



Date: 23-Oct-2023

## **Declaration for Employee Awareness on Emergency Response Procedure**

We hereby declare that our Team is given training every Quarter for Awareness on Emergency Response Procedure.

Our methodology is attached for reference.

### **Authorised Signatory**

**FOR, JUPISOL POWER INDIA PVT. LTD.**

SAPatel      **DIRECTOR**  
DSPatel

**JUPISOL POWER INDIA PRIVATE LIMITED**

REG. OFFICE: G3, WESTERN BUSINESS PARK, OPP SD JAIN SCHOOL, VESU, SURAT - 395007

GSTIN: 24AAFCJ6214M1ZH    EMAIL: spatel@jupisolpower.com    M: +91 9879284007



# **Emergency Response Procedure for Installation and Commissioning of Rooftop Solar Plant**

**Capacity : 850kWp**

**Site Details : Endurance Technologies Limited, E-71, Aurangabad,**

**Maharashtra**

**JUPISOL POWER INDIA PRIVATE LIMITED**

**REG. OFFICE: G3, WESTERN BUSINESS PARK, OPP SD JAIN SCHOOL, VESU, SURAT - 395007**

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### **27.1 Introduction:**

We at **Jupisol Power** believe that our contractors are our greatest assets and their safety is of the utmost importance. In our journey towards attaining zero harm/injuries/accidents, we have implemented best in-class safety systems, standards and procedures. The successful implementation of these standards and procedures require demonstrated management commitment and behaviors at all levels, which are consistent with our Safety Principles, in particular, "Working safely is everybody's responsibility and a condition of employment". Safety is a critical requirement as per contract terms & conditions.

### **27.2 Objective:**

**Hazard Identification and Risk Assessment (HIRA)** establishes the process of corrective counseling and disciplinary actions in response to safety misconduct or violation in alignment with the Safety Acts/Rules applicable to the Company.

In the event that the desired safety behaviors are not demonstrated, then the provisions of the Consequence Management Policy (Safety) shall apply.

### **27.3 Scope:**

This Policy is applicable to all contractors & sub-contractors of **Jupisol Power India Pvt Ltd**

### **27.4 Definitions:**

Any act which is inconsistent with the fulfillment of express or implied requirement of Safety Acts/Rules applicable to the Company.

Any breach of an express or implied duty on the part of the employee.

- Slips are unintended actions
- Lapses are unintended failures to act
- Mistakes are intended, but not what was really meant
- Violations are known failures. Violations can be seen as a form of mistake

### **27.4.2 Intent behind the violation:**

An unplanned or an unusual event, or a series of events and circumstances that resulted in, or had the potential to result in, an adverse or undesirable safety, process safety, health, fire and environmental consequence. Undesirable consequences related to HSE, incidents include, but are not limited to the following:

- Injuries/illnesses

- Significant environmental impact
- Unfavorable impact on the public
- Significant property damage
- Business interruption
- Damage to Reputation

#### **27.5 Dealing with violation(s) – reactively:**

##### **Root cause(s) of incident:**

Root cause(s) of the incidents are graded in three categories. The incident investigation report will indicate the exact root causes for each incidents based upon which the disciplinary actions shall be initiated.

##### **Human Factors:**

Unsafe acts by employee i.e. not following procedure, not using correct (fit for purpose) tools / equipment, not using protective equipment / methods and inattention / lack of awareness and knowledge of safety standards.

##### **Physical Factors:**

Unsafe conditions / situation created by individual or group of personnel, which, if it continues, can lead to an incident such as by pass or overlooked protective systems, use of defective or improper tools, equipment & vehicles, work with energized system, inadequate work place environment etc.

##### **System Factors:**

Management failure such as inadequate communication, inadequate work rules / policies / standards / procedures, inadequate provision of tools & equipment, inadequate work planning, inadequate management / supervision / employee leadership, inadequate training / knowledge transfer etc.

