

## **Appendix N: Environmental Forms**

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- Incident Reporting and Investigation (MMA-PLN-RMA-FRM-1763)
- Non Conformance and Opportunity for Improvement Form (MMA-PLN-RMA-FRM-1750)

# Incident Reporting & Investigation

December 2017

MMA-PLA-RMA-FRM-1763



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# 1 Purpose

To ensure that all accidents and incidents are accurately reported and recorded, and properly investigated so that corrective action can be taken to prevent their reoccurrence.

## 2 Scope

This Management Procedure addresses the requirements associated with the initial response, classification, reporting and investigation of incidents within Downer New Zealand. This applies to all Downer New Zealand personnel and visitors.

### 3 Definitions

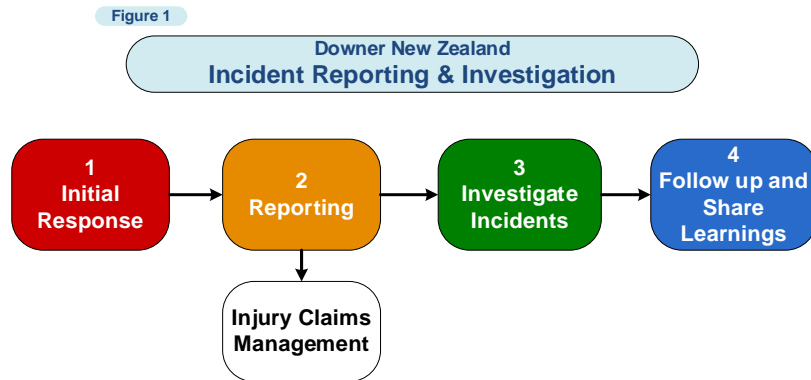
<b>INX InControl</b>	<p>The Zero Harm database used to record, investigate and follow-up Events. Currently only Zero Harm staff have access to this database.</p> <p>Entry of a new record automatically generates the INX reference number.</p>
<b>Hi-Po</b>	<p>High-Potential incident; there was a reasonable potential for a serious consequence (severity rating of “4” or higher as shown in Annex 2 of this procedure).</p>
<b>Incident/ Injury Definitions</b>	<p><i>Refer <a href="#">DG-ZH-MF007.1 Incident Reporting Classification and Management</a> , <b>Classification and Management</b></i></p>
<b>Notifiable Event</b>	<p>For Health and Safety incidents, this is defined in the Health and Safety at Work Act 2015 as:</p> <ul style="list-style-type: none"><li>a) The death of a person</li><li>b) A notifiable injury or illness, or</li><li>c) A notifiable incident</li></ul> <p><a href="#">Electricity Act</a> and <a href="#">Gas Act</a> also require Notification of incidents to WorkSafe NZ which result in a “Notifiable injury or illness” or significant property damage.</p> <p><i>Refer to Annex 3 for definitions of “notifiable injury or illness”, “notifiable incident”, and definitions from Electricity Act and Gas Act.</i></p> <p>For Environmental incidents, this is defined as any unauthorised discharge to the environment which may lead to damage to the receiving environment, or community complaint (<i>ie actual consequence level “2”;</i> refer to Annex 2).</p>
<b>Personnel</b>	<p>A collective term used to describe Downer New Zealand Management, Employees, Contractors and Casual labour</p>
<b>Responsible Manager</b>	<p>The relevant Downer New Zealand Manager assigned with the authority, responsibility and control of a specific workplace area or function.</p>
<b>Zero Harm Alert</b>	<p>A notice requiring immediate communication and action due to the occurrence of a serious injury or risk. These should be discussed as soon as practicable (using <a href="#">DN-QA-FM005.4 Alert</a>).</p>
<b>Zero Harm Bulletin</b>	<p>A notice for communication of general risks or issues that should be communicated at the next available toolbox meeting (using <a href="#">DN-QA-FM005.5 Bulletin</a>).</p>

**Zero Harm Initiative**

A notice for a proactive/innovative risk control, process, equipment and/or operation identified that may have benefits in other areas of the business and are disseminated accordingly (using [DN-QA-FM005.6 Initiative](#)).

# 4 Requirements and responsibility

The Downer New Zealand *Incident Reporting & Investigation* procedure comprises 4 key stages (Figure and table below), each with a number of steps.



