccurring minor non-conformances can also lead to a high priority / major non-conformance.</p> <p>NOTE: The non-conformances will be received as findings from integrated assurance audits and will already be classified as Priority 1 and Priority 2 findings, <i>(in terms of Enterprise Risk Management Standards)</i> and Very High <i>(in terms of TRN-IMS-GRP-PROC 004 Operational Risk Management Procedure).</i></p>

Table 2: Classification of Non-conformances originating internally within Transnet, external Accreditation Bodies & Regulatory Authorities

Low Priority (LP) / Areas of Concern	Medium Priority (MP) / Minor	High Priority (HP) / Major
These non-conformances should be resolved within the medium to long-term being 90 - 120 days.	term being as soon as possible but not later than 60 days.	These non-conformances should be resolved as soon as possible but not later than 30 days.

Observations are regarded as opportunities for improvement which if not addressed have a potential of becoming non-conformities. These need to be given same attention as non-conformities as part of continual improvement.

Non-conformances from integrated assurance activities might be received classified already, however in the event that they are not classified SHERQSC Management Department will be responsible to classify them in line with the classification matrix in table 2 above. This will include classifying other internal non-conformances.

Non-conformances received from Accreditation bodies and regulatory Authorities will be received as classified from the external reports.

Non-compliance Stop Certificate shall *be* only be issued by SHERQSC Management Department in the event of a major or high priority non-conformance arising as a result of a life threatening situation, major legal non-conformance and a recurring non-conformance;
Annexure 8.44 Non-compliance Stop Certificate. A lock-out procedure shall be implemented to supplement the Stop certificate where applicable.

All non-conformances should be recorded manually and on the applicable system.

6.2.4 Management of Non-Conforming Products, Services and Warranty Failures

Non-conforming products and services will be identified at any stage of the normal operational processes. The organisation needs to ensure that any outputs that do not conform to their own or to the customer requirements are identified and controlled to prevent their unintended use or delivery. This shall be done following the steps below:

- **Correction** – a non-conforming product or service needs to immediately be corrected to ensure conformance;
- In an event it cannot be corrected, the product or service should be **segregated** from the rest of the other products or services, contained, returned or its provision be suspended in-order to prevent unintended use or delivery. Site specific SOPs will be followed in this instance to properly manage this process.
- **Investigations** need to be conducted to establish the cause and the extent of the impact of the non-conforming product or service to the operations.
- Based on the outcome of the investigation, **concessions** can be requested and need to be approved by the customer. Site specific Standard Operating Procedures (SOP) of obtaining authorisation for acceptance under concession need to be followed.
- In some instances depending on the source of non-conformance certain items might require to be **re-worked**.
- In the event where a non-conforming product or service has been rectified and is now conforming, **re-inspections and re-testing** needs to be conducted following site specific SOPs.
- The vendors and the customers depending on who is impacted, need to be continuously informed of the various stages of the process until it is resolved. A two-way communication is encouraged between all the involved stakeholders.
- Products or service which fail while still under warranty are treated as non-conformances, they need to be returned to the supplier for them to be rectified. Investigations and corrective actions into such failures need to be documented and managed.

6.2.5 Non-Conformance Investigation

The respective Line manager must assign an investigation team consisting of relevant stakeholders investigate the non-conformance.

The non-conformance investigation shall be *conducted on the non-conformance reporting form, Annexure 8.43*, utilising *anyone* of the prescribed Transnet Root Cause Analysis

Techniques defined in the **Continual Improvement Procedure – TRN-IMS-GRP-PROC-018**.

6.2.6 Management of Non-Conformances In Relation to Contractors, Vendors and Tenants

*Non-Conformances issued against a Contractor as stipulated in **Contractor Management Procedure – TRN-IMS-GRP-PRO-014** shall be addressed by the contractor. These non-conformance will be issued against a Contractor and Transnet Project Manager in-order to ensure proper tracking and close-out. They shall be investigated and managed through a corrective action plan until closed out.*

*Non-Conformances involving tenants shall be managed as stipulated in the conditions of interface agreement, and/or compliance obligations as agreed by interfacing parties, refer to **Interface Management Procedure - TRN-IMS-GRP-PROC-012**.*

Vendor related non-conformances shall be issued against the vendor through a Supply Management or recognised Transnet system. Vendors shall investigate and provide a detailed investigation report to Transnet for validation and close out within stipulated time lines.

6.2.7 Recommend Corrective and Preventative Action

The line management responsible for the area where non-conformance has occurred must take immediate correction to address the non-conformity.

The line management must further develop an action plan and ensure effective implementation of the corrective, preventative or mitigation measures as recommended.

*The corrective action plan (CAP) will be developed using the corrective action capturing form; **Annexure 8.45, Corrective and Preventative Action Plan Capturing register**.*

Engagements with all relevant stakeholders shall take place to ensure alignment regarding the actions required.

Where recommended corrective and preventative action introduces new or changed hazards, the proposed actions shall be taken through a formal risk assessment prior to implementation, as defined in the **Operational Risk Management Procedure - TRN-IMS-GRP-PRO-004**. The implementation of these actions shall be accompanied by a management of change process.

Ensure corrective and preventative action taken eliminates the causes of actual and potential non-conformity (ies) is appropriate to the magnitude of problems and commensurate with the risk(s) encountered.

Ensure that any necessary changes arising from corrective and preventive action are made to the relevant documentation, e.g. SOP, etc.

Include rehabilitation from the environmental impacts (where applicable).

Corrective and preventative actions shall be registered *and* uploaded in the relevant recognized Transnet system.

6.2.8 Verification, Close-out and Validation of the Non-Conformance

The corrective action plan should be signed off by relevant accountable person in the area.

Non-conformances should be resolved / closed out as outlined in **table 1** (classification of non-conformities).

Legal non-compliances as a result of notices and directives by Regulatory authorities shall be addressed in line with the timelines stipulated by authorities.

Non-conformances which cannot be closed out within stipulated time line should be handled as part of management programmes/plans as defined in the **Objectives, Targets and Programmes Management Procedure – TRN-IMS-GRP-PRO-006**.

Line Management shall ensure documented verification of all completed action plans and conduct physical verification.

Evidence of execution must be submitted to/or monitored by the SHERQSC Management department for verification of the close-out.

Relevant accountable person shall ensure documented verification of all completed action plans and conduct physical verification.

Close-out of the non-conformance shall be followed up by independent *validation either internally or by an external party outside of the OD / SU*

Responsible person should update the system.

6.2.9 Monitor and Review of the effectiveness of the corrective & preventative actions

Monitoring of the effectiveness of corrective and preventative action shall be conducted through inspections, audits and management review.

Outstanding/overdue actions will be reported to management by the relevant SHERQSC Management Department through monthly reports.

6.2.10 Record Non-conformances and associated documentation

The following information and documentation must be captured on the system:

- Identified Non-conformances;
- Non-conformance Investigation reports;
- The corrective action plans; and
- The action close out evidence.

6.2.11 Non-Conformances Reviews and Trends Analysis

The outcome of integrated assurance activities will result into the proactive management of actions which shall serve a leading indicators.

A review of all non-conformances within a specified period to establish trends should be undertaken.

Based on the trends, additional actions or controls should be implemented and risk assessment review be conducted, where necessary.

Non-conformances as per non-conformance classification in table 2 above, should be recorded according to the required statistical reports (where applicable) for internal/external reporting purposes.

6.2.12 Non-conformances Lessons Learnt

The communication of lessons learnt from non-conformances to ensure the organisation strive to learn will be done using various communication channels and tools as outlined in the **Stakeholder Engagement and Management Procedure – TRN-IMS-GRP-PROC-007**, which shall include but not limited to:

- IMS review and other governance structure meetings
- Newsflash via emails
- Safety Alerts/Occurrence recall
- Symposiums
- Safety talk
- Green Area / Letsema
- Outcome of simulation exercises

6.2.13 Preventive Actions

The following measures could be considered as preventive actions:

- **Suggestions/ Pro-active Reporting**
 - Employees *shall* raise potential occurrences in a form of near misses.
 - Employees *are* encouraged to make suggestions on innovative ideas or recommendations that can improve safety in their respective working environments *to their line manager*.
- **Inspections and other monitoring tools**

- Any non-conformance arising from inspections and other monitoring programs shall be recorded and evaluated to determine trends to take the necessary precautionary steps.
- **Application on the Corrective Action for similar activities**
 - Whenever an occurrence or non-conformance is reported, it will be evaluated to determine whether a similar potential occurrence or non-conformance can happen in other areas or activities.
 - If deemed appropriate by the responsible person the corrective action will be implemented to prevent potential occurrences or non-conformances in the identified area.

6.2.14 Continual Improvement

Non-conformances amongst other triggers from **Continual Improvement Procedure – TRN-IMS-GRP-PROC-018** will ensure proper initiatives are put in place to address this requirement.

Based on the occurrences incurred by organisation, analysis should be done to identify opportunities for improvement like technological solutions/innovations, etc.

7. RECORDS

Records are kept for a period of at least three (3) years or as required by statutory and regulatory requirements.

- 7.1 Preliminary reports**
- 7.2 Occurrence Technical reports**
- 7.3 Transnet Notification for level 1 and 2 reports**
- 7.4 On-site Investigation reports**
- 7.5 Line Investigation reports**
- 7.6 Attendance Registers**
- 7.7 Near miss reports**
- 7.8 Occurrence recalls**
- 7.9 Non-conformances reports**
- 7.10 Non-compliance Stop Certificates**

7.11 Corrective and Preventative Action Plans

8. ANNEXURES

- 8.1 ***TRN-IMS-GRP-FLC-013.1*** Transnet Occurrence management process flow
- 8.2 ***TRN-IMS-GRP-FLC-013.2*** Transnet Occurrence notification and reporting process flow
- 8.3 ***TRN-IMS-GRP-GDL-013.3*** SMS notification guideline for all occurrences
- 8.4 ***TRN-IMS-GRP-GDL-013.4*** Transnet Emergency response guideline
- 8.5 ***TRN-IMS-GRP-FLC-013.5*** Transnet emergency response process flow
- 8.6 ***TRN-IMS-GRP-GDL-013.6*** Guideline for Handling Employee Death in the workplace
- 8.7 ***TRN-IMS-GRP-FRM-013.7*** Transnet Occurrence notification and reporting form (Preliminary Report)
- 8.8 ***TRN-IMS-GRP-FLC-013.8*** Railway Occurrence Management process flow
- 8.9 ***TRN-IMS-GRP-FLC-013.9*** Injury on duty Occurrence Management process flow
- 8.10 ***TRN-IMS-GRP-FLC-013.10*** Occupational Diseases & Illnesses Management process flow
- 8.11 ***TRN-IMS-GRP-FLC-013.11*** Environmental Occurrence Management process flow
- 8.12 ***TRN-IMS-GRP-FLC-0.13.12*** Maritime Occurrence Management process flow
- 8.13 ***TRN-IMS-GRP-FLC-013.13*** Asset Damage (including Motor vehicle) Occurrence Management process flow
- 8.14 ***TRN-IMS-GRP-FLC-013.14*** Security Occurrence Management process flow
- 8.15 ***TRN-IMS-GRP-FLC-013.15*** HAZMAT, Fire, Explosion and Other Safety Occurrences process flow
- 8.16 ***TRN-IMS-GRP-FRM-013.16*** Transnet Occurrence Notification and Reporting form for Level 1 and 2
- 8.17 ***TRN-IMS-GRP-LT-013.17*** Incident Commander Appointment letter
- 8.18 ***TRN-IMS-GRP-LT-013.18*** Incident Officer Appointment letter
- 8.19 ***TRN-IMS-GRP-FRM-013.19*** On-site Investigation Form (Incident Commander Report)
- 8.20 ***TRN-IMS-GRP-FRM-013.20*** Railway occurrence technical form
- 8.21 ***TRN-IMS-GRP-FRM-013.21*** Injury on duty technical form
- 8.22 ***TRN-IMS-GRP-FRM-013.22*** Occupational Diseases & Illnesses technical form

