

Principles for providing notice, registration and investigation of hazardous situations and near misses

Category	Resolution of Management Board
Scope	Eesti Energia AS Group
Effective date	As of approval
Related documents	
Forms and information system solutions	File for providing notice of incidents Online solution for providing notice of incidents
Owner	Risk Management Department
Invalidated documents	-

1 Objective

- 1.1 The principles shall establish the minimum requirements for providing notice, registration and investigation of hazardous situations and near misses (hereinafter incidents) that have occurred in the field of occupational health and safety in the companies, business units and services of the Eesti Energia AS Group (hereinafter the Group).
- 1.2 The objective of providing notice, registration and investigation of incidents is to make work processes safer, more efficient and environmentally friendly and comprehensively focus on any events and circumstances that may disrupt the processes as well as the causes and consequences thereof by involving the employees of the Group.
- 1.3 The principles shall also apply to the contractors of the Group and companies providing services who are performing work on the sites or territories of the Group.
- 1.4 The principles are based on the legislation applicable in the Republic of Estonia and have been prepared with consideration to the requirements of the OHSAS 18001 management system.
- 1.5 For every incident, an investigation shall be conducted with the primary aim of not identifying the person at fault or the severity of the offence, but instead determining the causes for the incident and implementing preventive measures to avoid any similar future events.
- 1.6 The Risk Management Department of Eesti Energia AS (hereinafter the Risk Management Department) shall be responsible for the relevance of the document and keeping it up-to-date whereas reviewing the principles shall be conducted based on necessity, but not less frequently than once every three years.
- 1.7 Supervision over compliance with the principles shall be exercised by the Risk Management Department.

2 Definitions

- 2.1 **Hazardous situation** – a situation related to work that may result in an injury, morbidity or death of an employee or may damage the environment and/or property (e.g. violation of occupational safety requirements; non-compliance of the workstation to the safety requirements; dangerous devices, work equipment, tools, etc.).
- 2.2 **Near miss** – an event related to work that did not result in, but could have resulted in morbidity, injury or death of an employee (e.g. an employee falls down on a slippery catwalk but does not sustain an injury).
- 2.3 **Morbidity** – an identifiable adverse physical or mental condition that has been caused by and/or has deteriorated due to working and/or a situation related to work.
- 2.4 **Preventive action** – an action aimed at eliminating the root cause for a potential non-conformity or any other potential undesirable situation.
- 2.5 **Corrective action** – an action aimed at eliminating an identified non-conformity or any other potential undesirable situation (corrective actions are taken to avoid repeated occurrence while preventive actions are taken to avoid any occurrence in the first place).
- 2.6 **Accident** – an incident resulting in an injury, morbidity or death.

3 Principles

- 3.1 Notice must be provided of every incident pursuant to the procedure established in the company by using the most suitable method therefor (verbally or in writing to the manager or the working environment specialist; by using the occupational safety file; a web solution; or any other possibilities created in the company).
 - 3.1.1 Verbal notification must be provided immediately in case of a hazardous situation that may result in an accident or emergency. In case of verbal notification, the designated persons must be notified pursuant to the procedure established in the company.
 - 3.1.2 Written notification shall be provided by filling in the “Notice of hazardous situations and near misses” (please refer to the example in Annex 1) and putting it in the respective post. Locations must be designated for post boxes in the company and the frequency of collection must be agreed on whereas collections may not take place less frequently than once a week.
 - 3.1.3 Electronic notification shall take place by means of electronic devices (e.g. smartphones, tablets, etc.) via the respective electronic solution “Notification of hazardous situations” or via e-mail.
- 3.2 The company shall register any and all notifications concerning incidents.
- 3.3 Hazardous situations are classified as follows:
 - 3.3.1 people;
 - 3.3.2 equipment, objects, processes;
 - 3.3.3 means of transport;
 - 3.3.4 surrounding environment.
- 3.4 If the hazardous situation is ongoing, the person providing notification must take preventive action in order to avoid an accident. If the situation does not pose a hazard to people, equipment, objects, processes, means of transport or the surrounding environment, the scene of the event must be preserved as it was at the moment of occurrence of the hazardous situation.

4 Handling of hazardous situations and near misses

- 4.1 In the case of every hazardous situation or near miss that has occurred, the root cause thereof must be determined with the aim of planning and implementing measures in order to avoid such incidents in the future.
- 4.2 If the causes for the hazardous situation or near miss are not clear and unambiguously identifiable, an investigation must be conducted by the investigation committee of the company. The committee shall be formed according to the situation and technical experts, representatives of the company that manufactured a certain device or other persons shall be involved if required. At least two employees of the company must be included in the investigation committee of whom one must be a working environment specialist or a person performing their functions.
- 4.3 The investigation of the incident must be concluded within a reasonable period of time – preferably within 10 working days as of the receipt of the notice.
- 4.4 The investigation results should be recorded in a respective instrument (please refer to the example in Annex 2) that includes the situation preceding the incident, the causes therefor, and the corrective and preventive action to be taken in order to avoid similar events in the future.
- 4.5 All related materials (the notice, drawings, schemes, explanatory statements, instruments, etc.) shall be recorded in a file in the course of the investigation.
- 4.6 If required, the investigation results must be announced to the entirety of the personnel of the company.

5 Corrective activities

- 5.1 In case of the corrective and preventive actions provided in the investigation instrument, the priority of the activities must be determined based on the degree of severity of the incident, the corrective activities must be described, and deadlines and persons responsible must be determined.
- 5.2 The working environment specialist of the company or another person involved in safety shall monitor the deadlines of the activities and the compliance process.

6 Rewards for notification of hazardous situations and near misses

- 6.1 The working environment specialist of the company or another person involved in the field of safety shall collect the notices of incidents with the biggest impact that have been received in every quarter in the company and submit them to the Occupational Safety Council.
- 6.2 The Occupational Safety Council shall analyse the notices, evaluate their content and decide by means of a consensus the rewards for appreciating the persons who have provided notices. The objective of the reward of appreciation is to approve behaviour that supports a safe working environment.
- 6.3 The persons providing notice of hazardous situations and near misses shall receive a reward if their submitted notices are identifiable (the name, surname and position have been provided).

NOTICE OF HAZARDOUS SITUATIONS

Date:

Time:

Location:

Type of hazardous situation:

NEAR MISS

HIGH PROBABILITY CAUSE

VIOLATION OF OCCUPATIONAL SAFETY REQUIREMENTS
CODE

VIOLATION OF

DANGEROUS WORK EQUIPMENT/DEVICES

OTHER

WORKSTATION DOES NOT CONFORM TO SAFETY REQUIREMENTS

Description of hazardous situation:

Measures immediately taken:

Notice provided by:

SAFETY FOREMOST

INSTRUMENT OF INVESTIGATION OF HAZARDOUS SITUATION AND/OR NEAR MISS

Name of event:

Location of preparation of instrument:

Date of preparation:

Panel of committee:

Chair (position, name):

Members (position, name):

THE FOLLOWING WAS INVESTIGATED AND CONCLUDED:

1. Situation preceding the event
2. Description of the event(s)
3. Causes for and consequences of the event(s) and their correlations
4. Conclusions and proposals of the committee

Signatures: (name, signature, date):