##### **Loss / Potential loss (Severity)**

Severity of loss or immediate potential loss arising from the violation is graded in five levels as indicated in OH&S Risk Assessment Matrix (RAM) below:

### OH&S Risk Assessment Matrix (RAM)

|                                        |                                                                                        |                                                              |                                                    |                                                         |                                                      |                                                            |
|----------------------------------------|----------------------------------------------------------------------------------------|--------------------------------------------------------------|----------------------------------------------------|---------------------------------------------------------|------------------------------------------------------|------------------------------------------------------------|
| <b>Probability</b>                     | <b>Very high</b><br>Almost certain, it will occur >80% in any time frame               | (3)<br>Medium                                                | (4)<br>High                                        | (4)<br>High                                             | (5)<br>Very High                                     | (5)<br>Very High                                           |
|                                        | <b>High</b><br>Expected to occur 10 % to 80 % chance in time frame                     | (2)<br>Low                                                   | (3)<br>Medium                                      | (4)<br>High                                             | (4)<br>High                                          | (5)<br>Very High                                           |
|                                        | <b>Medium</b><br>It could occur less than up to 10 % chance in time frame              | (2)<br>Low                                                   | (2)<br>Low                                         | (3)<br>Medium                                           | (4)<br>High                                          | (5)<br>Very High                                           |
|                                        | <b>Low</b><br>Not expected to occur less than .1 % in time frame                       | (2)<br>Low                                                   | (2)<br>Low                                         | (3)<br>Medium                                           | (3)<br>Medium                                        | (4)<br>High                                                |
|                                        | <b>Very Low</b><br>Almost certain it will occur greater than .01% chance in time frame | (1)<br>Very Low                                              | (2)<br>Low                                         | (2)<br>Low                                              | (3)<br>Medium                                        | (3)<br>Medium                                              |
|                                        |                                                                                        | Very Low<br>1                                                | Low<br>2                                           | Medium<br>3                                             | High<br>4                                            | Very High<br>5                                             |
|                                        | <b>Consequence Severity Increases</b>                                                  |                                                              |                                                    |                                                         |                                                      |                                                            |
| <b>Consequences in various regimes</b> | People (Health and Safety)                                                             | No Health / Injury risk                                      | First aid cases or slight health problem           | Lost time injury or potential health problem            | Partial disability or major health problem           | Total disability / fatality (s) sever healthy problem      |
|                                        | Environmental                                                                          | Negligible effect confined to in plant grounds / environment | Minor effects neighbors adjacent to plant complain | Localize rerelease makes local TV coverage / news paper | Major release make national TV coverage / news paper | Massive damage makes international TV coverage / new paper |
|                                        | Product or Service Quality                                                             | Some product or service fails to meet standards              | Several costumer complain verbally                 | Several customer complain in writing                    | Important / major customer cancelled orders          | Loss of substantial marked share due problem               |
|                                        | Assets or finance loss                                                                 | Slight damage is Up to Rs 10,000                             | Noticeable damage between Rs 10,000 to 1 Lakh      | Large damage 1 Lakh to 10 Lakhs                         | Major damage 10 Lakhs to 100 Lakhs                   | Severe damage more than 1 Crore                            |
|                                        | Reputation (Local, National, or International)                                         | Slight to moderate impact                                    | Loss of community reputation                       | Loss of state reputation                                | Loss of national reparation                          | Loss of international reputation                           |

### 27.6 Dealing with violation(s) – Proactively:

Within Jupisol Power , potential Safety violations are identified proactively through safety inspections, audits, Safety Observation & Conversation (SOC), Safety Walk (SW), Yellow Card (YC), etc. and the reports are generated. Based on the severity and intention of findings, the fact-finding committee shall initiate disciplinary actions.

### 27.7 Guidelines for Implementation:

#### Step 1 – Fact Finding:

The Divisional Head / Unit Head shall appoint a team to establish the facts related to the incident including the circumstances leading to the safety violation(s)

- Minimum of 3 members in a team
- Departmental head shall lead the team
- Site/Plant HSE in-charge shall be involved, if needed

The Functional Head/Unit/Project Head shall establish the facts related to the incident including the circumstances leading to the safety violation.