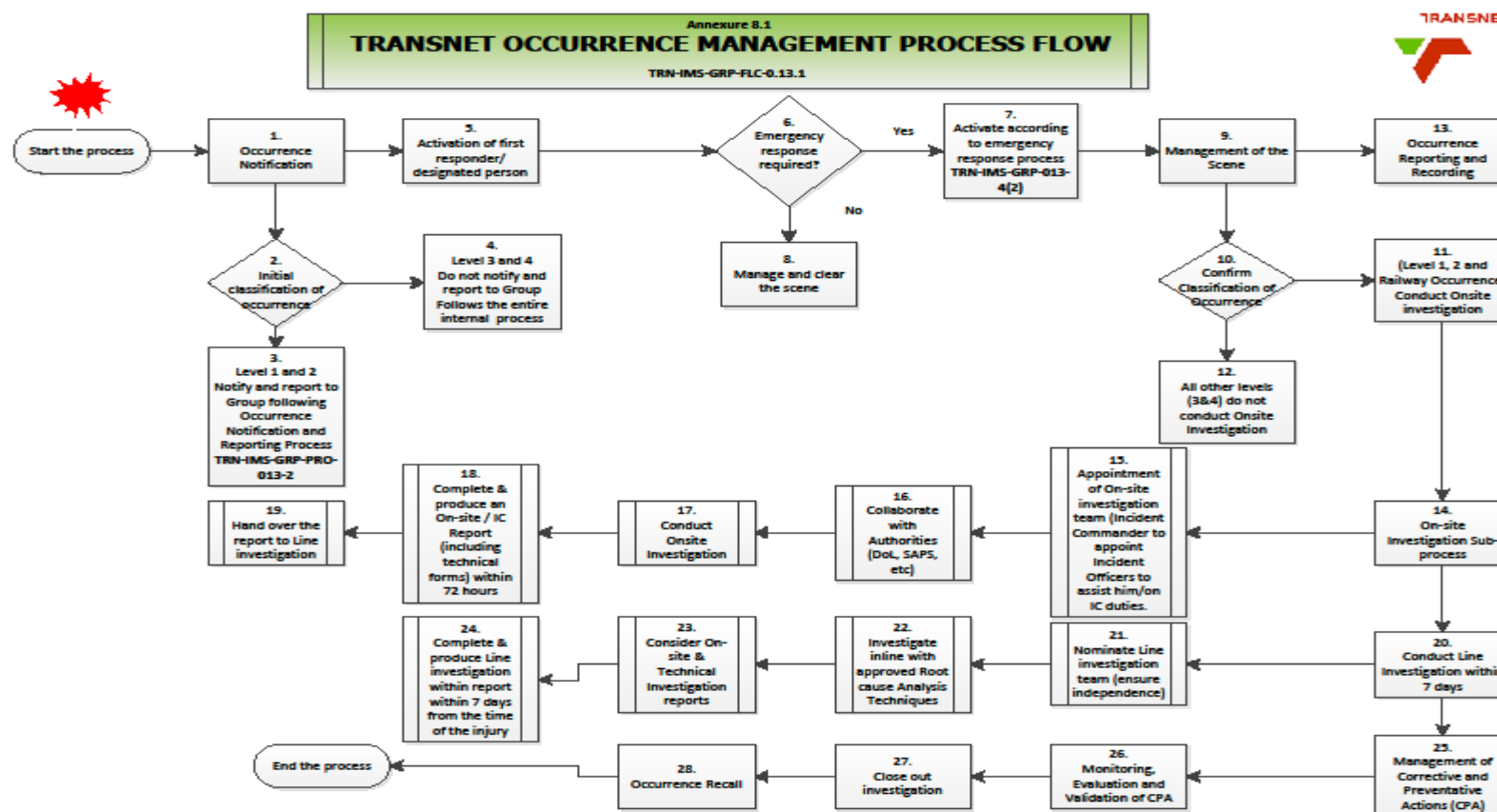


- 8.23 ***TRN-IMS-GRP-FRM-013.23*** Environmental occurrence technical form
- 8.24 ***TRN-IMS-GRP-FRM-013.24*** Maritime occurrence technical form
- 8.25 ***TRN-IMS-GRP-FRM-013.25*** Asset Damage Occurrence technical form
- 8.26 ***TRN-IMS-GRP-FRM-013.26*** Motor vehicle occurrence technical form
- 8.27 ***TRN-IMS-GRP-FRM-013.27*** Security occurrence technical form
- 8.28 ***TRN-IMS-GRP-FRM-013.28*** HAZMAT and Fire occurrences technical form
- 8.29 ***TRN-IMS-GRP-FRM-013.29*** Explosion and Other Safety occurrences technical form
- 8.30 ***TRN-IMS-GRP-GDL-013.30*** Transnet Occurrence Severity Matrix (Guideline) for Line Investigation Chairpersons and Investigation team
- 8.31 ***TRN-IMS-GRP-LT-013.31*** Chairperson Appointment letter
- 8.32 ***TRN-IMS-GRP-LT-013.32*** Investigation Team member Appointment letter
- 8.33 ***TRN-IMS-GRP-TOR-013.33*** Transnet Terms of Reference for Level and 2
- 8.34 ***TRN-IMS-GRP-TMP-013.34*** Confidentiality Undertaking
- 8.35 ***TRN-IMS-GRP-FRM-013.35*** Line Investigation Form for Level 1, Level 2, Railway and Marine Occurrences
- 8.36 ***TRN-IMS-GRP-FRM-013.36*** Line Investigation Form for Level 3 and 4 occurrences
- 8.37 ***TRN-IMS-GRP-GDL-013.37*** Just Culture Principles for Occurrence Investigation
- 8.38 ***TRN-IMS-GRP-GDL-013.38*** Code of Ethics for Investigation Team
- 8.39 ***TRN-IMS-GRP-FRM-013.39*** Near miss reporting and severity matrix form (report)
- 8.40 ***TRN-IMS-GRP-GDL-013.40*** Guidelines for interviewing witnesses
- 8.41 ***TRN-IMS-GRP-FRM-013.41*** Occurrence Recall
- 8.42 ***TRN-IMS-GRP-FLC-013.42*** Non-conformance management process flow
- 8.43 ***TRN-IMS-GRP-FRM-013.43*** Non-conformance reporting form
- 8.44 ***TRN-IMS-GRP-FRM-013.44*** Non-compliance Stop Certificate
- 8.45 ***TRN-IMS-GRP-FRM-013.45*** Corrective and Preventative Action Plan Capturing form

Annexure 8.1

TRN-IMS-GRP-FLC-013.1 Transnet

Occurrence management process flow

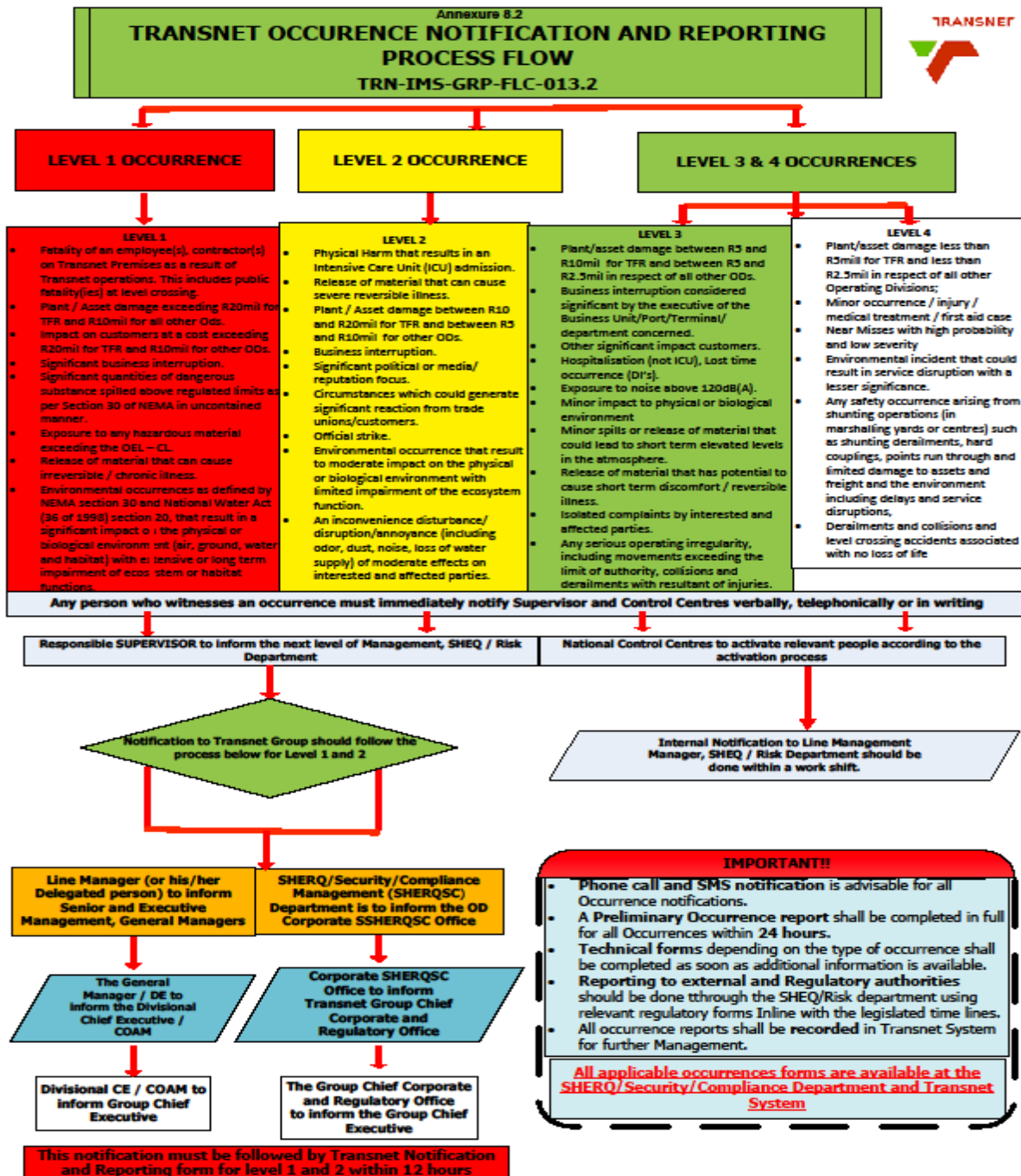




Annexure 8.2

TRN-IMS-GRP-FLC-013.2

Transnet Occurrence notification and reporting process flow



**Annexure 8.3****TRN-IMS-GRP-GDL-013.3****SMS notification guideline for all occurrences**

**Report of occurrence: Fatality/
Derailment/Motor Vehicle Accident/
Fire/Spillage etc.**

**OD/SBU: TFR/TE/TNPA/TPT/TPL/
TP/TGC**

**Region/Business/Port/Terminal/
Channel/Depot: Koedoespoort/
Saldanha/Mossel Bay/Durban
Container Terminal/Thabazimbi etc.**

Date of Occurrence: 2017/11/10

Time of Occurrence: 15H00

**Name of Employee: Ms. Bongsi
Mntungwa**

Position: Driver

SAP No.: 000123

**DESCRIPTION: Ms. Mntungwa was
fatally wounded when she was
driving from Pretoria to Polokwane
to attend to a project meeting. She
lost control of the vehicle on the N1
just before Kranskop.**

**Reported by: Mr Nhlanhla Zungu
(Depot Manager Koedoodpoort)**

Contact Details: 083 1234 568

Annexure 8.4
TRN-IMS-GRP-GDL-013.4 (Abridged Version)
Transnet Emergency response guideline

PURPOSE

The purpose of this guideline is to provide framework for developing local emergency response plan customised to each Operating Division (OD) / Specialist Business Unit (SBU) / Location. The ODs/SBUs emergency response plans should be at both tactical and strategic level.

DEFINITIONS AND ABBREVIATIONS

Definitions

Contingency Plan

Course of actions developed to mitigate the damage of potential events that could endanger an organization's ability to function and that could result in operational interruption, disruption, loss, emergency or crisis.

Emergency

Sudden, urgent and usually unexpected occurrence or event required immediate action. It is usually a disruptive event or condition that can often be anticipated or prepared for, but seldom exactly foreseen.

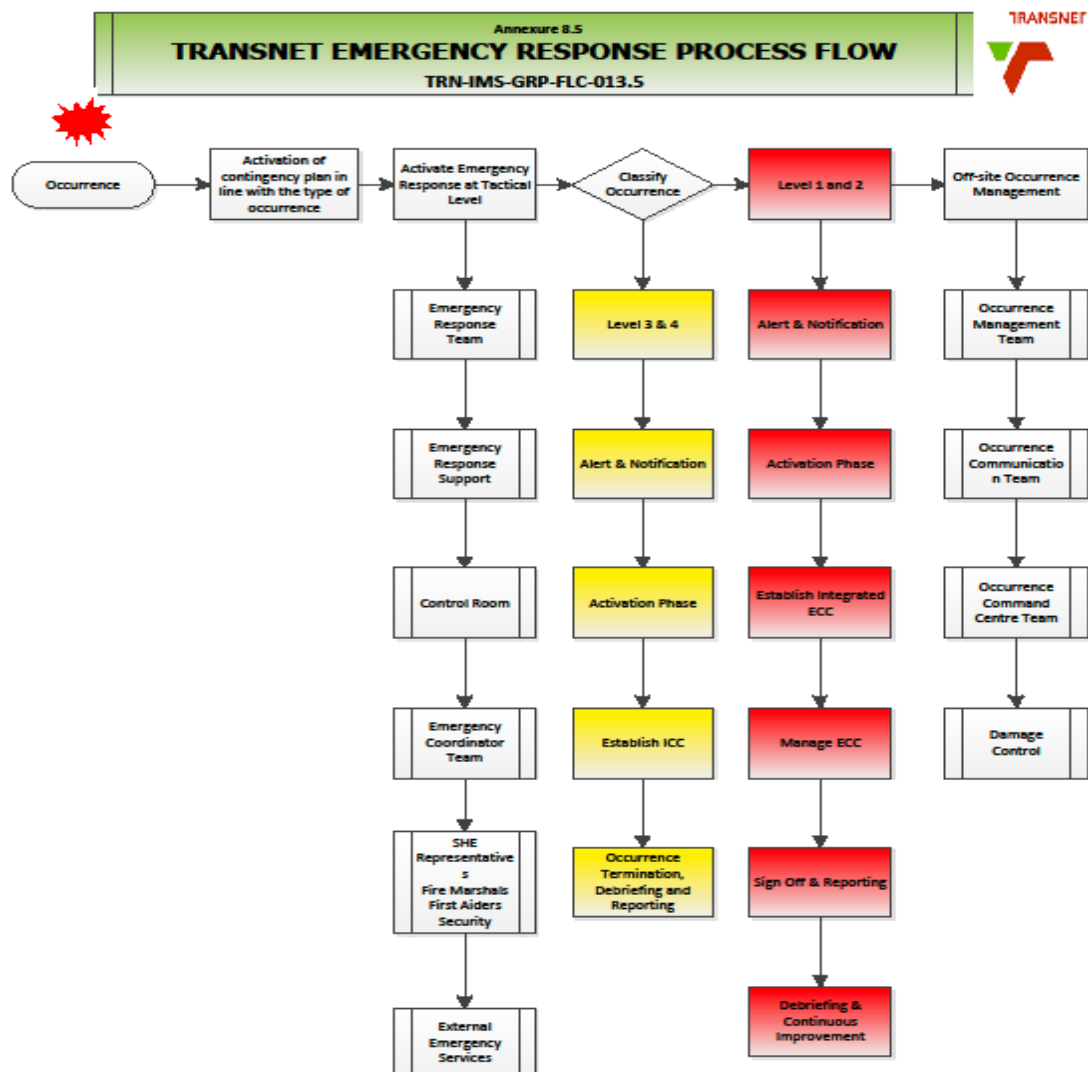
Emergency Response Plan

A plan of action for the efficient deployment and coordination of services, agencies and personnel to provide the earliest possible response to an emergency.

