

	Procedure	Technology
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Title: **Occurrence and Incident Management Procedure**

Unique Identifier: **240-53114193**

Alternative Reference Number: **N/A**

Area of Applicability: **Engineering**

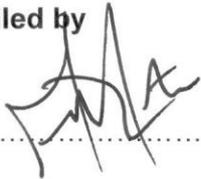
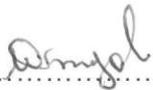
Documentation Type: **Procedure**

Revision: **1**

Total Pages: **11**

Next Review Date: **September 2015**

Disclosure Classification: **CONTROLLED DISCLOSURE**

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CONTENTS

	Page
1. INTRODUCTION	3
2. SUPPORTING CLAUSES.....	3
2.1 SCOPE	3
2.1.1 Purpose	3
2.1.2 Applicability.....	3
2.2 NORMATIVE/INFORMATIVE REFERENCES.....	3
2.2.1 Normative	3
2.2.2 Informative.....	4
2.3 DEFINITIONS.....	4
2.3.1 Classification	4
2.4 ABBREVIATIONS.....	5
2.5 ROLES AND RESPONSIBILITIES.....	5
2.5.4 Staff and Personnel.....	5
2.6 PROCESS FOR MONITORING.....	5
2.7 RELATED/SUPPORTING DOCUMENTS.....	6
3. OCCURRENCE AND INCIDENT PROCEDURE	6
3.1 NOTIFICATION AND REVIEW	6
3.1.1 Occurrence and Incident Register.....	6
3.1.2 Notification and Registering	6
3.1.3 Review and Assignment.....	7
3.2 INVESTIGATION AND EXECUTION	7
3.2.1 Investigator	7
3.2.2 Root Cause and Investigation report.....	7
3.2.3 Internal feedback.....	8
3.3 REVIEW AND ANALYSIS	8
3.3.1 Data and Trend Analysis.....	8
4. RECORDS.....	8
5. AUTHORIZATION	9
6. REVISIONS	9
7. DEVELOPMENT TEAM	9
8. ACKNOWLEDGEMENTS	9
APPENDIX A : OCCURRENCE AND INCIDENT MANAGEMENT	10
A.1 OCCURRENCE AND INCIDENT PROCESS.....	10
APPENDIX B : OCCURRENCE AND INCIDENT REGISTER (INFORMATIVE).....	11
B.1 RECOMMENDED TABLE FIELDS -	11

FIGURES

Figure 1: Occurrence and Incident Management	10
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TABLES

Table 1: Records	8
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CONTROLLED DISCLOSURE

1. INTRODUCTION

The Engineering Business Management System (including the Quality Management System) implemented by the organisation includes the development and implementation of an occurrence and incident management procedure, in accordance with the 32-727 Safety, Health, Environment and Quality Policy [6] and ISO 9001 Standard requirements for Measurement, Analysis and Improvement.

This procedure supports the original 36-220 Generation Occurrence Management Procedure [5], and only intends to provide specific direction regarding its application and context to the Engineering group within Group Technology.

2. SUPPORTING CLAUSES

2.1 SCOPE

This procedure describes the occurrence and incident management processes applicable to the systems, processes and activities, that are controlled by the Engineering Business Management System, as described in the 240-53665024 Quality Management System Manual [8].

This document defines the process for the notification and investigation of an occurrence or incident as defined in accordance to 36-220 Generation Occurrence Management Procedure [5], which occur within the **Engineering domain** at the central offices of Enterprise Park, and as applicable to Sanhill Park, Megawatt Park and related sites.

Further this process has been described and mapped under the Process Control Manual [7]

2.1.1 Purpose

The purpose of this Procedure is to describe the processes to address the notification and investigation as applicable within Engineering, and detailing the required activities and roles to ensure that:

- notification and classification of occurrences and incidents are executed, and
- the conducting of investigations; to establish the causes, and actions to prevent a recurrence.