#### Step 2 – Evaluation:

##### Intent behind the violation:

In determining the appropriate root causes behind the violation, the team shall consider the following factors:

| Level of Intent | Description                                                                                                                                                                                                                     |
|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| I -1            | Unintentional non-compliance<br>Lacks the knowledge of safety standards and the accompanying hazards                                                                                                                            |
| I -2            | Rare / Exceptional violation<br>Has good knowledge of the safety standards and the accompanying hazards but violated due to work exigency, pressure from peers and supervisors                                                  |
| I -3            | Routine violation - Frequent, known and condone<br>Has fair knowledge of safety standards and the accompanying hazards but violated due to routine activity without thought                                                     |
| I -4            | Situational violation - Adapting to the problems in the workplace<br>Have good knowledge of safety standards and the accompanying hazards but violated due to work place constraints (lack of resources, tools, equipment etc.) |
| I -5            | Optimizing violation - Doing things better, for kicks<br>Has good knowledge of safety standards and the accompanying hazards but violated due to over confidence, to save time, avoid discomfort, to gain attention, etc.       |

##### Loss/Potential loss (Severity)

In determining the appropriate level of severity category (i.e. very low, low, medium, high or very high) of the loss and / or potential loss arising from the violation, the team shall consider the following factors:

| Level of severity | Description                                                                                                                                                                                                                            |
|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| S -1              | No Health / Injury risk, Negligible effect confined to in plant grounds / environment, Some product or service fails to meet standards, Slight damage is Up to Rs. 10,000 and Slight to moderate impact on reputation                  |
| S -2              | First aid cases or slight health problem, Minor effects neighbors adjacent to plant complaints, Several customer complaints verbally, Noticeable damage between Rs. 10,000 to 1 Lakh, Loss of community reputation                     |
| S -3              | Lost time injury or potential health problem, Localize rerelease makes local TV coverage / newspaper, Several customer complaints in writing, Large damage Rs. 1 Lakh to 10 Lakhs, Loss of state reputation                            |
| S -4              | Partial disability or major health problem<br>Major release make national TV coverage / newspaper, Important / major customer cancelled orders, Major damage Rs. 10 Lakhs to 100 Lakhs, Loss of national reputation                    |
| S -5              | Total disability / fatality (s) server health problem, Massive damage makes international TV coverage / newspaper, Loss of substantial marked share due problem, Severe damage more than Rs. 1 Crore, Loss of international reputation |

**Step 3 - Recommended disciplinary action - Based on step 1 and 2:**

The team will recommend the appropriate disciplinary action for individual, group or contractor as appropriate as per following table to Divisional Head

|        |       |            |            |            |             |             |
|--------|-------|------------|------------|------------|-------------|-------------|
| Intent | I - 5 | V - 3<br>M | V - 4<br>H | V - 4<br>H | V - 5<br>VH | V - 5<br>VH |
|        | I - 4 | V - 2<br>L | V - 3<br>M | V - 4<br>H | V - 4<br>H  | V - 5<br>VH |

|     |           |          |          |          |           |
|-----|-----------|----------|----------|----------|-----------|
| I-3 | V-2<br>L  | V-2<br>L | V-3<br>M | V-4<br>H | V-5<br>VH |
| I-2 | V-2<br>L  | V-2<br>L | V-3<br>M | V-3<br>M | V-4<br>H  |
| I-1 | V-1<br>VL | V-2<br>L | V-2<br>L | V-3<br>M | V-3<br>M  |
|     | S-1       | S-2      | S-3      | S-4      | S-5       |

**Severity (S)**

| Legend |           | Financial Penalty (Rs) |
|--------|-----------|------------------------|
| VL     | Very Low  | 500/-                  |
| L      | Low       | 1,000/-                |
| M      | Medium    | 2,000/-                |
| H      | High      | 5,000/-                |
| VH     | Very High | 10,000/-               |

| Severity  | Level of disciplinary action |                |                     |                       |             |
|-----------|------------------------------|----------------|---------------------|-----------------------|-------------|
|           | Counseling                   | Warning Letter | Financial Penalties | Suspension for 1 Week | Termination |
| <b>VL</b> | Yes                          |                | Yes                 |                       |             |
| <b>L</b>  | Yes                          |                | Yes                 |                       |             |
| <b>M</b>  |                              | Yes            | Yes                 |                       |             |
| <b>H</b>  |                              | Yes            | Yes                 |                       |             |
| <b>VH</b> |                              | Yes            | Yes                 | Yes                   |             |