Incident Commander

An authorized individual and/or management representative responsible for the overall management of an occurrence from operational environment. This employee is normally appointed and activated to respond to an occurrence based on their seniority level, chairs the incident command meetings and must make the final decisions.

Annexure 8.5
TRN-IMS-GRP-FLC-013.5
Transnet emergency response process flow



Annexure 8.6
TRN-IMS-GRP-GDL-013.6 (Abridged Version)
Guideline for Handling Employee Death in the workplace

PURPOSE

The purpose of the document is to provide guidelines to relevant stakeholders, namely; line management, colleagues and relevant departments on how to handle the death of an employee at the workplace.

OBJECTIVES

- To provide insights on appropriate and effective steps to take when any death incident occurs on duty.
- To provide the necessary steps that should be taken to inform the family members of the deceased.
- Outline the responsibilities that members of the response committee will have on reporting the death of an employee who was on duty.
- Offer support to the family by providing a list of useful names and contact details of the company representatives.

RESPONSIBILITIES

A response (task) team comprising of the representatives from the following businesses/departments shall be assembled (where reasonable practical) to handle the logistics around informing the family. Specific responsibilities per department are outlined below:

Human Capital (HC) Department


Be available to visit the worksite when the death is communicated to staff in support of the Line Manager.

Provide an on-site grief support and a Critical Occurrence Stress debriefing to all impacted where applicable.

Annexure 8.7

TRN-IMS-GRP-FRM-013.7 (Abridged Version)

Transnet Occurrence notification and reporting form (Preliminary Report)

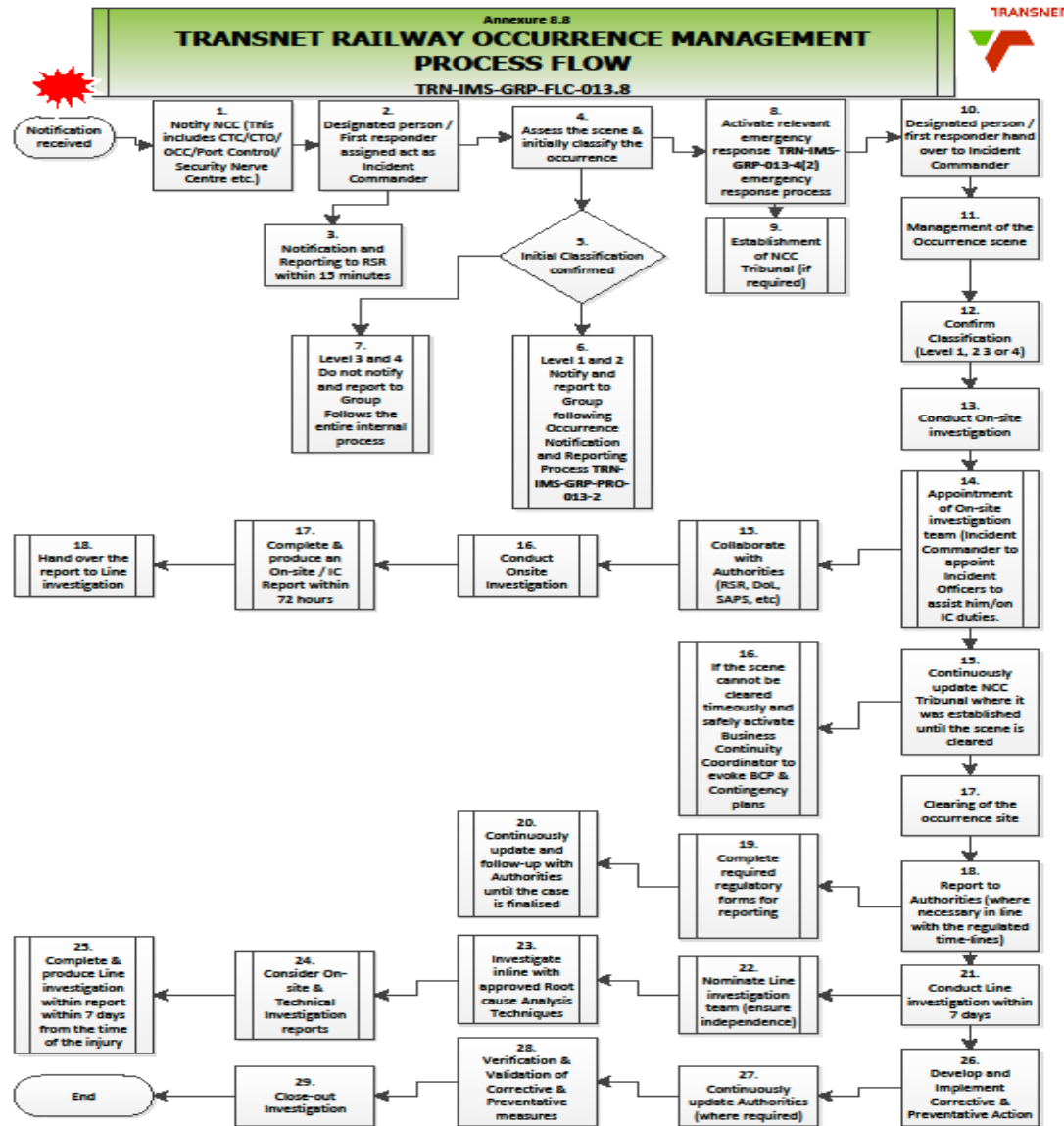
TRANSNET OCCURRENCE NOTIFICATION AND REPORTING FORM (PRELIMINARY REPORT)					
THIS PRELIMINARY REPORT SHOULD BE COMPLETED WITHIN 24 HOURS TO SHERQ/SECURITY/OMPLIANCE MANAGEMENT (SHERQSC) DEPARTMENT AND TRANSNET GROUP FOR LEVEL 1 AND 2 OCCURRENCES					
Reference No.:		Date of Occurrence		Time of Occurrence	
Occurrence Classification	Railway			Security	
	Safety (e.g. IOD, Employee Fatality)			HAZMAT	
	Health (e.g. OD)			Explosion	
	Environment			Fire	
	Asset (Specify e.g. Vehicle, equipment, infrastructure, etc)			Other (Specify e.g. Public fatality, Non-work related, etc.)	
Initial Occurrence Severity (Level 1, 2, 3 or 4)					
Operating Division (OD) / Specialist Business Unit (SBU):		Dept / Location / Work Area			
Name of Company (if 3 ^d Party)					
Supervisor		Line Manager			
Involved Employee (including 3 ^d Party where applicable) Name(s) & Surname:		Employee SAP / ID Number:			
Grade / Occupation		Age:			
Work experience (years/months)		Gender:			
Description of occurrence (State what happened, where, how and why and who was involved etc)					
Positional photographs of the occurrence scene showing injury/damage. <i>NB: Take from different positions/ dimensions / angles / views</i>					
Immediate remedial and preventative actions taken					
Current Impact					



Annexure 8.8

TRN-IMS-GRP-FLC-013.8

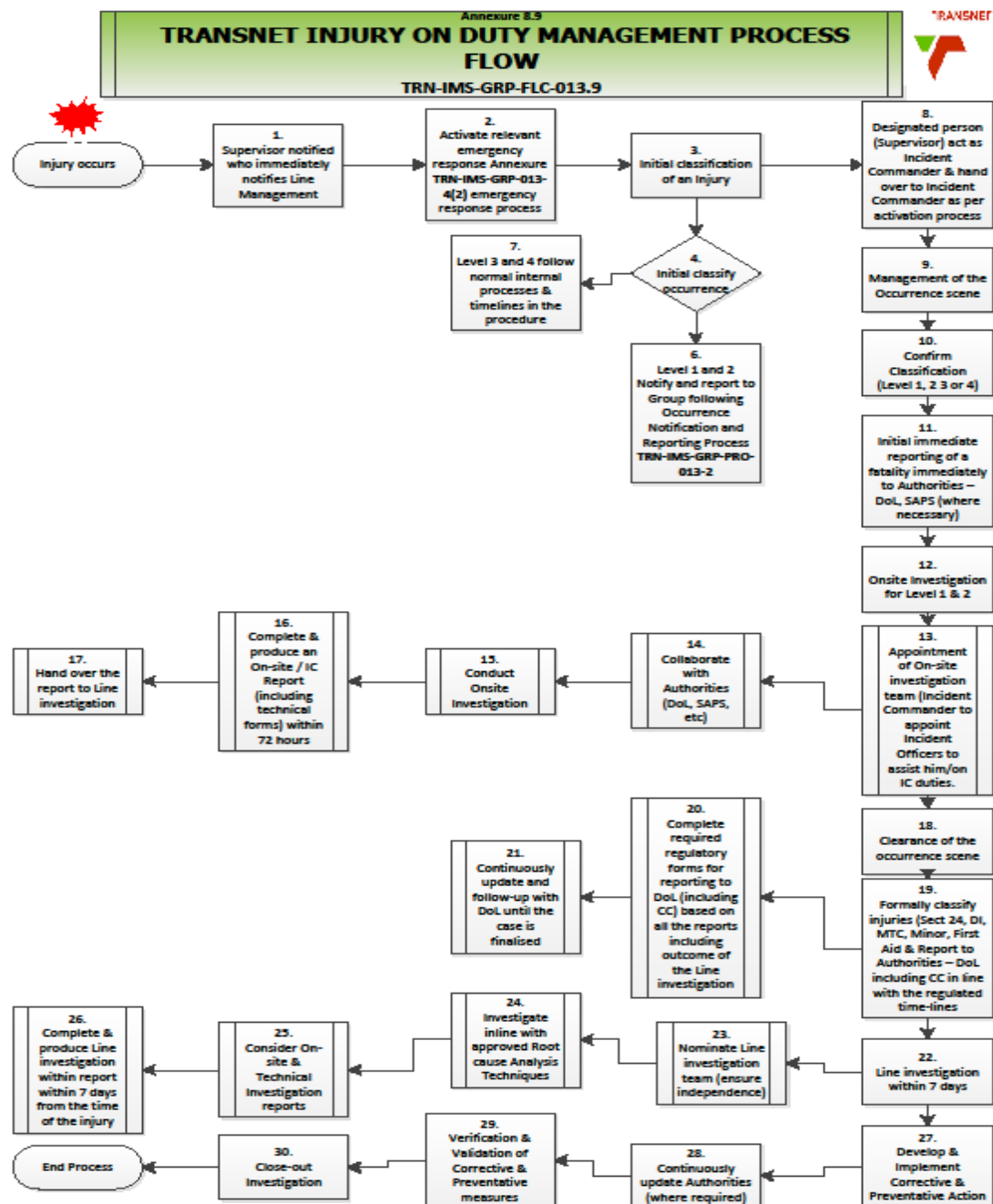
Railway Occurrence Management process flow