Stages	Steps	Actions	Responsibility
1 Initial Response	Respond Immediately to Prevent Further Harm	<p>Establish the nature of the Incident e.g., injury, property damage, environmental etc.</p> <p><b>Take immediate steps</b> to stabilize or quarantine the area and ensure site emergency response personnel are notified i.e. First Aid Officers, Area Wardens etc.</p> <p>Take all appropriate steps (considering risks to health and safety of responders) to respond to immediate situation and prevent further harm or damage, including:</p> <ul style="list-style-type: none"> <li>▪ Provide first-aid to injured personnel;</li> <li>▪ Extinguish fires;</li> <li>▪ Contain and clean-up spills;</li> <li>▪ Evacuate immediate area; and</li> <li>▪ Call Emergency Services</li> </ul> <div style="border: 1px solid black; border-radius: 10px; padding: 5px; margin-top: 10px;"> <p>Also refer <i>Annex 1 Incident Reporting &amp; Investigation Flowchart</i></p> </div>	All Personnel
	Preserve the Scene and report incident	<p>Ensure incident scene is preserved where possible and critical information obtained, for example:</p> <ul style="list-style-type: none"> <li>▪ Full names of injured persons;</li> <li>▪ Exact time and location of incident;</li> <li>▪ Photos of incident scene;</li> <li>▪ Sequence of events leading to incident;</li> <li>▪ Statements from persons involved;</li> <li>▪ Details of plant/ equipment involved, including</li> </ul>	Supervisor



Stages	Steps	Actions	Responsibility
		<p>registration numbers for third party vehicles.</p> <p>For actual or potential <b>Notifiable Events</b>, advise the relevant Responsible Manager by phone as soon as practicable.</p>	
	Initial management actions	<p>For actual or potential <b>Notifiable Events</b>, ensure scene is preserved until all authorities give authority to re-enter.</p> <p>Consider need to call next of kin and/or appoint somebody to deal with media on site.</p> <p><i>NOTE: Drug and alcohol testing may be required where operator error is a potential contributory factor. Refer to <a href="#">DN-ZH-PR083 Drug and Alcohol Procedure</a>.</i></p>	Responsible Manager
2 Reporting	Report incident	As soon as practicable, report the incident to the Responsible Manager by phone and/or using an Event Report.	All Personnel
	Classify Incident / Identify Reporting Requirements	<p>Classify the Incident (incident type, actual consequence and potential consequence):</p> <div style="border: 1px solid black; border-radius: 15px; padding: 10px; margin: 10px 0;"> <p>Refer <i>Annex 2</i> for the Classification of Workplace Incidents within Downer New Zealand.</p> <p>For detailed Injury classifications and definitions. refer to <a href="#">DG-ZH-MF007.1 Incident</a></p> </div>	Responsible Manager
	Internal Verbal Notifications	Provide Person to Person Verbal notifications (not leaving messages) within 30 minutes and in accordance with the <b><i>Annex 1: Incident Reporting &amp; Investigation Flowchart</i></b> .	Responsible Manager
	Escalate Serious Incidents ( <i>Immediate Internal Notifications</i> )	<p>For <b><i>Category 4, 5 and 6 Actual &amp; Potential Incidents (or lower if the incident may meet definition of "Notifiable Event")</i></b>, a <a href="#">DN-ZH-FM001.1 Immediate Internal Notification Form</a> shall be completed and emailed as soon as practicable (within one working day of the Incident) to:</p> <ul style="list-style-type: none"> <li>▪ CEO Downer NZ,</li> <li>▪ Relevant Operational EGM, and</li> <li>▪ EGM Zero Harm</li> </ul>	Responsible General Manager
		<p>The CEO Downer NZ must convene a telephone conference with their operational Executive team, the line manager of the business that the incident has occurred in, and GM HSE Operations.</p> <p>The Downer Group CEO should be invited as an optional</p>	CEO Downer NZ