**27. 7 Guidelines for Implementation - (Safety Violations):**

| Sl. No | Violations of Safety code of conduct                                                              | Severity  |
|--------|---------------------------------------------------------------------------------------------------|-----------|
| 1      | Working without Permit-to-Work (PTW) for activities that is listed in Appendix 2 of PTW procedure | <b>VH</b> |



|                                                                        |                                                                                                                                                                        |           |
|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 2                                                                      | Non-compliance of the Lock out Tag out (LOTO) procedure                                                                                                                | <b>VH</b> |
| 3                                                                      | Not confirming isolation before beginning of work on all rotating and electrical equipment or any system that may have and use the specified life-protection equipment | <b>VH</b> |
| 4                                                                      | Defeating or overriding safety-critical trips or interlocks without obtaining proper authorization                                                                     | <b>VH</b> |
| 5                                                                      | Smoking in the notified „No Smoking“ areas                                                                                                                             | <b>VH</b> |
| 6                                                                      | Specified fall-prevention equipment not used when working at height                                                                                                    | <b>VH</b> |
| 7                                                                      | Operated any machinery / powered equipment without formal training and registered authorization to operate                                                             | <b>VH</b> |
| 8                                                                      | Not wearing seat belt in a moving vehicle, including rear seat where fitted                                                                                            | <b>VH</b> |
| 9                                                                      | Using mobile phone while driving a motor vehicle or working with mechanized equipment                                                                                  | <b>VH</b> |
| 10                                                                     | Driving or working under the effect of drugs or alcohol                                                                                                                | <b>VH</b> |
| <b>Violation: Non-usage of PPE as per TATA POWER SOLAR PPE mandate</b> |                                                                                                                                                                        |           |
| 11                                                                     | Industrial Safety Helmet                                                                                                                                               | <b>L</b>  |
| 12                                                                     | Rider's Crash Helmet                                                                                                                                                   | <b>L</b>  |
| 13                                                                     | General purpose hand gloves                                                                                                                                            | <b>L</b>  |
| 14                                                                     | Safety Goggles                                                                                                                                                         | <b>L</b>  |
| 15                                                                     | Industrial Safety Shoes / Boots                                                                                                                                        | <b>L</b>  |
| 16                                                                     | Face Shield (Welding / Cutting)                                                                                                                                        | <b>M</b>  |
| 17                                                                     | Chemical handling suit                                                                                                                                                 | <b>H</b>  |
| 18                                                                     | Arc suit                                                                                                                                                               | <b>H</b>  |
| 19                                                                     | Full body harness & Safety lifeline at sheet roof                                                                                                                      |           |
| <b>Violation: Unsafe Condition</b>                                     |                                                                                                                                                                        |           |
| 20                                                                     | Vehicle not meeting Tata Power Solar Vehicle standard as stipulated in vehicle inspection check list                                                                   | <b>M</b>  |
| 21                                                                     | Mobile lifting equipment i.e. Crane, hydra etc. not meeting Tata Power Solar lifting equipment standard as stipulated in inspection check list                         | <b>M</b>  |
| 22                                                                     | Confined Space not meeting Tata Power Solar confined space standard as stipulated in confined inspection check list                                                    | <b>M</b>  |
| 23                                                                     | Excavation not meeting Tata Power Solar excavation standard as stipulated in excavation inspection check list                                                          | <b>M</b>  |