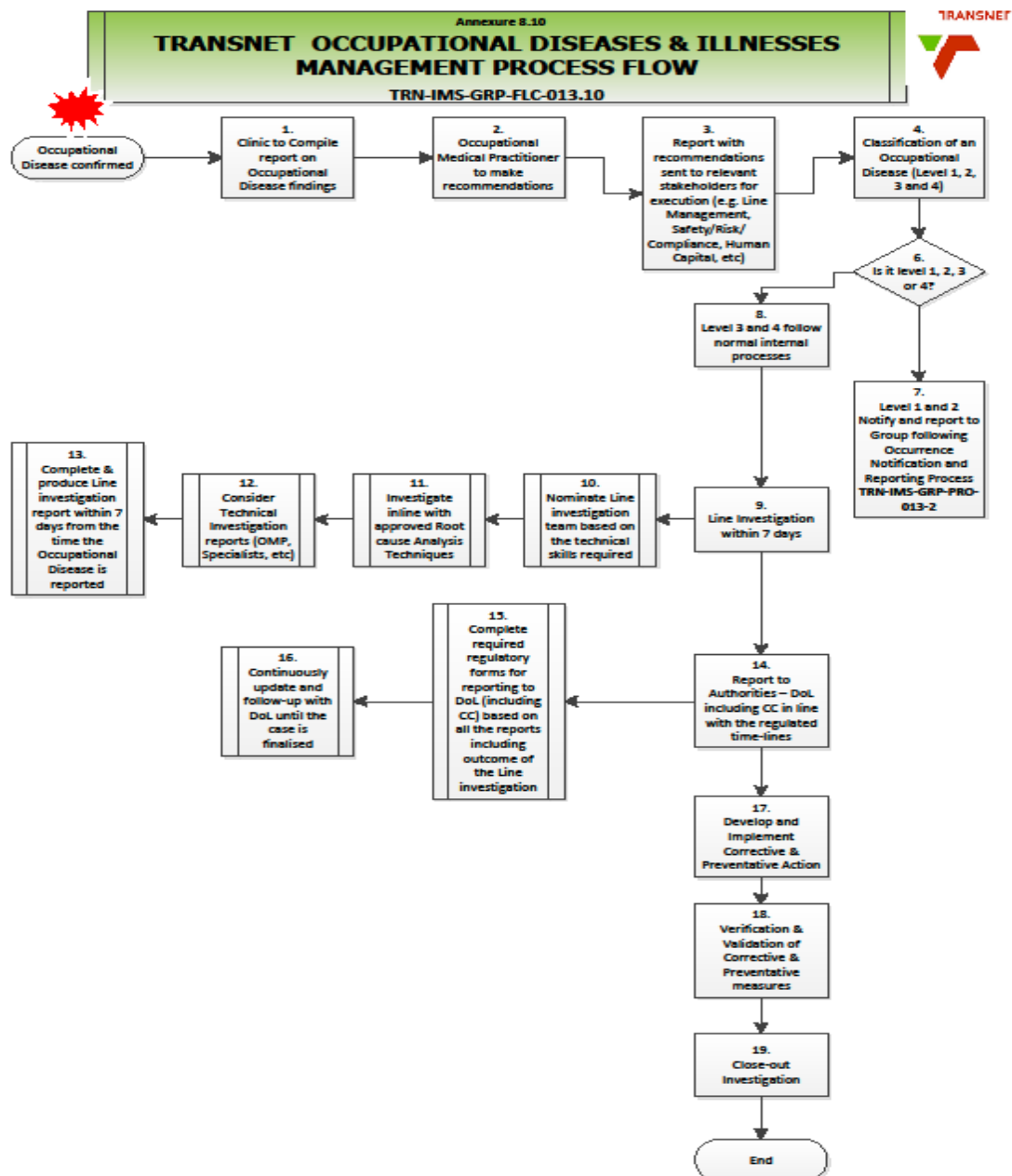
Annexure 8.9

TRN-IMS-GRP-FLC-013.9

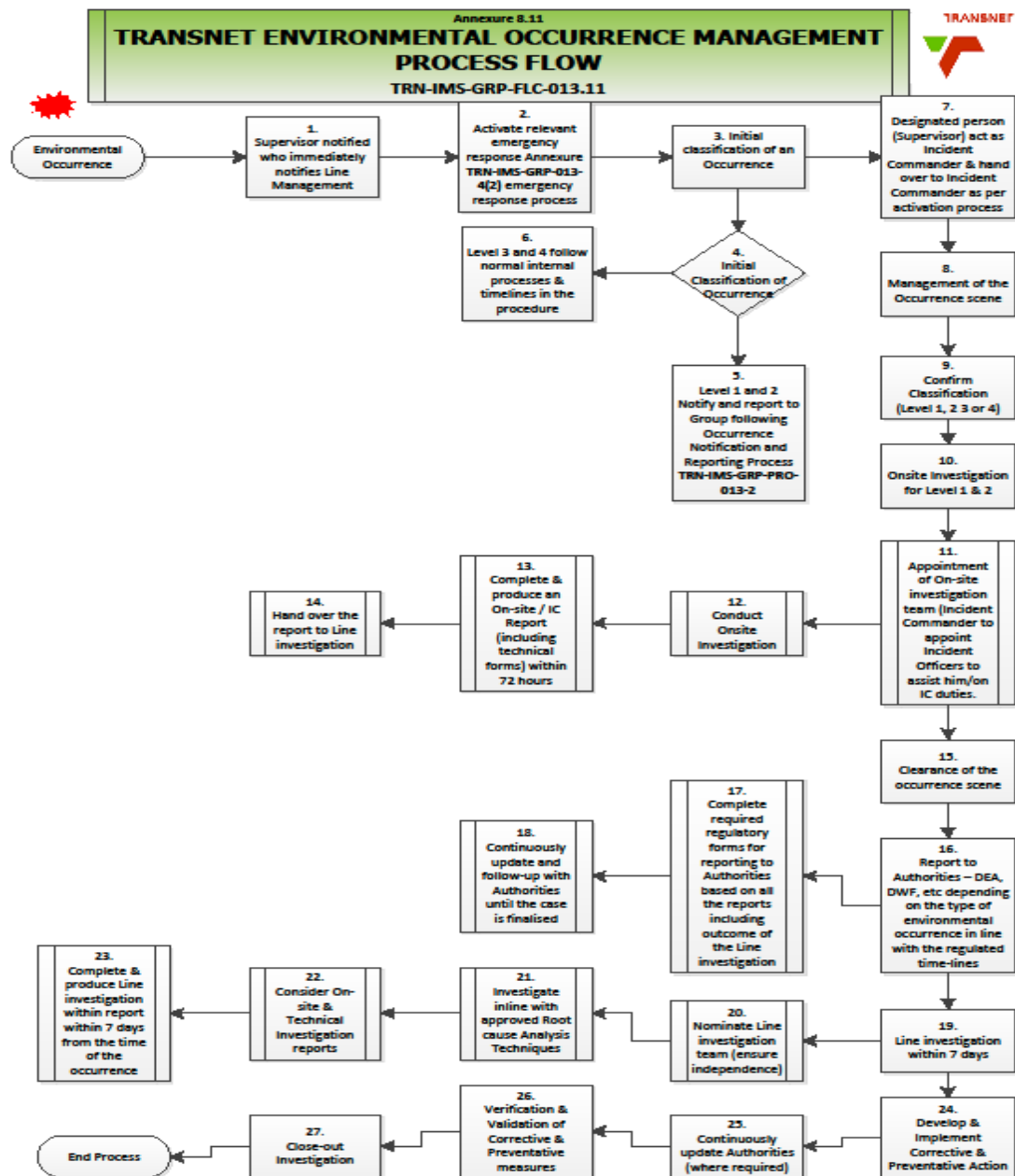
Injury on duty Occurrence Management process flow



Annexure 8.10
TRN-IMS-GRP-FLC-013.10
Occupational Diseases & Illnesses Management process flow

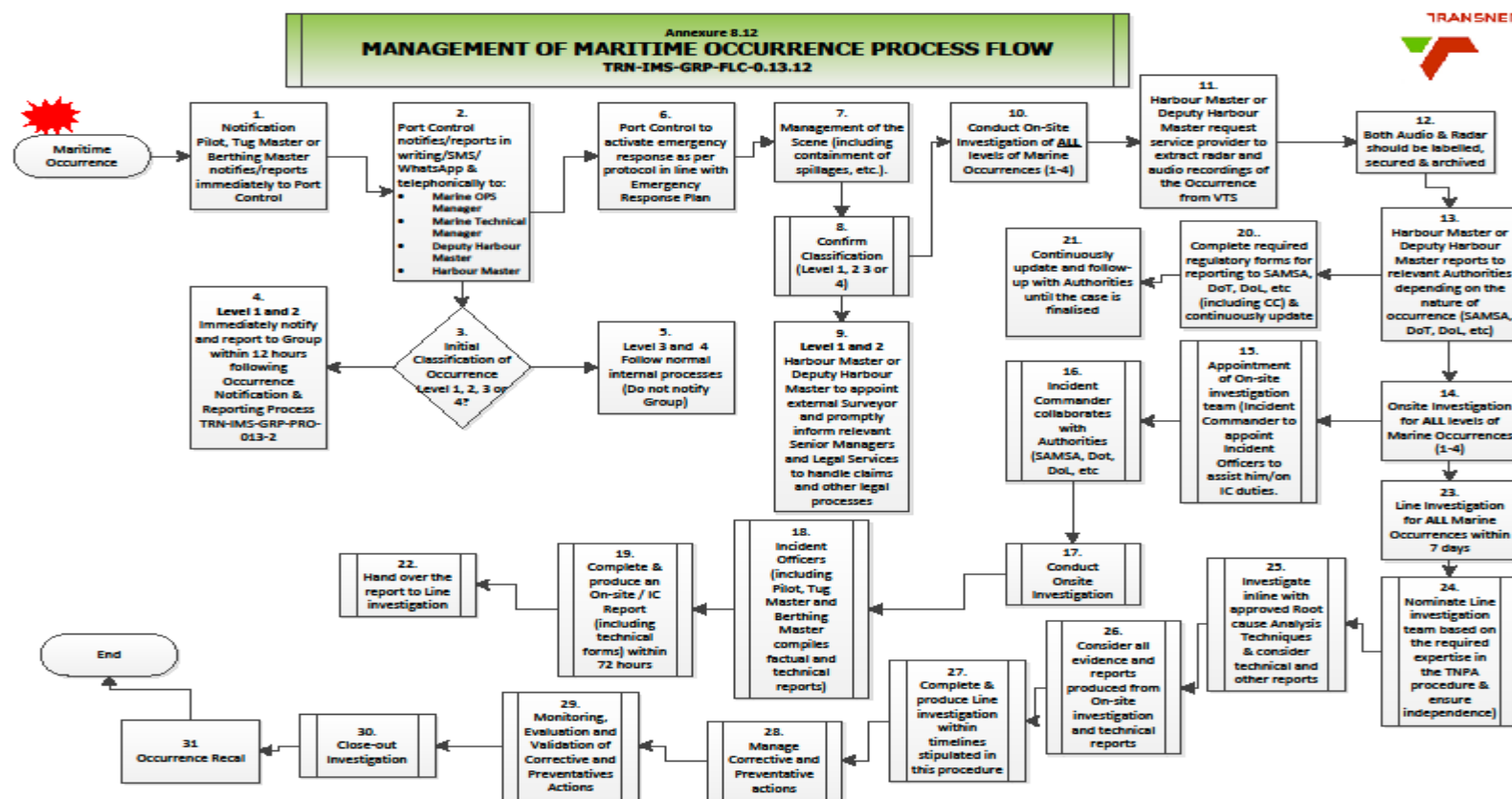


Annexure 8.11 **TRN-IMS-GRP-FLC-013.11** **Environmental Occurrence Management process flow**





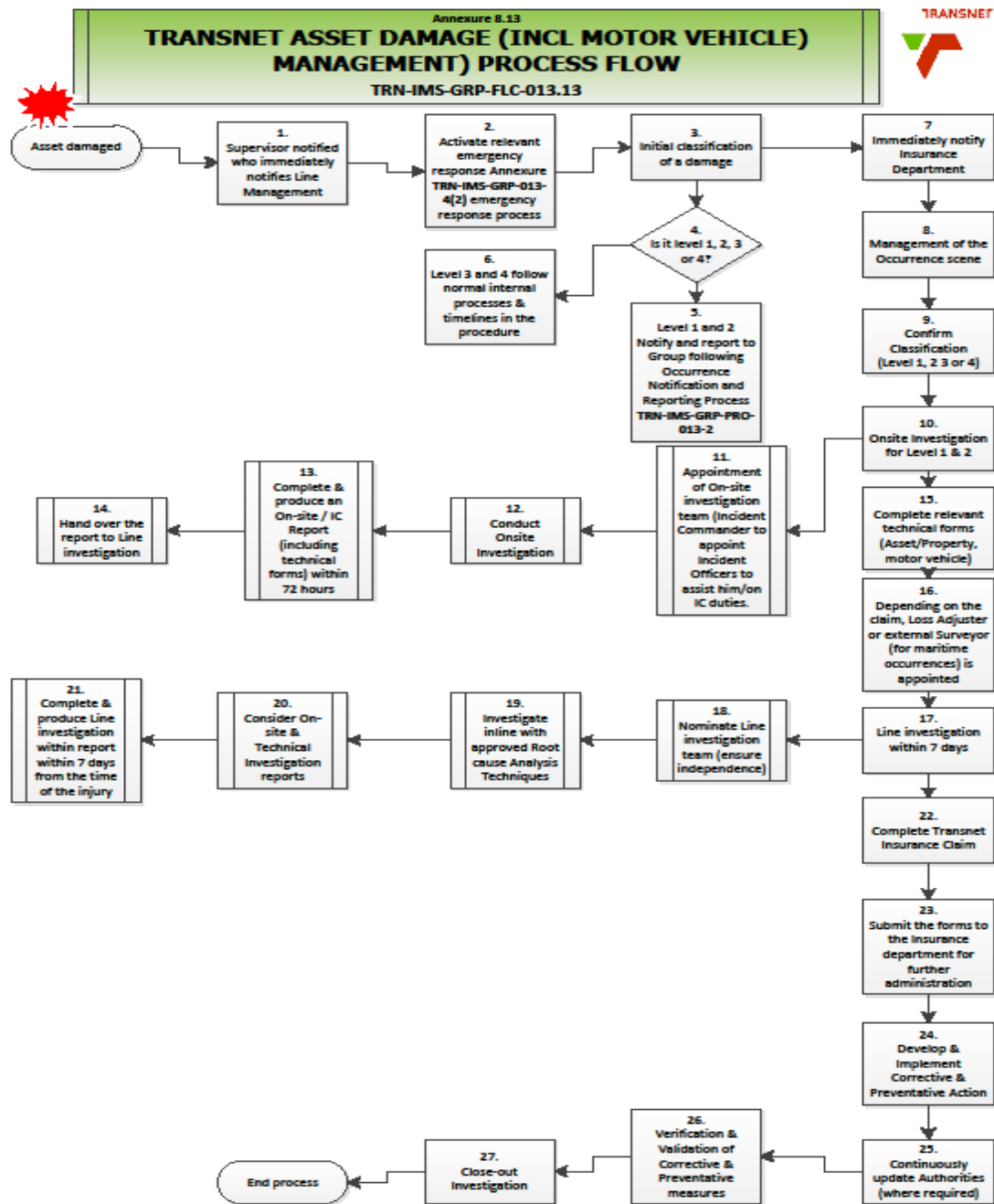
Annexure 8.12
TRN-IMS-GRP-FLC-0.13.12
Maritime Occurrence Management process flow



