Supplier Incident Reporting and Investigation Requirements

Paul Uttley, H&S Lead Partner   **July 2020**   **Supplier Incident Reporting, and Investigation Requirements**

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1. Introduction

One of Spark's key Health and Safety requirements is to ensure that all incidents (including potential incidents) are reported and correctly investigated in a timely manner. This also applies to our suppliers for certain incidents that need reporting and investigating, where required.

Therefore, reporting workplace incidents is essential for Spark to continually improve in health and safety and provide a healthier and safer working environment for its employees, supply chain and others who visit or work at their premises.

2. Objective

To ensure that our suppliers are offered clear and concise instruction and guidance on what and how to report, investigate and learn from incidents that have occurred within or part of a Spark workplace or undertaking; ensure that a non-blame environment and trusting partnership is fostered with its supply chain.

Furthermore, ensure that certain Supplier workplace incidents are reported to Spark in a specified timeline, using the available incident reporting systems and tools in place and where any key incidents that have been investigated, can be used as a learning process for preventing similar and future occurrences.

3. What and When to Report

The following incidents **must be reported immediately** to a Spark representative and then included into Spark's reporting tool Risk Manager by a nominated Supplier person.

- Serious near miss event (potential incident).
- Lost time Injury.
- Notifiable Events under current NZ H&S Legislation.
- Uncontrolled hazards of a serious nature.

4. Spark Incident Definitions

4.1. Serious Near Miss Event (potential incident)

This is where an unplanned / uncontrolled event occurred which could have led to harm i.e. death, illness, or serious injury, but did not on this occasion. These types of incidents **must be reported immediately** and investigated / actioned upon Spark's request. *NB*: This type of incident could also be classed as a notifiable event under current H&S legislation (see below).

4.2. Lost Time Injury

Lost Time Injury (LTI) means an injured worker is absent from work for one complete day or shift following the day of the incident. This includes where the injured person was away from work because of a work-related injury or illness. This could also be a notifiable incident under current H&S legislation (see below).

4.3. Notifiable Events

Spark and its suppliers have legal obligations for reporting and managing certain types of workplace events. In the first instance, Spark and WorkSafe NZ must be informed of all events determined to be 'notifiable' as per its reporting requirements. So, if you become aware that a notifiable event has occurred, make sure that WorkSafe is notified of the same event. **Please note, always contact the Spark H&S team first in any such instance.**

Spark will keep records of each notifiable event for at least five years from the date on which the notice of the event is given to WorkSafe under section 56 of the Act.

Under the HASAW Act 2015, a notifiable event means any of the following events that arise from work:
    (a)   the death of a person; or
    (b)   a notifiable injury or illness; or
    (c)   a notifiable incident.

The person giving notice by telephone must give details of the incident if requested by WorkSafe; and if required, give a written notice of the incident within 48 hours of being informed of the requirements. Please follow this link for all notifiable events https://worksafe.govt.nz/ - (notify WorkSafe).

4.3.1. Notifiable Injury or Illness

In relation to a person, means:

Any of the following injuries or illnesses that require the person to have immediate treatment (other than first aid):

- the amputation of any part of his or her body.
- a serious head injury.
- a serious eye injury.
- a serious burn.
- the separation of his or her skin from an underlying tissue (such as degloving or scalping).
- a spinal injury.
- the loss of a bodily function.
- serious lacerations.
- an injury or illness that requires, or would usually require, the person to be admitted to a hospital for immediate treatment.
- an injury or illness that requires, or would usually require, the person to have medical treatment within 48 hours of exposure to a substance.

Any serious infection (including occupational zoonoses) to which the carrying out of work is a significant contributing factor, including any infection is that attributable to carrying out work-

- with micro-organisms; or
- that involves providing treatment or care to a person; or
  that involves contact with human blood or bodily substances; or
- that involves handling or contact with animals, animal hides, animal skins, animal wool or hair, animal carcasses, or animal waste products; or
- that involves handling or contact with fish or marine mammals;

4.3.2. Notifiable Incident

A notifiable incident means an unplanned or uncontrolled incident in relation to a workplace that exposes a worker or any other person to a serious risk to that person's health and safety arising from an immediate or imminent exposure to:

- an escape, spillage, or a leakage of a substance; or
- an implosion, explosion, or fire; or
- an escape of gas or steam; or
- an electric shock; or
- the fall or release from a height or any plant, substance, or thing; or
- the collapse, overturning, failure, or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with regulations; or

- the collapse or partial collapse of a structure; or
- the collapse or failure of an excavation or any shoring supporting an excavation; or
- the inrush of water, mud, or gas in workings in an underground excavation, or tunnel; or
- the interruption of the main system of ventilation in an underground excavation or tunnel; or
- a collision between 2 vessels, a vessel capsizes, or the inrush of water into a vessel: or
- any other incident declared by regulations to be a notifiable incident for the purposes of this section.

4.3.3. Preserving a Site

Where Spark manages or controls a workplace at which a notifiable event has occurred, it must take all reasonable steps to ensure that the site where the event occurred is not disturbed until authorised by an inspector, however, this does not prevent any person from carrying out the following actions:

- to assist an injured person; or
- to remove a deceased person; or
- that is essential to make the site safe or to minimise the risk of a further notifiable event; or
- that is done by, or under the direction of, a constable acting in execution of his or her duties; or
- for which an inspector or the regulator has given permission.

4.4. Uncontrolled Hazard

An identified serious hazard, that if left uncontrolled could lead to a serious source of harm or ill effect (actual or potential) on a person or persons. In this instance the hazard must where possible, be rectified or made safe; and reported to the respective Spark person immediately and then reported into Spark's RM (Risk Manager).

5. What Not to Report

The following incidents do not need to be reported into RM, instead this will be left with suppliers to report into their own reporting systems along with the Spark definitions above.