|                               |                                                                                                                                                                                          |          |
|-------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| 24                            | Gas cylinders not meeting Tata Power Solar gas cylinders standard as stipulated in gas cylinder inspection check list                                                                    | <b>M</b> |
| 25                            | Hand tools not meeting Tata Power Solar hand tools standard as stipulated in hand tools inspection check list                                                                            | <b>M</b> |
| 26                            | Housekeeping not meeting Tata Power Solar housekeeping standard as stipulated in housekeeping inspection check list                                                                      | <b>M</b> |
| 27                            | Machines not meeting Tata Power Solar machine safety standard as stipulated in machine safety inspection check list                                                                      | <b>M</b> |
| 28                            | Power operated hand tools not meeting Tata Power Solar power operated hand tools standard as stipulated in power operated hand tools inspection check list                               | <b>M</b> |
| 29                            | Personal protection Equipment (PPE) not meeting Tata Power Solar personal protection Equipment (PPE) standard as stipulated in personal protection Equipment (PPE) inspection check list | <b>M</b> |
| 30                            | Scaffolding not meeting Tata Power Solar scaffolding standard as stipulated in scaffolding inspection check list                                                                         | <b>M</b> |
| 31                            | Temporary Electrical Supply not meeting Tata Power Solar temporary electrical supply standard as stipulated in temporary electrical supply inspection check list                         | <b>M</b> |
| 32                            | Welding machine not meeting Tata Power Solar welding machine standard as stipulated in welding machine supply inspection check list                                                      | <b>M</b> |
| 33                            | Winch not meeting Tata Power Solar winch standard as stipulated in winch inspection check list                                                                                           | <b>M</b> |
| 34                            | Housekeeping not meeting Tata Power Solar housekeeping standard as stipulated in housekeeping inspection check list                                                                      | <b>M</b> |
| 35                            | Portable ladder / platform not meeting Tata Power Solar portable ladder / platform standard as stipulated in portable ladder / platform inspection check list                            | <b>M</b> |
| <b>Violation: Unsafe Acts</b> |                                                                                                                                                                                          |          |
| 36                            | Sleeping at Work Place                                                                                                                                                                   | <b>L</b> |
| <b>Violation: Traffic</b>     |                                                                                                                                                                                          |          |
| 37                            | Driving beyond speed limit                                                                                                                                                               | <b>M</b> |
| 38                            | Driving without license                                                                                                                                                                  | <b>H</b> |
| 39                            | Over taking above speed limit / at no overtaking area                                                                                                                                    | <b>H</b> |
| 40                            | Wrong Parking / Wrong Side Driving                                                                                                                                                       | <b>L</b> |

**27.8 General Guidelines:**

- All the records of disciplinary actions shall be maintained in vendor file at HSE and HR & Admin Department.
- Financial penalties shall be charged to main contractors.
- For repeated violations, the next level of disciplinary actions shall be initiated.
- HR & Admin, Maintenance Department and Other respective departments shall provide a monthly report of disciplinary actions taken to HSE Department.
- It is incumbent upon every employee including contractor to report safety incidents in which they are involved or which come to their notice. Withholding, non-reporting or manipulation of safety incidents and related information / data is an offence which will be viewed seriously and strict disciplinary action will be taken for such an offence including termination of service / contract.
- All unsafe conditions identified through safety inspections are classified as "M" because it can be addressed proactively before an incident.
- The company reserves the right to take the circumstances of the rule breaking / violation into account to determine the disciplinary actions to be taken.

## **28. Tools, Tackles & Lifting Equipment's Inspection**

### **28.1 Pre deployment Inspection:**

- All lifting tools, tackles & lifting equipment should have certificate from competent person.
- All lifting tools & tackles should be inspected by Tata Power solar HSE representative at site.
- The observation shall be documented and ensures defective materials are not being issued.
- Inspection team records their findings in suitable checklists.

### **28.2 Periodic Inspection:**

- The contractor shall maintain a database for all tools and tackles.
- From the compiled list HSE representative will prepare a schedule and arrange periodic inspection through Site engineer.
- The inspection team submits the observation and recommends corrective action.
- Defective tools and tackles are removed from service and the same gets updated in the stores document.
- HSEO shall prepare the report and shall escalate the matter in case of any non-compliance.

### **28.3 Inspection of Tools, tackles & Lifting equipment's by Competent Person:**

- Contractor shall Organize Inspection of all tools, tackles & Lifting equipment's by competent person with frequency at least once in a year or as per the legal requirement.
- Contractor shall Intimate HSE and Site Engineer to witness Inspection of tools and tackles by the competent person.