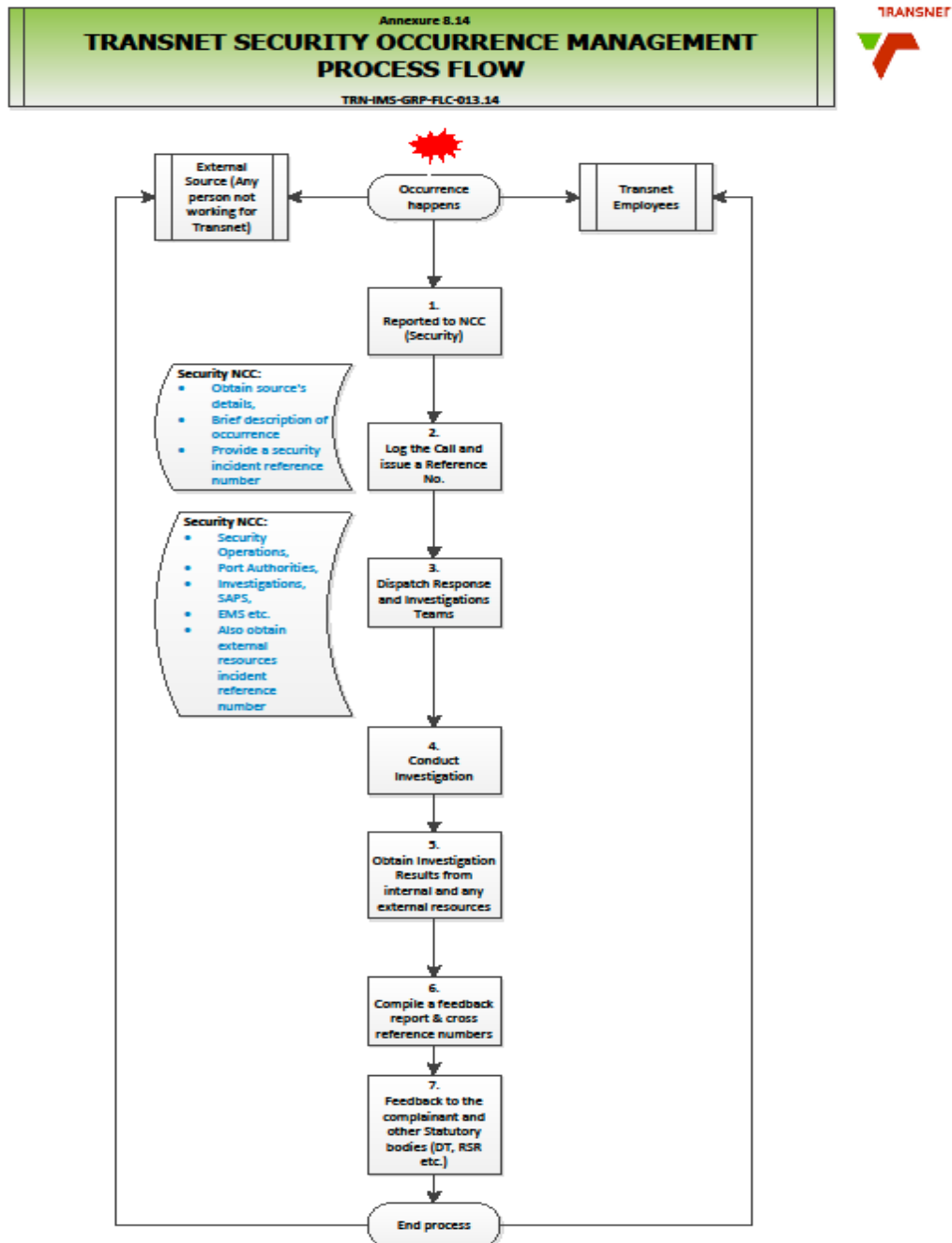
Annexure 8.13

TRN-IMS-GRP-FLC-013.13

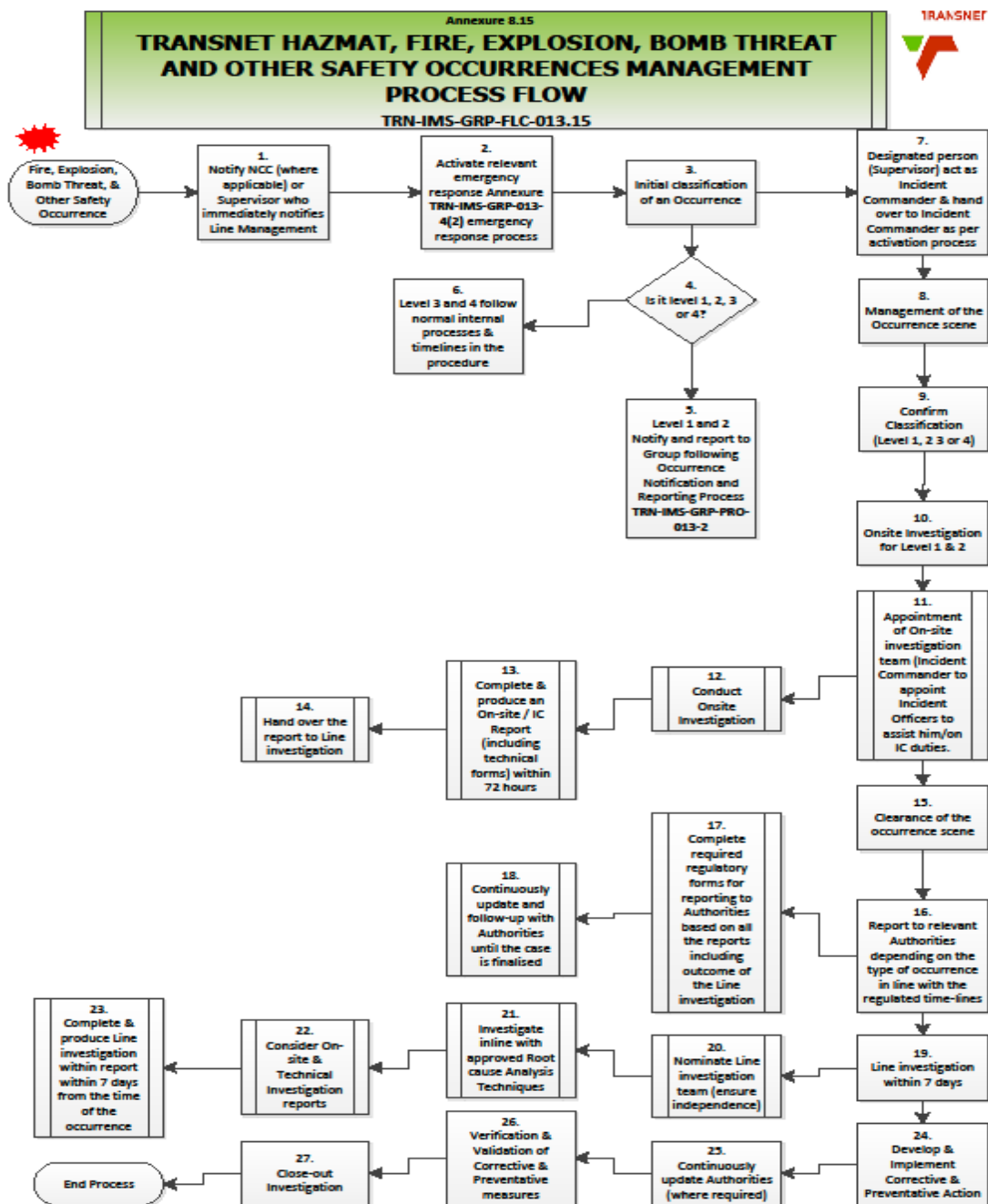
Asset Damage (including Motor vehicle) Occurrence Management process flow



Annexure 8.14
TRN-IMS-GRP-FLC-013.14
Security Occurrence Management process flow



Annexure 8.15
TRN-IMS-GRP-FLC-013.15
HAZMAT, Fire, Explosion and Other Safety Occurrences process flow



Annexure 8.16

TRN-IMS-GRP-FRM-013.16

Transnet Occurrence Notification and Reporting form for Level 1 and 2

Attention: Chief Compliance and Regulatory Office
Johannesburg

Insert a picture
of the
employee

From: _____

Date: _____

Subject: NOTIFICATION OF LEVEL 1 OR 2 OCCURRENCE

Injured employee full names and surname: _____

ID Number: _____

Date of incident: _____

Time of incident: _____

Place of incident: _____

Other employees full names and surname involved in same incident:

(Eye Witness) _____

Other employee's medical condition: _____

Functional area where employee employed: _____

Brief explanation of the incident (What happened and where):

Key job responsibilities: _____

Name and contacts of Supervisor: _____

Years of experience in the job: _____

General: _____

Document compiled by: _____

Designation: _____

Annexure 8.17
TRN-IMS-GRP-LT-013.17
Incident Commander Appointment letter

INCIDENT COMMANDER (IC)	
TO: _____ Incident Commander (Designation) _____ (SAP No.) _____ (Business) _____	FROM: _____ Compliance Administrator (Designation) _____ (SAP No.) _____ (Business) _____
OHSA INSTRUCTION A.2/1: SECTION 24(2): PERMISSION TO DISTURB/CLEAR UP OPERATING OCCURRENCES: OCCUPATIONAL HEALTH AND SAFETY ACT, 1993 (ACT 85 OF 1993).	
<p>You are hereby in accordance with the exemption granted by the Department of Labour and communicated to Transnet Group Risk Management's letter GRB/BV.2/1/2 of 1 September 2000, appointed as the Incident Commander, with the view of granting permission to disturb or clear up operating occurrences and to identify/ gather information/photographs/exhibits, etc.</p>	
_____ COMPLIANCE ADMINISTRATOR	_____ DATE
OCCUPATIONAL HEALTH AND SAFETY ACT, 1993 (ACT 85 OF 1993): OHSA INSTRUCTION A.2/1: ACKNOWLEDGEMENT OF RECEIPT OF APPOINTMENT AS INCIDENT COMMANDER AND ACCEPTANCE OF RESPONSIBILITIES	
<p>DUTIES: See duties of incident Commander attached.</p>	
<p>I _____ hereby acknowledge receipt of my appointment as Incident Commander, and accept my responsibilities for the area/section.</p>	
<p>As an appointed Incident Commander, I confirm that I will ensure that all the necessary information, photographs and exhibits are gathered and identified for further investigation.</p>	
<p>I, further commit myself to ensuring that the conditions under which the Exemption from Section 24(2) of the above-mentioned Act, has been granted per letter GRB/BV.2/1/2 of 1 September 2000 (attached hereto), are strictly adhered to, in order to avoid instant withdrawal of the Exemption(s) by the Department of Labour.</p>	
_____ INCIDENT COMMANDER	_____ DATE

Annexure 8.18
TRN-IMS-GRP-LT-013.18
Incident Officer Appointment letter

INCIDENT OFFICER (IO)	
TO: _____ Incident Officer (Designation) _____ (SAP No.) _____ (Business) _____	FROM: _____ IMS Co-ordinator (Designation) _____ (SAP No.) _____ (Business) _____
<p>You are hereby appointed as an Incident Officer (IO) in the event of an occurrence. In terms of this appointment, you are charged with but not limited to, the under mentioned duties to ensure that occurrences are managed in accordance with the legislative requirements, Transnet Occurrence Management Procedure TRN-IMS-GRP-PROC-013, Emergency Response Plan and Contingency Plan.</p>	
_____ IMS CO-ORDINATOR (Sign)	_____ DATE
<p>DUTIES:</p> <ul style="list-style-type: none"> Report to Incident Commander (IC) at site Conduct a risk assessment of occurrence site and determine high risk areas that can endanger the Health and Safety of your employees as well as 3rd parties or contribute to environmental pollution. Activate own contingency plan in accordance with activation request Do substance abuse test of own employees Communicate with all IO's and IC at site to determine action plan to clear an occurrence site at the shortest possible time Conduct a risk analysis at site before your team commences with clearing up of the occurrence scene Take necessary steps to mitigate risks Determine cause/s of occurrence with other IO's and IC at the scene Provide technical advice depending on your area of expertise Attend IC meetings during clearing up of the occurrence scene as required Manage food and rest periods for own personnel on site Liaise and give constant feedback to own Business representatives Remove personnel and equipment from site when finished Report to IC when work is completed Sign off own action plan and progress report Hand over action plan and progress report to IC when leaving the site 	
<p>I, _____, hereby accept the above appointment as Incident Officer (IO) and the responsibility / accountability thereof as indicated above. As an appointed IO, I confirm that I will ensure that all the necessary information / photographs / exhibits are gathered and identified.</p>	
_____ INCIDENT OFFICER (Sign)	_____ DATE

On-site Investigation Form (Incident Commander Report) for Level 1, 2, Railway and Marine Occurrences

This image shows a single sheet of white paper with horizontal blue ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

NOTES:

- On-site investigation shall be conducted for all Level 1 and 2 Occurrences, including all Railway and Marine Occurrences.
- This report shall be completed by the Incident Commander and Incident Officers.
- This document needs to be completed and signed by the relevant departments that formed part of the ECC.
- After completion and signed off this document must be saved on the system within 72 hours and handed over for Line Investigation.