2.1.2 Applicability

This document shall apply to the management of Occurrence and Incident issues within the **Engineering domain** at the central offices of Enterprise Park, and as applicable to Sanhill Park and Megawatt Park.

2.2 NORMATIVE/INFORMATIVE REFERENCES

Persons using this procedure are to apply the most recent edition of the documents listed in the following paragraphs.

2.2.1 Normative

- [1] 240-53114186 Document and Record Management Procedure
- [2] 240-53114190 Internal Audit Procedure
- [3] 240-53114192 Corrective and Preventive Action Procedure
- [4] KGA-094 Event Investigators Guide

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- [5] 36-220 Generation Occurrence Management Procedure
- [6] 32-727 Safety, Health, Environment and Quality Policy
- [7] 32-1217 Process Control Manual for Manage Occurrence and Incident

2.2.2 Informative

- [8] 240-53665024 Quality Management System Manual
- [9] ISO 9001 Quality management systems - Requirements.
- [10] ISO 14001 Environmental management systems – Requirements.
- [11] OHSAS 18001 Occupational health and safety management systems – Specifications.

2.3 DEFINITIONS

Definitions applicable to the procedure are as published under ISO 9000 and 36-220 Generation Occurrence Management Procedure [5].

For the purposes of readability of this Procedure the following terms have relevance -

- “accident”, refers to any unplanned event, which results in harm, injury or fatality to persons.
- “incident”, refers to any unplanned event, which results in damage and/or environmental pollution or degradation.
- the definition of “audit finding”, as defined by ISO 9000 is applicable to the term “nonconformity” as used in this procedure, which includes “findings”, “conformities”, “deviations”, “observations”(potential deviations) and “opportunities for improvement”.
- “Top Management” – person or group of people who directs and controls an organisation and includes the General Managers and the Divisional Executive.
- “Near Miss Incident” - An undesirable and unplanned incident that could have resulted in physical harm, injury or illness to a person or damage to property, or could have led to a major or significant incident. Only a fortunate break in the chain of controls prevented an injury, fatality, damage and / or environmental pollution or degradation. The master definition is found in 36-220 Generation Occurrence Management Procedure [5].
- “Occurrence” - An unplanned, uncontrolled or undesired event that results or may result in physical harm to a person, damage to and / or unavailability of power plant equipment, or that has an adverse impact on plant operation and / or cost. The master definition is found in 36-220 Generation Occurrence Management Procedure [5].

2.3.1 Classification

- a. **Controlled disclosure:** controlled disclosure to external parties (either enforced by law, or discretionary).

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2.4 ABBREVIATIONS

Abbreviation	Description
ISO	International Organization for Standardization
KGA	Koeberg Generation

2.5 ROLES AND RESPONSIBILITIES

2.5.1 Senior General Manager: Engineering

The Senior General Manager: Engineering is accountable to ensure that this Procedure is applied and continually improved.

2.5.2 Management Representative

The Management Representative, responsible for Business Management System (appointed in terms of ISO9001 clause 5.5.2), is to ensure that this Procedure is applied, maintained and continually developed to ensure relevance to the organisation.

The Management Representative shall, further to the above responsibilities –

- a. manage the Occurrence and Incident program, including the establishment of a Register,
- b. develop, implement and maintain this Procedure,
- c. promote awareness regarding the implementation of this procedure, and
- a. report on all Occurrence and Incident activities to the Top Management.

2.5.3 Line/Discipline Manager

The Line/Discipline Managers are responsible to ensure that identified tasks/activities are executed as expeditiously as possible and support appointed investigator/s in their tasks.

2.5.4 Staff and Personnel

It is mandatory upon all staff (including contracted staff) functioning within the Business Management System to report all occurrences and incidents in terms of this procedure.

2.5.5 Investigator

The Investigator is the individual identified (see 3.1.3) as being responsible for the investigation report, including determination of the root-cause, recommending potential correction, and corrective / preventive actions.