## 30. Incident Investigation and Reporting Protocol

### 30.1 INCIDENT CLASSIFICATIONS & DEFINITIONS

| Type of Incident                                                                           | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Unsafe Act                                                                                 | Performance of a task or other activity that is conducted in a manner that may threaten the health and/or safety of workers. For example: Lack of or improper use of PPE. Failure to lockout tag out/. Operating equipment at unsafe speed etc..                                                                                                                                                                                                                                                                                                                                                       |
| Unsafe Condition                                                                           | A condition in the work place that is likely to cause property damage or injury. For example: Defective tools, equipment, or supplies, Inadequate supports or guards, Inadequate warning systems, Poor housekeeping, etc..                                                                                                                                                                                                                                                                                                                                                                             |
| Near Miss                                                                                  | Is an undesired event that, under slightly different circumstances, could have resulted in harm to people, damage to environment or property, or loss to process                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| First aid cases                                                                            | A work-related injury or illness that undergone a onetime treatment by either medical professional or by any trained first aider and the injured person able to continue his work on that shift when incident occurred or the next day shift, without any working day lost.                                                                                                                                                                                                                                                                                                                            |
| Medical Aid cases                                                                          | A work –related injury or illness, during which victim was referred to the external hospital for detailed investigation by the doctor or other licensed health care professional and after treatment is advised to resume his / her normal duties. Then it will be considered as a MEDICALLY TREATED injury and not a FIRST AID case and not a LOST TIME injury                                                                                                                                                                                                                                        |
| Restricted work case Incidents                                                             | A work – related injury or illness, during which victim was given a first aid or medical aid treatment and returned back to office, but unable to do his/her routine job and restricted to some limited job is defined as Restricted work case incident                                                                                                                                                                                                                                                                                                                                                |
| Lost time Incident (LTI)/ Recordable Lost time incident (As per IS 3786 & Indian Factories | A work related injury or illness that causes the injured person to be away from work for at least one normal shift after that on which the injury occurred, because he/ she is unfit to perform any duties. (Eg.) if Mr. X while working in A shift on 25.12.11 met with an accident at 10.30 AM, He might have treated by the company doctor or referred to external hospital, if he does not join his duty in the next scheduled shift on 26.12.11 (by end of shift) this is to be treated as a LOST TIME injury. Please note if the next day was a non-working day and Mr. X, in the opinion of the |

|                                     |                                                                                                                                                                                                                                                                                                                                                                                                          |
|-------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| act)                                | medical professional would not have been able to undertake his normal duties then even in this case, it is to be considered as a LOST TIME injury. If the victim is not able to report to his duty within 48 hours or more is referred as recordable lost time injury. It needs intimation to the Inspectorate of factories in Form 17.                                                                  |
| Occupational Illness                | An Occupational Illness is any abnormal condition or disorder, other than one resulting from an occupational injury, caused by exposure to environmental factors associated with employment. It includes acute and chronic illnesses or diseases that may be caused by inhalation, absorption, ingestion or direct contact. e.g. work related upper limb disorders and stress                            |
| Environmental Incident              | An unplanned event in which air, water, or ground was impacted. This would include such events as leaks or spills of more than one gallon or pound of hazardous material outside of secondary containment and un-permitted discharges. It would also include events in which wastes were improperly disposed or any other unplanned environmental event requiring notification of regulatory authorities |
| Third party Transportation Incident | An unplanned incident involving road or third party travel such as rental cars, company leased vehicles, or movement of our goods to work sites or customers.                                                                                                                                                                                                                                            |
| Product stewardship Incident        | Any incident causing HSE concerns to the end users (Customers) because of our products is categorized as Product stewardship incident needs to be reported to HSE for detailed RCA, By the receiver of this type of complaint, normally customer support team.                                                                                                                                           |
| Security Incident                   | Incident related to offence to person (assault, wounding, verbal abuse etc..) or properties (theft, vehicle tampering, Property damage etc..)                                                                                                                                                                                                                                                            |

### **30.2 HSE INCIDENTS REPORTING PROTOCOL**

**Why do we need to report and investigate accidents, occupational illnesses, near misses, and unsafe acts?** To establish the immediate and basic causes and to identify actions necessary to prevent a similar occurrence & to comply with statutory & HSE policy.