Annexure 8.20
TRN-IMS-GRP-FRM-013.20 (Abridged Version)
Railway occurrence technical form

This form needs to be completed and signed by the Railway Technical personnel (IC / IO's) and relevant department who formed part of the On-site Investigation team

To:

Name:
Grade:
Date:

From:

Name:
Grade:
Date:

A.1 Occurrence Team members information

A.1.1 Initials Surnames & SAP number of On-site Investigation team members

Incident Commander	Locomotives	Wagons	Safety	Rail Network

Other	Other	Other	Other	Other

A.1.2 Brief description of occurrence

--

A.1.3 Level of the Occurrence

--

Annexure 8.21
TRN-IMS-GRP-FRM-013.21 (Abridged Version)
Injury on duty technical form

Date of Occurrence	: _____
Occurrence Ref. No.	: _____
Name of the injured person	: _____
SAP number of injured person	: _____
Nature of employment	
a) Permanent	<input type="checkbox"/>
b) Contract	<input type="checkbox"/>
c) Trainee	<input type="checkbox"/>
d) Experience in Current Work	: Years <input type="text"/> Months <input type="text"/>
Role on the occurrence	: _____
Were they licensed / trained? (Yes / No / NA)	: _____
Was the license / training applicable to the task	: _____
License / Training Expiry date	: _____
License No. / Training Certificate No.	: _____
Year	: _____
Issued by (Internal / External)	: _____
Was alcohol or substance testing done?	: _____
a) Alcohol	<input type="checkbox"/>
b) Substance	<input type="checkbox"/>
c) None	<input type="checkbox"/>
Tested by whom?	: _____
a) Internal	<input type="checkbox"/>
If internal state name	
b) External	<input type="checkbox"/>
(Specify)	

Annexure 8.22

TRN-IMS-GRP-FRM-013.22 (Abridged Version)

Occupational Diseases & Illnesses technical form

Name of exposed person : _____

Job Description : _____

SAP number of affected person : _____

Occurrence Ref. No. : _____

Were they licensed / trained? (Yes / No / NA) : _____

Was the license / training applicable to the task : _____

License / Training Expiry date : _____

License No. / Training Certificate No. : _____

Year : _____

Issued by (Internal / External) : _____

Occupational Disease Category

- a) Irreversible Occupational Disease ☐
- b) Noise Induced Hearing Loss (NIHL) ☐
- c) Level A (PLH shift >10%) ☐
- d) Level B (PLH shift >6.4%) ☐
- e) Level C (PLH shift of 3.2% to 6.4%) ☐
- f) Reversible Occupational Disease ☐
- g) Health related fatality ☐

Description of Occupational Disease/Illness :

Date of Diagnosis : _____

Was the case reported to the Authority / Regulator (Yes / No) : _____

If Yes, Name of Regulator : _____

Date Reported : _____

Reported By Who : _____

Annexure 8.23
TRN-IMS-GRP-FRM-013.23
Environmental occurrence technical form

Date of Occurrence			
Occurrence Ref. No.			
Spillage or discharge		Type of pollutant/spillage/discharge	
		Quantity (in litres)	
		Source of discharge/spillage	
		Site/area affected (e.g. storm water, bare ground, concreted area, etc.)	
		Size of area affected in m ²	
		Proximity to nearby watercourses (e.g. river, wetland, dam)	
Leakage		Type of leakage (e.g. gaseous, fuel, liquid)	
		Source of leak	
		Quantity (estimated)	
		Site/Area affected	
Emission		Nature/type of emission	
		Source of emission (from which plant or which activity)	
		Colour of the emission (e.g. spectrum, dark, light smoke)	
		Duration of pollution	
Illegal Dumping of waste or material		Type of waste/material	
		Classification of waste/material (general or hazardous)	
		Quantity (in kg/tons/litres)	
		Source/origin	
		Site/area affected (dumping site)	
Unauthorised development		Name of activity/development	
		Commencement date of an activity	
		Area affected	
Breach of permit conditions		Type/nature of breach or non-compliance	
		Name of legislative requirement or name of permit	
		Reason for non-compliance	
		Potential fine or penalty	
		Reported to which regulatory authority, e.g. Dept. of Environmental Affairs, Dept. of Water Affairs, etc.	
Duration of pollution			
Less than 1 day			
Less than a week			
Less than 1 month			
Less than 1 year			
More than a year			
Was the case reported to the Authority / Regulator (Yes / No)			
If Yes, provide the following information:			
Name of Regulator			
Date Reported			
Reported by Who			
Estimated Cost			

Annexure 8.24
TRN-IMS-GRP-FRM-013.24 (Abridged Version)
Maritime occurrence technical form

Operating Division (OD) / Business Unit (BU) : _____

Business/Port/Channel : _____

Date of Occurrence : _____

Time : _____

Occurrence Ref. No. : _____

Type of Marine Occurrence Category

a) Falling overboard	<input type="checkbox"/>
b) Marine Pollution	<input type="checkbox"/>
c) Stoway	<input type="checkbox"/>
d) Asset Damage	<input type="checkbox"/>
e) Other	<input type="checkbox"/>

Occurrence Level (1 - 4) : _____

Estimated Cost of Occurrence : _____

Involved Employee Details

Name : _____

Employee SAP / ID Number : _____

Nature of employment (Internal / External)

a) Permanent	<input type="checkbox"/>
b) Contract	<input type="checkbox"/>
c) Trainee	<input type="checkbox"/>

Experience in Current Work : _____

Role during the occurrence : _____

Details of the Ship : _____

Involved third Party Details

Name (Company) : _____

Company Registration : _____

Address : _____

Annexure 8.25
TRN-IMS-GRP-FRM-013.25 (Abridged Version)
Asset Damage Occurrence technical form

Date of Occurrence : _____

Type of Property/Asset Damaged : _____

- | | | |
|--|--------------------------|--------------------------------------|
| a) Buildings / Structure | <input type="checkbox"/> | Name of Building / Structure : _____ |
| b) Rolling Stock | <input type="checkbox"/> | Name of Rolling Stock : _____ |
| c) Machinery (drilling, cutting, tool, etc.) | <input type="checkbox"/> | Name of Machinery : _____ |
| d) Infrastructure (i.e. fence, water pipe, rail line) | <input type="checkbox"/> | Name of Infrastructure : _____ |
| e) ICT Equipment (i.e. scanner, drilling machine) | <input type="checkbox"/> | Name of Equipment : _____ |
| f) Motorized Equipment (tractors, forklifts, cranes, etc.) | | |
| g) Vehicle | <input type="checkbox"/> | Name of Motor : _____ |
| h) Other | <input type="checkbox"/> | Specify : _____ |

Property Damaged Details

Ownership

- | | | |
|--|--------------------------|-----------------|
| a) Operating Division | <input type="checkbox"/> | Specify : _____ |
| b) Leased | <input type="checkbox"/> | Specify : _____ |
| c) Private Company / Third party | <input type="checkbox"/> | Specify : _____ |
| d) Asset number/Serial Number where applicable | | : _____ |

Age of Property/Asset : _____

Was the case reported to the Insurer (Yes / No) : _____

If Yes, Name of Insurer : _____

Date Reported : _____

Reported By Whom : _____

Claim No. : _____

Was the case reported to the SAPS (Yes/No) : _____

Name of Police Station : _____

Case No. : _____

Name of contact person : _____

Contact details : _____

Severity of Damage

- | | |
|------------------|--------------------------|
| a) Minor | <input type="checkbox"/> |
| b) Major | <input type="checkbox"/> |
| c) Beyond Repair | <input type="checkbox"/> |

Estimated cost of Damage : _____

Annexure 8.26
TRN-IMS-GRP-FRM-013.26 (Abridged Version)
Motor vehicle occurrence technical form

Operating Division (OD) / Business Unit (BU) : _____

Business/Port/Channel : _____

Date of Occurrence : _____

Time : _____

Occurrence Ref. No. : _____

Immediate Cause of Occurrence : _____

Details of the area of occurrence (Name of road, place and etc): _____

Driver's Details

Name of Driver : _____

SAP Number : _____

License No. : _____

Restrictions on license : _____

Year Issued : _____

Code : _____

Experience in Current Work : _____

Was alcohol or substance testing done? (Yes/No) : _____

a) Alcohol ☐

b) Substance ☐

c) None ☐

Tested by whom? : _____

i) Internal ☐

If internal state name : _____

ii) External ☐

Specify : _____

Alcohol / Substance Test Results : _____

Method of testing (Breathalyzer, Urine, blood, etc.) : _____

Type of Occurrence Category

a) Damage ☐

b) Theft ☐

c) Hijack ☐

Annexure 8.27

TRN-IMS-GRP-FRM-013.27 (Abridged Version)

Security occurrence technical form

Operating Division (OD) / Business Unit (BU) : _____

Business/Port/Channel : _____

Date of Occurrence : _____

Time of Occurrence : _____

Location of Occurrence : _____

Site Occurrence Book Reference No. : _____

IMS Occurrence Reference No. : _____

Type of Security Occurrence : _____

Description of Occurrence: _____

Committed by whom?

- a) Transnet employee ☐
- b) Transnet contracted Company ☐ Specify _____
- c) External ☐ Specify _____
- d) Un-identified / Unknown ☐

Name of Transnet employee : _____

SAP Number : _____

Nature of employment : _____

- a) Permanent ☐
- b) Contract ☐
- c) Trainee ☐
- d) In case of Theft, what kind of theft :
- e) Asset Theft (Specify) ☐
- f) (e.g. Cable, Battery, Sleeper, Vehicle, Computer etc.)
- g) Customer Cargo / Product Theft (Specify) ☐
- h) (e.g. GIT, from vehicle, etc.)
- i) General Theft (Specify) ☐

Annexure 8.28

TRN-IMS-GRP-FRM-013.28 (Abridged Version)

HAZMAT and Fire occurrences technical form

Type of Occurrence:

a) HAZMAT

b) Fire

Operating Division (OD) / Business Unit (BU)

Business/Port/Channel

Location of Occurrence

Date of Occurrence

Time of Occurrence

Occurrence Ref. No.

Immediate Cause of Occurrence

:	
:	
:	
:	
:	
:	
:	

A: HAZMAT

Transportation		Storage Area		Package handled & size		Other processes
Train		Terminal		Containers		
Ship		Warehouse		Cylinders		
Truck		Quay		Over-pack		
Pipeline		other		sacks		
other				Drums		
				other		

PRODUCT IDENTIFICATION AND OCCURRENCE MANAGEMENT

Dangerous Goods Class		Size of contaminated area (m ²)	
Product Name		Presence of vapours (yes/no)	
UN No.		Method of containment	
Product use (if known)		Water ways contamination (Y/N)	
Wind direction		Sewer system contamination (Y/N)	
Isolation distance (m)		Presence of fire (Y/N)	

B: FIRE

Open flames		mechanical		Hot-work		Electrical fault		other
Arson		Lightning		Friction		Spontaneous ignition		

OCCUPANCY / FACILITY / USE TYPE

Office Building		Railway / Locomotive		Pipeline	
Garage/Workshop		Road Truck		Processing facility	
Warehouse / Sheds / Silo, etc.		Lifting Equipment		Bush / Rubbish	
Shop		Aircraft			
Terminal		Automobile			
Conveyor belt		Ship / boats			
Cargo container		Electrical Installation			

Annexure 8.29
TRN-IMS-GRP-FRM-013.29 (Abridged Version)
Explosion and Other Safety occurrences technical form

Type of Occurrence:

- | | |
|---|--------------------------|
| a) Explosion | <input type="checkbox"/> |
| b) Bomb Threat | <input type="checkbox"/> |
| c) Uncontrolled Release | <input type="checkbox"/> |
| d) Collision (excluding rail occurrences) | <input type="checkbox"/> |
| e) Machinery or Equipment out of control | <input type="checkbox"/> |

(Equipment / Asset No.)