2.6 PROCESS FOR MONITORING

This procedure will be monitored via self-assessment and 240-53114190 Internal Audit Procedure [2] to ensure compliance to the 240-53114186 Document and Record Management Procedure [1] and 240-53665024 Quality Management System Manual [8].

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2.7 RELATED/SUPPORTING DOCUMENTS

- [12] 240-53114131 Occurrence and Incident Notification form
- [13] 240-53114135 Occurrence and Incident Investigation Report template
- [14] Occurrence and Incident Register - Appendix B
- [15] 240-53114159 Investigator Appointment Form.

3. OCCURRENCE AND INCIDENT PROCEDURE

3.1 NOTIFICATION AND REVIEW

3.1.1 Occurrence and Incident Register

The Management Representative shall establish and maintain an Occurrence and Incident Register - Appendix B [14]. The register shall maintain at least the following information –

- i. Occurrence unique number
- ii. Title of Occurrence and Incident
- iii. Description of Occurrence and Incident
- iv. Name of originator/reporter
- v. Categorisation (See Appendix B of 36-220 Generation Occurrence Management Procedure [5])
- vi. Line/Discipline Manager
- vii. Responsible person, and
- viii. Investigation Report reference number.

3.1.2 Notification and Registering

Any person, including Contractors or Consultants, working in accordance with the Business Management System shall upon identification of an occurrence or incident shall forthwith issue notification (report) of such instances.

Notification shall be via one of the following routes, namely:

- ix. via direct reporting to their line manager/supervisor; in such cases the line manager shall advise the Management Representative,
- x. via email to the Management Representative,
- xi. via issuance of the 240-53114131 Occurrence and Incident Notification form [12] to the Management Representative, or
- xii. via capture within a software application which supports such reporting.

The Management Representative shall cause all occurrences and incidents to be recorded in an Occurrence and Incident Register - Appendix B [14].

The following minimum information that shall be captured/registered per instance which includes –

- xiii. Title of the Occurrence or Incident
- xiv. Description of the Occurrence or Incident (including activity and person/s involved)
- xv. Location (or process) of Occurrence or Incident

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xvi. Name of the originator

3.1.3 Review and Assignment

The Management Representative shall –

- a. review all Occurrence and Incident notifications and inform Top Management, considering the importance of the instance, including to Corporate structures, reference Annexure A of 36-220 Generation Occurrence Management Procedure [5];
- b. cause preliminary investigation/s to provide more detailed status to Top Management, and to enable classification in accordance to Annexure B of 36-220 Generation Occurrence Management Procedure [5]. The preliminary investigation/s shall be issued within 24 hours of the occurrence or incident notification being received. The preliminary investigation report is to include immediate actions taken to address or make safe the situation;
- c. in accordance with Annexure B Classification 36-220 Generation Occurrence Management Procedure [5] and the respective line/discipline manager, confirm assignment and arrange for the appointment of an appropriate Investigator to the occurrence or incident. Note Level 1 and 2 class occurrences and incidents may be led by a Corporate investigator;
- d. the investigator identified shall be recorded against the respective occurrence/incident, for tracking and monitoring purposes.

3.2 INVESTIGATION AND EXECUTION

3.2.1 Investigator

The appointed Investigator, who shall be qualified in investigator techniques, shall review the all information available regarding the occurrence or incident and undertake an investigation; depending on the nature and complexity of the event establish an investigation team.

The Investigator shall conduct the investigation in accordance with direction/guidelines set out in 36-220 Generation Occurrence Management Procedure [5].

3.2.2 Root Cause and Investigation report

The Investigator shall apply a graded approach to the root-cause techniques applied and considering the degree of severity and complexity of the event, to establish the direct and in-direct root causes of the occurrence or incident. The KGA-094 Event Investigators Guide [4] maybe used to conduct the investigations. In all cases a thorough understanding of the event shall be established to enable the recommendation of required correction, corrective and preventive actions.