**How do we report an incident?** The injured person or witness should report an incident straight away, from the location where it occurred. All Near miss, First Aid, Recordable incidents should be reported to your line manager & HSE, who will record it and look for the root cause through investigation and to prevent such incidents in future as a proactive manner.

**Note: If a particular person is not contactable it may be necessary to by-pass the hierarchy.**

| Type of Incident             | Who informs Whom , How & When                   |                    |                |                    | Comments                                                                                                                                                                                             |
|------------------------------|-------------------------------------------------|--------------------|----------------|--------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                              | Responsibility                                  | Inform             | When           | How                |                                                                                                                                                                                                      |
| Unsafe Act/ Condition        | Individual                                      | HOF, HSE           | Within 24 hrs. | Safety observation | Employees are encouraged to proactively report such cases through SAP-EHS application                                                                                                                |
| Near Miss                    | Individual                                      | HOF, Head HSE →LT  | Within 12 hrs. | Verbal/SMS /e-mail | High potential (HiPo) Near miss Incidents needs root cause analysis by HSE & Concerned team for corrective and preventive actions The report also needs circulation with HOF, LT and other concerned |
| First Aid/Medical Aid Cases  | Victim or witnessing individual                 | HOF, Head HSE→LT   | Within 4hrs    | Verbal/SMS /e-mail | Requires Root Cause Analysis by HSE & Concerned team and the report should be circulated to HOF, LT & Other concerned                                                                                |
| Lost time / Reportable cases | Individual→ HSE → LT                            | HOF→ Head          | Immediate      | Verbal/SMS /e-mail | FIR should be circulated to HOF/LT within 24 Hrs. & Needs Root Cause Analysis and the report to be circulated to HOF, LT & to be reported to Tata                                                    |
| Fatal Cases                  |                                                 | HOF→ Head HSE → LT | Immediate      | Verbal/SMS /e-mail | FIR should be circulated to HOF/LT and TATA group and the concerned statutory peoples within 24 hours. Needs Root cause analysis to be done and the report should be shared to LT & Tata Group.      |
| Dangerous Occurrences        | Individual→ Fire station Security→ Fire Station |                    | Immediate      | Verbal/SMS /e-mail | Immediate FIR should be circulated to HOF/LT and TATA group and the                                                                                                                                  |

|                                                                                    |                           |  |  |                                                                                                                                                                                                   |
|------------------------------------------------------------------------------------|---------------------------|--|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| such as., Fire, Explosives, Building collapse, etc., ( As per the factories rules) | IND or HOF→ Head HSE → LT |  |  | concerned statutory peoples within 24 hours. Needs Root cause analysis to be done and the report should be shared to LT & Tata Group. Also notification to statutory bodies to be done in 24 Hrs. |
|------------------------------------------------------------------------------------|---------------------------|--|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

### **30.3 HSE INCIDENTS INVESTIGATIONS**

**When do we need to investigate an incident?** Following an incident an investigation should be carried out for all serious or major incidents (injury or damage) and any minor incident or near-miss with a high potential of being a major one. This includes all fatalities, lost time cases, medical treatment cases and first aid injuries or illnesses. Less serious incidents should be investigated with a degree of rigor appropriate to the potential for loss or injury.

**What is the purpose of the investigation?** It is very unusual for an incident to have one single cause. Normally incidents result from a chain or combination of actions or errors, some going quite far back in time. This is why it is essential to have a systematic and thorough investigation, following a consistent methodology, so that the chain of causes can be tracked right back to its origins.

**Who investigates?** For Near miss, first aid, Medical aid HSE & Head of the department will decide the team members for doing the Root cause analysis. Specialist advice from outside the company may be required depending on the incident.

**How do we investigate?**

- 1) Establish investigation team or individual
- 2) Gather evidence and information from the scene and from the injured person and any witnesses
- 3) Establish a chain of related and unrelated events
- 4) Identify the critical factors. i.e. these are actions or events that had they not have happened the incident would not have occurred
- 5) Establish root causes (Immediate causes & Systemic causes)
- 6) Identify actions to avoid repeat and lessons for sharing

**All the Investigations should propose the recommendations to prevent such incidents by identifying the immediate cause and the systemic causes. Respective Head of the department is responsible for taking the actions to close the recommendations given in the Investigation.**