Operating Division (OD) / Business Unit (BU) : _____

Business/Port/Channel : _____

Location : _____

Date of Occurrence : _____

Occurrence Ref. No. : _____

Immediate Cause of Occurrence : _____

Involved Employee Details

Name : _____

Employee SAP / ID Number : _____

Nature of employment (Internal / External)

- | | |
|--------------|--------------------------|
| a) Permanent | <input type="checkbox"/> |
| b) Contract | <input type="checkbox"/> |
| c) Trainee | <input type="checkbox"/> |

Experience in Current Work : _____

Role on the occurrence : _____

Was alcohol or substance testing done? : _____

- | | |
|--------------|--------------------------|
| a) Alcohol | <input type="checkbox"/> |
| b) Substance | <input type="checkbox"/> |
| c) None | <input type="checkbox"/> |

Annexure 8.30

TRN-IMS-GRP-GDL-013.30

Transnet Occurrence Severity Matrix (Guideline) for Line Investigation Chairpersons and Investigation team

NOTE The Investigation team must comprise of relevant <u>trained and competent</u> individuals informed by the nature and type of occurrence.				
Level	Presiding Officer (Chairperson) of Line investigation Team	Transnet Occurrence Investigation Tier Classification		
		Tier Classification	Minimum Training Requirements	Number of Line Investigations Chaired
1	Grade (D-B) General Manager Executive Management Senior Management	Tier 1	SHE Legal Liability Training Hazard Identification and Risk Assessment Root Cause Analysis Corporate Governance Incident Investigation Root Cause Analysis Techniques	10
2	Grade (E-D) Senior Management Middle Management	Tier 2	SHE Legal Liability Training Hazard Identification and Risk Assessment Root Cause Analysis Incident Investigation Root Cause Analysis Techniques	5
3	Grade (F-E) Senior Management Middle Management	Tier 3	SHE Legal Liability Training Hazard Identification and Risk Assessment Incident Investigation Root Cause Analysis Techniques	3
4	Grade (G-F) Junior Management Supervisors Specialists	Tier 4	SHE Legal Liability Training Hazard Identification and Risk Assessment Incident Investigation Root Cause Analysis Techniques	-

Annexure 8.31
TRN-IMS-GRP-LT-013.31
Appointment Letter for Chairperson (Level 1 or 2 Occurrence)

Date:
Ref No:

Dear, Mr/Ms

APPOINTMENT AS A CHAIRPERSON OF THE INVESTIGATION (LEVEL__)

This serves to inform you that, you have been appointed as a Chairperson on the above investigation.

The purpose for the establishment of this investigation is to determine the root/underlying cause(s) leading up to and the surroundings thereof;

Indicate Full Description of the Occurrence in bolded capital letters as outlined in the Terms of Reference

See the attached Terms of Reference and Code of Ethics for further information.

Your appointment to this investigation is to ensure that your particular skills are made available so as to meet the objectives of the investigation.

As a result of this appointment, you shall be responsible to:-

- Convene first sitting of the investigation within five (5) working days of its formal appointment
- Provide Strategic direction and leadership necessary to give effect to the requirements of the Terms of Reference
- Appoint a secretary to record the proceedings of the inquiry, if such has not been done by the company
- Delegate tasks, if necessary to the members of the Board commensurate with the experience and expertise of the members
- Enter into appropriate discussions with Senior Management of the Division involved in an occurrence to expedite the effective functioning of the investigation team.

Kind regards

OD General Manager (SHERQSC)

Annexure 8.32

TRN-IMS-GRP-LT-013.32

Appointment Letter for Investigation Team Member (Level 1 or 2 Occurrence)

Date:

Ref:

Dear, Mr/Ms

APPOINTMENT AS A TEAM MEMBER OR OBSERVER OF AN INVESTIGATION (LEVEL__)

This serves to inform you that, you have been appointed as a Member on the above investigation.

The purpose for the establishment of this investigation is to determine the root/underlying cause(s) leading up to and the surroundings thereof;

Indicate Full Description of the Occurrence in bolded capital letters as outlined in the Terms of Reference

Your appointment to this investigation is to ensure that your particular skills are made available so as to meet the objectives of the investigation.

Members of the Board shall conduct company inquiries, in:-

- A professional, equitable, expeditious and open manner
- Accordance to the Terms of Reference and Code of Ethics for each Board of Inquiry
- A dignified manner displaying the highest personal integrity

Kind regards

OD General Manager (SHERQSC)

OD Coordinator

Annexure 8.33
TRN-IMS-GRP-TOR-013.33 (Abridged Version)
Transnet Terms of Reference for Level and 2

TERMS OF REFERENCE TO THE (OD/SBU) FORMAL LINE INVESTIGATION INTO THE CIRCUMSTANCES SURROUNDING THE (OCCURRENCE DESCRIPTION) ON THE (DATE) AT APPROXIMATELY (TIME) ON THE (LOCATION) IN (AREA).

Principal objectives of Line investigation for Level 1 and 2:

Subject to the Transnet Occurrence and Non-Conformance Procedure, the investigation team (hereafter referred to as "the Team") should investigate the occurrence to:

- Establish the facts;
- Determine the immediate/root/underlying causes;
- Develop robust recommendations, and
- Compile a report covering all the elements of the Terms of Reference.
- Where the investigation team identifies shortfalls in the effectiveness of the management system, corrective measures will be recommended.
- The report will be compiled and submitted by the chairman in accordance with the timelines provided for the submission of the report.

Methodology:

One of the prescribed Transnet Root Cause Analysis Techniques as defined in the Transnet Occurrence and Non-Conformance Procedure will be used to conduct this investigation.

Terms of Reference (Scope):

The Team is required to investigate, make findings against Policy, Process, Procedure, Standards and/or Guidelines (PPPSG) and report on:

Annexure 8.34
TRN-IMS-GRP-TMP-013.34
Confidentiality Undertaking

I acknowledge that I may, in the course of the activities undertaken as a member of the investigation under reference number by Transnet SOC Ltd, obtain information (whether or not in documentary form) relating to the investigation and its internal affairs, and

Bearing this in mind, I undertake:

- to comply with the provisions of the procedure;
- not to disclose this information to any person without the prior written consent of Transnet SOC Ltd, unless this is strictly necessary to perform the work of the investigation;
- to take all reasonable steps in order to ensure that no other person gains access to information in my possession, and to inform the Board of Transnet SOC Ltd immediately if I learn that a person not duly authorised has gained access to it;
- to immediately return documents I obtain in carrying out this work (including any copies which may have been made), on the request of Transnet SOC Ltd.

I accept that these obligations will continue to apply even when the work of the investigation is completed.

In addition, I acknowledge that, where disclosure of the information I obtain is controlled by statutory provision, I may be prosecuted for wrongful disclosure.

Signed	_____
[Print name]	_____
Company/Firm	_____
Dated	_____

Annexure 8.35

TRN-IMS-GRP-FRM-013.35 (Abridged Version)

Line Investigation Form for Level 1, Level 2, Railway and Marine Occurrences

LINE INVESTIGATION REPORT TEMPLATE FOR LEVEL 1, 2, RAILWAY AND MARINE OCCURRENCES

Report Status Specify Draft, Final)

Confidential and legally privileged

TABLE OF CONTENTS

1.	DEFINITIONS/ABBREVIATIONS	3
2.	STATEMENT OF INTENT	3
3.	TERMS OF REFERENCE	3
4.	GENERAL INFORMATION	3
5.	EXECUTIVE SUMMARY	3
6.	PLACE, TIME AND DATE OF THE INVESTIGATION	3
7.	DESCRIPTION OF THE OCCURRENCE SCENE	3
8.	METHOD OF TRAINS WORKING	3
9.	BACKGROUND / HISTORY	3
10.	FACTORS FOR CONSIDERATION (Analysis of control measures)	4
11.	FINDINGS	4
12.	CONCERNS / OBSERVATIONS	5
13.	IMMEDIATE CAUSE(S)	5
14.	ROOT/UNDERLYING CAUSE(S) OF THE OCCURRENCE	5
15.	CONTRIBUTORY FACTOR(S)	5
16.	MITIGATING MEASURES ALREADY IMPLEMENTED	5
17.	CONCLUSION	5
18.	RECOMMENDATIONS IMPLEMENTATION MATRIX	6
19.	THE SIGNATURES OF THE MEMBERS OF THE INVESTIGATION TEAM	7
20.	ANNEXURES	8

Annexure 8.36

TRN-IMS-GRP-FRM-013.36 (Abridged Version)

Line Investigation Form for Level 3 and 4 occurrences

PART A: RECORDING OF OCCURRENCE:									
1	Operating Division (OD) / Specialist Business Unit (SBU)								
2	Business / Channel / Port/ Terminal								
3	Depot:				4 Sub Depot:				
5	Location:				6 Shift:			7 Day:	
8	Occurrence date:				9	Occurrence time:			
10	Investigation Start Date:				11	Investigation End Date:			
12	Detailed description of occurrence:								
	NOTE: Include sequence of events giving rise to occurrence, plant or machinery involved, process involved and type of work performed, etc.								
13	Classification								
	Safety				Maritime				Explosion
	Railway				Security				Near Miss
	Health				Fire				Other: (Public / Non-work related fatality)
	Environment				HAZMAT				Other: (Specify)
	Assets								
14	Final Occurrence Level				15	Has this type of occurrence or similar occurrence happened before:			
	Level 1					YES		NO	
	Level 2								
	Level 3								
	Level 4								
16	Cost of Damages:								
17	Detailed visual/diagrammatic representation of occurrence scene (Attach all relevant documents pertaining to this investigation e.g. Statements, Photos taken from different positions/ dimensions / angles / views, Documents, etc.)								

Confidential and legally privileged

Annexure 8.37

TRN-IMS-GRP-GDL-013.37

Just Culture Principles for Occurrence Investigation

People are less willing to inform the organisation about their own errors and other safety problems or hazards if they are afraid of being punished or prosecuted. Such lack of trust of employees prevents the management from being properly informed of the actual risks. Managers are then unable to make the right decisions in order to improve safety.

'Just culture' means a culture in which front line operators or others are not punished for actions, omissions or decisions taken by them that are commensurate with their experience and training, but where gross negligence, wilful violations and destructive acts are not tolerated; (Commission Regulation EU 691/2010).

The organisation promotes a 'just culture' which acknowledges human error and the need to manage it by supporting systems and practices that promote learning from past errors or mistakes. It encourages uncensored reporting of near miss occurrences and worker participation in safety issues. A 'just culture' is transparent and establishes clear accountability for actions. It is neither 'blame free' (awarding total immunity for actions) nor 'punitive', enacting a disciplinary response regardless of whether acts were intentional or deliberate.

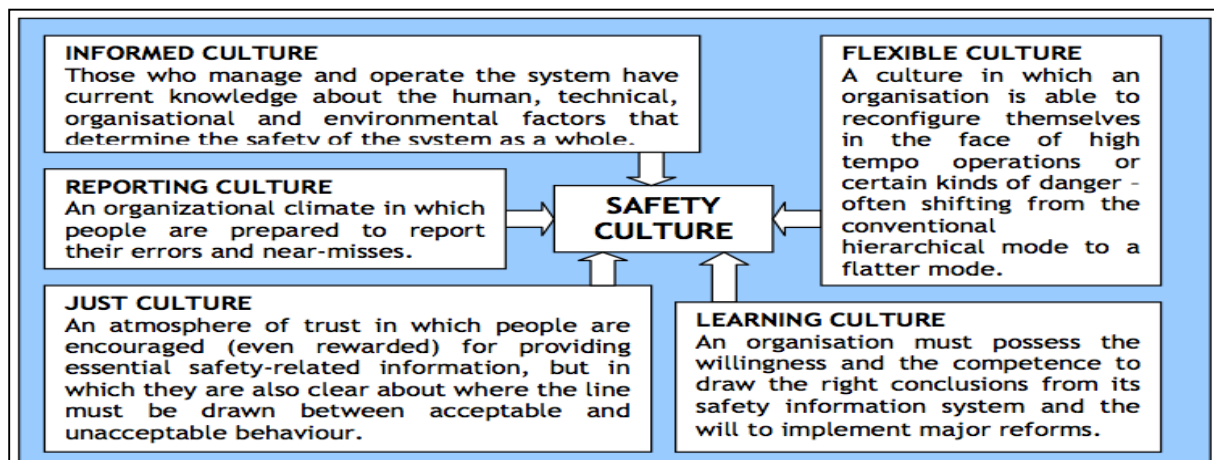


Figure 1. Based on Reason (1997) The Components of Safety Culture: Definitions of Informed, Reporting, Just, Flexible and Learning Cultures

Annexure 8.38
TRN-IMS-GRP-GDL-013.38 (Abridged Version)
Code of Ethics for Investigation Team

Members of the investigation team in the execution of their duties, in particular shall:

- Ensure that all facts obtained in an investigation are given the significance they deserve related to the facts;
- Ensure that all items presented as fact have been checked for validity, including judgements based upon personal professional experience;
- Use the best expertise, methods and equipment in determining the validity of information;
- Keep an open mind to the introduction of new facts or relevant opinions and be willing to revise findings accordingly;
- Ensure that investigations are conducted in a neutral and objective matter without prejudgements that might be perceived as being partial to any party;
- Employ the highest deals of courtesy and fairness in dealings, with involved individuals, interested parties, industry and the public at large;
- Represent the company in a professional manner;
- Ensure that the membership of the investigation team is not used to effect personal gain or favour of any nature what so ever; and
- Promote the reduction of safety deficiencies through comprehensive occurrence inquiries / investigations as a fundamental element in accident prevention.