In identified cases, the application of the KGA-094 Event Investigators Guide [4] maybe prescribed by the Management Representative, due to the nature or complexity of the occurrence and incidents. These may include occurrence and incidents that could affect the integrity of design, safety of structures, plant or components, or of such complex nature a multidisciplinary team is required to address the issue.

All investigations conducted shall be formally documented and recorded, including a unique reference number. The investigation report shall apply the 240-53114135 Occurrence and Incident Investigation Report template [13] for capturing the results of the investigation, including the root cause and recommended corrective actions.

The finalised investigation report shall be lodged with the Management Representative, for submission / reporting to Top Management, considering the classification level of the occurrence or incident.

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3.2.3 Internal feedback

The Management Representative shall advise (copy on relevant information or access to software fields) the originator of the actions taken in response to the investigation of the occurrence and incident reported.

3.3 REVIEW AND ANALYSIS

Top Management are responsible to ensure that any actions resulting from the application of this Procedure are addressed to finalisation, to support meeting the quality principles of customer satisfaction and continual improvement of the Business Management System.

Senior Managers shall review all applicable occurrences and incident corrective actions, to ensure effective management and resolution. Senior Managers shall monitor the actions and resolution of all occurrences and incidents within their area of responsibility, to ensure effective implementation and closure.

Personnel assigned responsibility for a nonconformity/s, terms of the 240-53114192 Corrective and Preventive Action Procedure [3] shall take the reported and agreed actions to effectively address the implementation and closure. This includes advising the Management Representative of the actions taken to enable closure.

3.3.1 Data and Trend Analysis

The Management Representative shall –

- conduct reviews or statistical analysis of data generated out of the management of this Procedure, to identify trends or precursors to deficiencies and shall generate the required nonconformities to address such issues,
- report the status of occurrences and incidents and statistical information generated from this Procedure to Top Management at least per annum including at the Management Review meetings, and
- subject to any reviews or recommendations, continually monitor the performance and effectiveness of this Procedure, to implement improvement.

The Management Representative may issue Occurrence and Incident program information to Eskom Holdings Ltd entities on request, which includes the nature of the need and extent of information required.

4. RECORDS

The following records are generated through implementation of this procedure and are controlled in accordance with 240-53114186 Document and Record Management Procedure [1].

Table 1: Records

	Description
1	Occurrence and Incident Notification form

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	Description
2	Occurrence and Incident Register
3	Occurrence and Incident Investigation Report
4	Data and Trend Analysis reports
5	Investigator Appointment Form

5. AUTHORIZATION

This document has been seen and accepted by:

Name	Designation
D Odendaal	General Manager: Plant Engineering
P Moyo	General Manager: Power Delivery (Acting)
F Sithole	General Manager: Engineering Project Management (Acting)
R Stephen	General Manager: Power Delivery Engineering (Acting) Master Specialist
DD Bhimma	Senior Manager: Account Executive: Coal Senior Manager: Fleet Technology Manager (Acting)
L Fernandez	Senior Manager: Systems Integration B2B Engineering Processes / Systems Lead

6. REVISIONS

Date	Rev.	Compiler	Remarks
September 2012	0	AD Martin	Superseded 474-62 plus B2B QA comments
November 2012	1	AD Martin	Final Authorised Document

7. DEVELOPMENT TEAM

The following people were involved in the development of this document:

- L Kloppenborg
- AD Martin
- A Jansen

8. ACKNOWLEDGEMENTS

To all who made comments in the development of this document

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APPENDIX A: OCCURRENCE AND INCIDENT MANAGEMENT

A.1 OCCURRENCE AND INCIDENT PROCESS

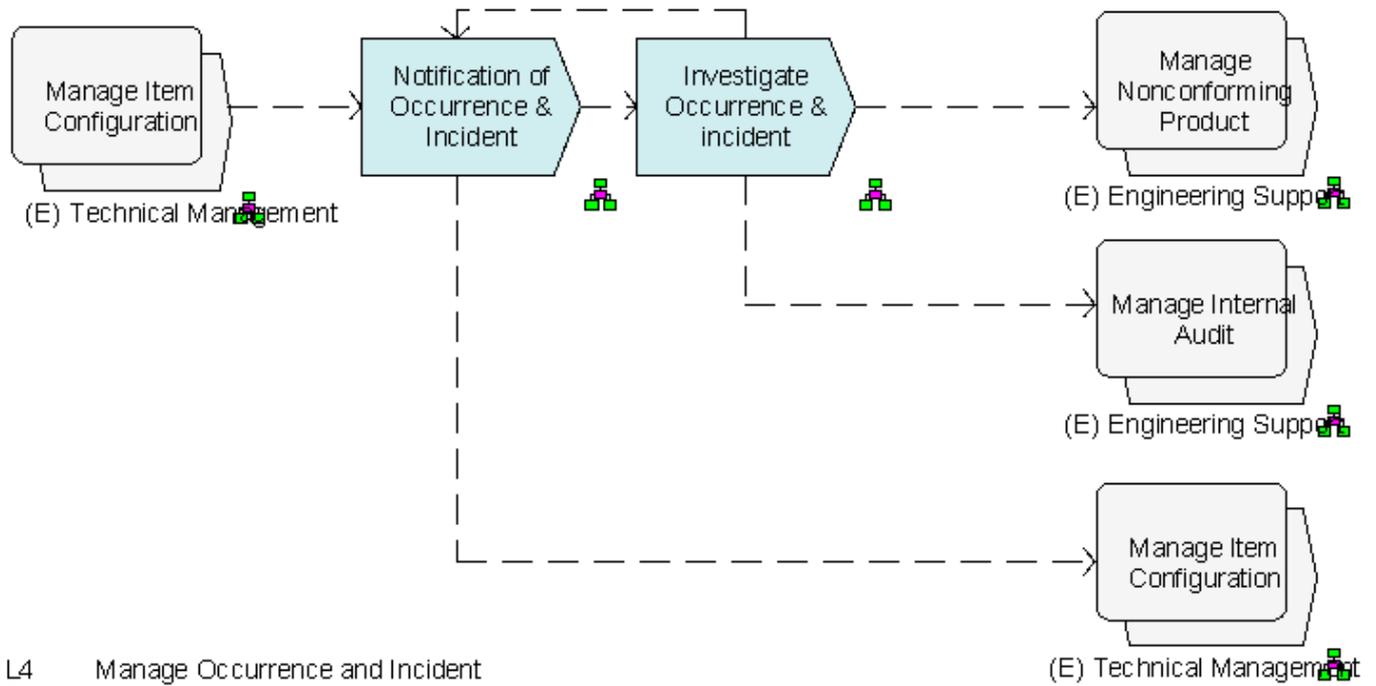


Figure 1: Occurrence and Incident Management

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APPENDIX B: OCCURRENCE AND INCIDENT REGISTER

(INFORMATIVE)

B.1 RECOMMENDED TABLE FIELDS -

- i. Occurrence Unique number
- ii. Title of Occurrence/Incident
- iii. Description of Occurrence /Incident
- iv. Name of Injured person
- v. Description of Plant/Equipment/Material damaged
- vi. Discipline / Project Name (organisational domain)
- vii. Name of Originator/Reporter
- viii. Classification of Occurrence/Incident (i.e. 1, 2, 3 or 4)
- ix. Responsible Line/Discipline/Project Manager
- x. Lead Investigator
- xi. Investigation Report reference number
- xii. Report Completion date
- xiii. Identified Root cause
- xiv. Cause code Classification (Barrier code)
- xv. Identified Nonconformities/Preventive Actions/ Opportunities for Improvement

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