5.1. Medical Treatment Injuries (MTI)

Means any work injury that requires treatment by or directed by the specific order of a medical professional and results in less than a full shift being lost.

5.2. Minor Harm Incident (First Aid)

A Minor Harm Incident (MHI) means any one-time first aid treatment and subsequent observation of minor scratches, cuts, burns, splinters which do not ordinarily require medical treatment.

6. How to Report

Where stated above, all incidents must be reported immediately to Spark. Selected suppliers (e.g. those undertaking high risk work activities) have already been given access to Spark's information management system Risk Manager (RM). These suppliers must report the incidents listed above directly into RM. Suppliers who do not have access to Risk Manager must notify the respective

Spark person, so that they can enter the supplier's incident information into RM for them. If you do experience any issues with reporting into RM, then please contact IMPAC direct on 0800 246 722 and/or report to Spark's Health and Safety Inbox (healthandsafety@spark.co.nz).

7. Incident Investigation

It is a Spark requirement that all supplier incidents as detailed above are reviewed by the responsible Spark People Leader and corrective and/or preventive action is introduced and monitored, as necessary.

If the incident falls into one of the above categories, then a detailed incident investigation may be requested by Spark and commenced by the supplier with assistance from the respective Spark People Leader, using a standard ICAM investigation model / template, or similar.

8. Learning from Supplier Reported Incidents

Spark has developed and implemented appropriate methods for communicating and completing corrective and preventative actions and controls through a process of issuing 'lessons learnt' posters (one pager) when learning from incidents. This process will always be undertaken in consultation with the respective supplier and the outcomes and learnings shared with all relevant stakeholders.

9. Appendices

Appendix 1 – Reporting an incident in Spark's RM.

Please use the following step by step guide when reporting a Supplier related incident into RM. (*see on next page*)

How to add an Incident & Hazards onto Risk Manager

Spark^{nz}

Step 1. On the Risk Manager Homepage hover your mouse over Incidents click on Add New Incident .
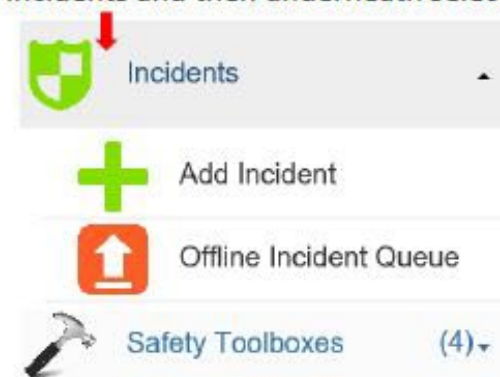

OR

For Mobile App click 'Mobile' in the top right corner

Select Incidents and then underneath select 'Add Incident'

Note: **If the correct people leaders name does not default in when you enter the 'person involved' name, try and clear the field and type in the correct person responsible name. If risk manager will not allow you to do this, notify the H&S inbox (who will enter the correct person responsible for you).**

Sparknz

Stop Impersonating

+IMPAC RISK MANAGER
Delivering foresight to protect people from harm

| 🏠 | Actions | Hazards | Incidents | Safety Plan | Safety Toolbox | | Help ? |

Impersonating Downer Contractor, Access: Data Entry | Mobile | Logout

Add/Edit Incident

Please enter the details of your Incident below. Note: Fields with a * are mandatory. ℹ️
🔗 For incidents of a sensitive nature please follow this link for assistance.

General Details

Business Area* ℹ️

Spark Agile Business Areas: Technology: Supplier ▶️

← We have set this generic 'business area' up to auto populate for you.

Site* ℹ️

🔽

← Start typing the name of the Spark site you were travelling to, from, or were working in that the incident relates to.
Select the site from the list displayed.

Location ℹ️

← Provide any additional location information (if required) here.

Reported By* ℹ️

Downer Contractor 🔍

← Start typing your organisations name here. Select your org name from the list displayed.

Person Involved* ℹ️

🔍

← Repeat as for the 'Reported by' panel above.

Reported Date* ℹ️

14 Sep 20 📅 (d Mmm yy)

← Should be automatically inserted but if not, the day you reported this.

Incident Details ⓘ 🔗 When reporting please avoid entering personal information e.g names, contact details in this section.

Type* ⓘ

◉ Incident   ○ Near Miss   ○ Uncontrolled Hazard   ○ Pain and Discomfort   ← **Follow the directions in section 4 of the text above for guidance on what should be reported.**

Incident Categories* ⓘ

Select Value	▼

← **Identify and tick the category the incident falls under**

Date of Incident* ⓘ

14 Sep 20	📅	(d Mmm yy)

← **Date the incident occurred**

Time of Incident ⓘ

	(hh:mm)

← **Time the incident occurred**

Witnesses/Other ⓘ

← **Use this panel to record the name(s) of your worker(s) associated with the incident.**

Title of Incident* ⓘ

← **The title should be a brief explanation of what occurred**

Describe what happened* ⓘ

← **In detail explain what has occurred/is occurring.**

Describe Immediate Actions Taken ⓘ

Explain what immediate actions you have taken after this incident has occurred.

Suppliers ⓘ

If the incident relates to one of *your* suppliers (subbies), begin typing their organisation name in the panel. Select their org name from the list that displays. If they do not appear in the list then just ensure they are identified in either the 'witnesses' or 'describe what happened' panels above.

Consequence Assessment ⓘ

Personal Safety* ⓘ

No Consequence

Leave the personal assessment selection at its default 'no consequence' setting. If your worker(s) or subcontractor workers were injured, please record the nature and severity of their injury(s) in the 'describe what happened' panels above.

Updates

Created By ⓘ

Last Updated

Click 'Add'

Add   Cancel