Annexure 8.39

TRN-IMS-GRP-FRM-013.39

Near miss reporting and severity matrix form

Person reporting (Full name and Surname):		Position Description:	
SAP Number:		Contact Number:	
Operating Division / Specialist Unit:	Business:	Depot/Section:	
Date of Near Miss:	Time of Near Miss:	Location of Near Miss:	
Near Miss Classification (Safety, Health, Environment, Asset/Property Damage, etc.)			
Description of Near Miss (what happened?):			
Immediate Action taken:			
Severity: Tick the level of severity which you feel could occur if an incident could become a reality: (e.g. <u>High</u> = Fatality, permanent disability, R1mil fine by RSR, <u>Medium</u> = environmental cost of rehabilitation, <u>Low</u> = minor or no injury).			
HIGH <input type="checkbox"/>	MEDIUM <input type="checkbox"/>	LOW <input type="checkbox"/>	
Probability: Tick the level of probability which you feel that a person or property may be exposed to a similar situation and that required hazards or system failures may be present or likely. Could occur if an incident could become a reality: (e.g. <u>High</u> = task occurs frequently and by numerous individuals, <u>Medium</u> = task occurs on a regular basis by certain individual, <u>Low</u> = task occurs infrequently by few individuals).			
HIGH <input type="checkbox"/>	MEDIUM <input type="checkbox"/>	LOW <input type="checkbox"/>	
Does this Near Miss require an investigation?		Yes	No
NOTE: A combination of high severity and high probability, high severity and medium probability, medium severity and high probability requires investigation. Based on the classification as defined in the occurrence procedure, either 5-Why or RCAT Root Cause Analysis Technique should be used.			
Investigation Outcome:			
Immediate		Cause(s):	
Root Cause(s):			
Corrective and Preventative Action: (what should be done or has been done to prevent reoccurrence of this incident/occurrence)			
Action	Responsibility	Due Date	
Received by:	Date received:	Manager's signature:	

Annexure 8.40

TRN-IMS-GRP-GDL-013.40

Guidelines for interviewing witnesses

Chairperson's introductory checklist in the line investigation

It is recommended that the following steps are followed when interviewing witnesses to an investigation:

- Chairperson to welcome the witness (by name/surname). Thank him/her for making time available and attend this proceeding.
- Chairperson to state that this is a Line Investigation team investigating the circumstances surrounding the occurrence dated _____ at (Place).
- Chairperson introduces himself/herself.
- Line Investigation team to introduce themselves.

Chairperson to state to the Witness that:

- This is a (Transnet – specify the OD Line investigation and is meant to determine the facts that led to the occurrence so that the root cause(s) can be identified with the view to implement the corrective actions in order to avoid any future recurrence of this type of occurrence. Therefore, this is not a disciplinary investigation.
- As such, this Investigation Team can give no indemnity in respect of disciplinary actions as a result of this occurrence, as that is a Line Management function.
- You have a duty to the employer (Transnet) to give full co-operation to the proceedings.
- You have the right not to incriminate yourself since the evidence and report may be used in possible criminal action that might follow.
- Witness to state name, employee number, grade and years in current grade.
- Witness to state business/depot assigned to, name & grade of immediate Supervisor and years of service in the company.
- Ask witness if Union representation is required.
- Witness to present evidence regarding the occurrence in his/her own words.

Be aware of the following:

- Your key witness may or may not be able to tell you exactly what happened.
- The same witness may give a different story when questioned in subsequent interviews.
- Don't be surprised if different witnesses come up with different versions of the same event.

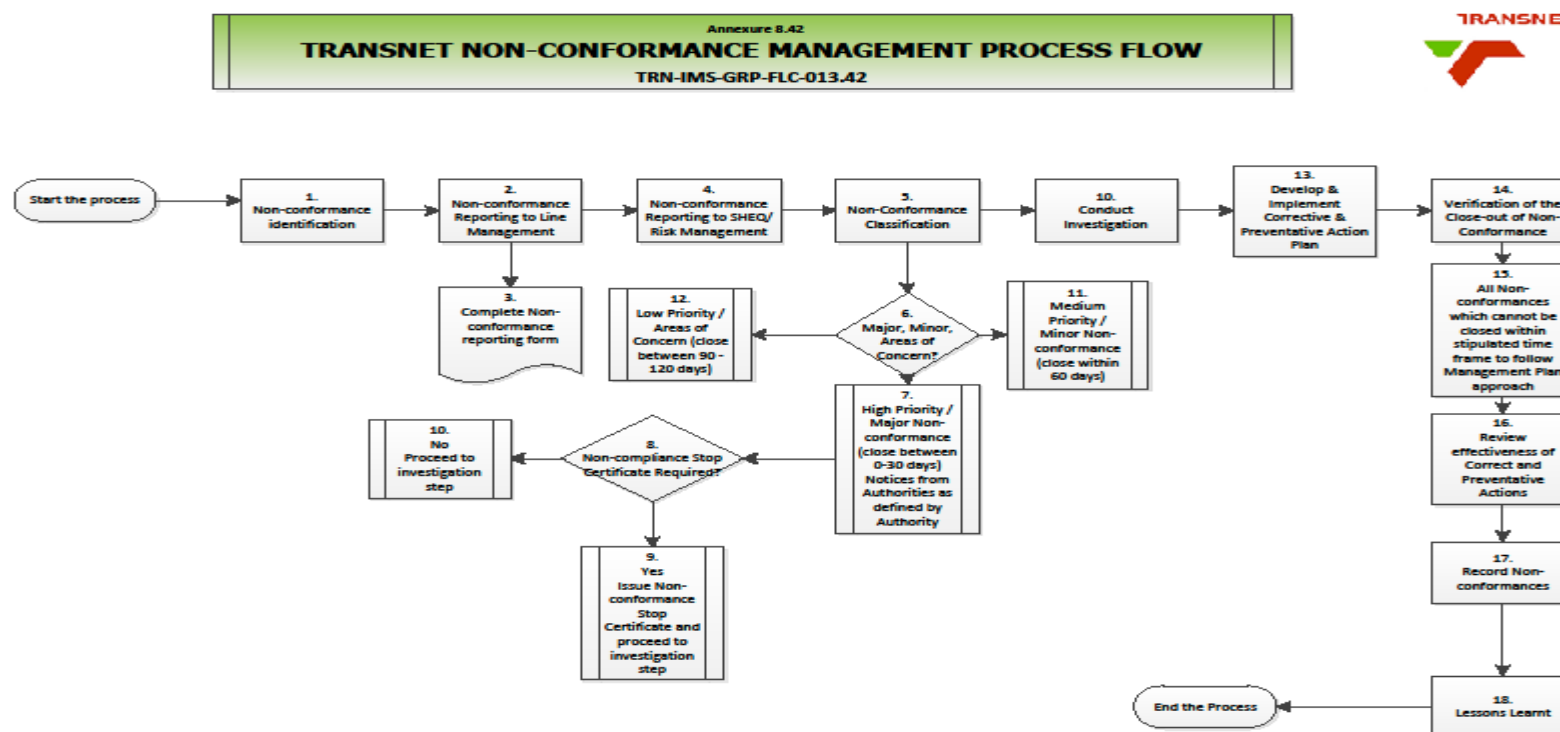
You therefore need to follow the "Interviewing of Witnesses Prompt List" and "Questioning Technique" below to ensure you get accurate information as far as reasonable possible:

Do's of Witness Interviewing	Don'ts of Witness Interviewing
Do aid the witness with indices, e.g. "How did the lighting compare to the lighting in this room?" "How did he compare in size to you?"	Don't ask questions that suggest an answer e.g. "Was the odour like rotten eggs?", "Was the colour the same as your dress?", "Was the victim about your height?"
Do assist the witness with props (photos, drawings, graphs, manuals etc.)	Don't use inflammatory words e.g. "violate", "kill", "steal", "lie", "stupid" etc
Do treat the witness with respect and keep the interview from becoming an interrogation	Don't make promises that cannot be kept e.g. "You tell us something and we will keep it confidential"
Do listen to the answers and ask follow-up and clarifying questions	Don't threaten or blame the witness
Do observe how things are said (voice inflections, gestures, facial expressions etc.)	Don't leave questions out of the interview just because you think you know the answer

Annexure 8.41
TRN-IMS-GRP-FRM-013.41
Occurrence Recall

TO: All Transnet Employees	
To bring about a continual awareness of the causes of previous occurrences, the need exists to review on a regular basis past occurrences within our workplaces.	
DATE OF OCCURRENCE:	BUSINESS/CHANNEL:
TYPE OF OCCURRENCE:	
DESCRIPTION OF OCCURRENCE: <hr/> <hr/> <hr/> <hr/>	
CAUSE OF OCCURRENCE: <hr/> <hr/> <hr/> <hr/>	
PROCEDURE/RULE/S TRANSGRESSED: <hr/> <hr/> <hr/> <hr/>	
CORRECTIVE AND PREVENTATIVE ACTION: <hr/> <hr/> <hr/> <hr/>	
LESSONS LEARNT <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	

Annexure 8.42
TRN-IMS-GRP-FLC-013.42
Non-conformance management process flow



Annexure 8.43
TRN-IMS-GRP-FRM-013.43
Non-conformance reporting form

NCR Ref No.															
Raised by:	Full Name & Surname					SAP No.					Contact Details:				
Origin of NCR:	Legal (Non-compliance)					System (Non-conformance)					Other Non-compliance (Specify)				
	Project Name					Project No.									
Type of NCR:	Customer Complaint					System					Environment				
	Fire					HAZMAT					Health				
	Maritime					Quality					Railway Safety				
	Vendor					Audit					Other (Specify)				
Item No.:						Serial / Batch No.:									
Customer Name:						Contravened Standard Clause:									
Vendor Name:						Vendor No.:									
Classification:	High Priority (HP) / Major (MNC)					Medium Priority (MP) / Minor (NC)					Low Priority (LP) / Area of Concern				
											Observation (OBS)				
Responsible Person (Int):						SAP No. :					Date Raised:				
Responsible Person (Ext):															
NCR Raised by which Business:						Plant No.:					Name of Site:				
NCR Raised against which Business:						Plant No.:					Name of Site:				
Originator Signature:															
Non-Conformance Description:															
Type of work, processes or equipment involved:															
Immediate / Remedial action taken:															
Action agreed / approved:	Yes		No		Signature:					Date:					
Stop Certificate Issued:	Yes		No												
Investigation															
Note: Use the recognized Transnet Root Cause Analysis Techniques to complete this investigation and transfer the findings to this template															
Root Cause(s):															
Corrective Action(s) Taken:															
Preventative Action(s) Taken:															
Non-conformance Cost:	Labour:					Material:					Other				
	Travel & Accommodation					Transportation:									
Follow Up															
Has the necessary Corrective / Preventative Action been taken?										Yes		No			
Does the above introduce new risk?										Yes		No			
Has the cause of the problem been removed?										Yes		No			
Additional Comments / Recommendations :															
Sign-off on Completed NCR															
Note : All individuals that formed part of the investigation, determination of root cause and corrective action must add their designation below and sign off before the non-conformance may be completed															
Designation				Name & Surname				Signature				Date			

Annexure 8.44
TRN-IMS-GRP-FRM-013.44
Non-compliance Stop Certificate

NON-COMPLIANCE STOP CERTIFICATE			
STOP Certificate Reference No.:			
NCR / Root Cause Analysis No. (Optional)			
In accordance with the following Contravention you are hereby instructed to stop this activity / process with IMMEDIATE EFFECT due to the following reason/s:			
1. Non-conformance (Description)			
2. Requirements contravened (Legal / Instructions / Specification transgressed):			
3. Conditions of STOP CERTIFICATE: (mitigation necessary to lift stop certificate)			
Recipient of Stop Order			
Full Name		Date Received	
Designation		Time	
Contact Number		Signature	
Issuer of Stop Order			
Full Name		Date	
Designation		Time	
Contact Number		Signature	
<div style="display: flex; justify-content: space-between; font-weight: bold;"> DO NOT PROCEED </div> UNTIL THE ABOVE PROCESS HAS BEEN APPROVED FOR COMMENCEMENT BY THE RELEVANT COMPLIANCE AND REGULATORY AFFAIRS REPRESENTATIVE			
Process Correction Verification			
Signature (Recipient)		Date	
Signature (Recipient)		Date	
Lifting of stop certificate			
Date lifted:		Time:	
Compliance to mitigation:			
Signature of original person issuing stop certificate:			
Signature of person accepting lifting of stop certificate:			
FAILURE TO ADHERE TO THE STOP CERTIFICATE WILL RESULT IN RECOMMENDATIONS MADE TO LOCAL BUSINESS/NATIONAL BUSINESS MANAGER TO TAKE NECESSARY ACTIONS AGAINST THE RESPONSIBLE PERSON NOT ADHERING TO THE REQUIREMENTS AS STIPULATED ON THIS STOP CERTIFICATE.			

TRN-IMS-GRP-PROC-013
Occurrence and Non-Conformance Management Procedure
©Transnet SOC Ltd