Stages	Steps	Actions	Responsibility
		<p>attendee.</p> <p>All attempts should be made to schedule this within 1 working day of the incident notification being received.</p>	
		<p>The business unit that has had the incident is required to present during the teleconference:</p> <ul style="list-style-type: none"> <li>▪ A description of the incident</li> <li>▪ The outcomes of the incident</li> <li>▪ Initial findings known that may have contributed to the incident</li> <li>▪ Initial lessons learned for the information of the business</li> </ul>	Responsible Managers
	Complete Statutory Reporting ( <i>Notification to WorkSafe NZ, Local or Regional Authority</i> )	<p>Following any <b>Notifiable Event</b>, immediate verbal and prompt written notification (using an approved form) shall be provided to the relevant authorities (i.e. WorkSafe NZ, Local and/ or Regional Authority) within required timeframes.</p> <p>If the client is undertaking reporting, confirm the client has fulfilled their reporting obligations. A copy of the client's report may also need to be obtained.</p> <p><b><i>NOTE: Discuss details with EGM Zero Harm <u>before</u> External Notification.</i></b></p>	Regional HSE Operations Managers
	Complete Incident Reporting ( <i>Capture Details</i> )	<p>All incidents shall be captured via a <a href="#">DN-ZH-FM001.2 HSE Incident Report</a> and then entered into the <b>INX InControl</b> database within 48 hours by local HSE Advisor or relevant Administrator (this generates the INX reference number). Supporting documents (e.g. photos) must be attached.</p> <p>Record all critical details, including:</p> <ul style="list-style-type: none"> <li>▪ the full names and contact details of all people involved, including third parties and eye witnesses</li> <li>▪ the exact nature of injuries, property damage or environmental harm sustained;</li> <li>▪ statements from people involved in the Incident, including third parties and eye witnesses</li> <li>▪ details of any plant or property involved in the Incident, including registration numbers of third party vehicles involved;</li> <li>▪ photographs of the incident scene.</li> </ul>	Responsible Managers
	Injury Management	<p>If an incident results in an injury, and the injured person requires any medical treatment (from a doctor, physiotherapist, dentist, or hospital, etc), then this will usually be covered under Downer's ACC Partnership</p>	Responsible Manager

Stages	Steps	Actions	Responsibility
		<p>Programme.</p> <p>Additional paperwork will be required, and the local HSE Advisor must be informed as soon as possible.</p> <p>Refer to <a href="#">DN-ZH-PR088 Workplace Injury Management</a></p>	
3 Investigate Incidents	Investigate all Incidents	<p>All Incidents (irrespective of category) shall be subject to an investigation as per <a href="#">DG-ZH-MF007.1 Incident Reporting Classification and Management</a> All Incident investigations shall:</p> <ul style="list-style-type: none"> <li>▪ be conducted by persons with the required level of knowledge and training, which may include the use of subject matter experts;</li> <li>▪ identify the factors that led to the hazard, injury, illness, incident or other system failure;</li> <li>▪ recommend appropriate corrective actions to be taken;</li> <li>▪ prompt a review of systems / processes / procedures (incl. work instructions / SWMS) where required.</li> </ul> <p>Key steps include:</p> <ul style="list-style-type: none"> <li>▪ Establishing an Investigation Team</li> <li>▪ Gathering data</li> <li>▪ Identifying contributory factors</li> <li>▪ Identifying corrective actions</li> </ul> <p>For <b>Category 1–3 Incidents (actual or potential)</b>, or as directed by Operational GM or GM HSE Operations, shall involve an individual with Incident Investigation Training e.g. ICAM, causal analysis or corrective action training.</p> <p>The investigation shall be recorded using <a href="#">DN-ZH-FM001.3 HSE Incident Investigation Report</a>, or <a href="#">DN-ZH-FM001.4 ICAM Report</a> if directed by Operational GM or Regional HSE Operations Manager.</p>	Responsible Manager
	Conduct an ICAM Investigation	<p>For <b>Category 4–6 Incidents (actual or potential)</b>, or as directed by Operational GM or GM HSE Operations, an ICAM investigation shall be conducted to establish immediate causes and root cause of the Incident. <b>See <a href="#">DN-ZH-FM001.4 ICAM Report</a>.</b></p> <p>Investigations using the ICAM methodology for <b>Category 3</b> incidents or below are instigated at the discretion of the Operational GM or Regional HSE Operations Manager.</p> <p>The ICAM / Incident Investigation methodology shall also be completed for incidents with a <b>Likelihood of “Likely” or “Almost Certain”</b> in accordance with the Risk Matrix.</p>	<p>Authorised ICAM Investigator</p> <p>Responsible Manager</p>

Stages	Steps	Actions	Responsibility
		For investigative responsibilities by incident severity, refer the <a href="#">DG-ZH-MF007.1A Annex A – Downer Zero Harm Reporting and Investigation Matrix</a>	
	Implement Corrective Actions	All corrective actions arising from Incident Investigation shall: <ul style="list-style-type: none"> <li>▪ Be monitored through the <a href="#">INX Database</a></li> <li>▪ Have a responsible owner</li> <li>▪ Be implemented within agreed timeframes</li> <li>▪ Be closed-out once completed</li> </ul>	Responsible Manager
4 Follow up and Share Learnings	Monitor, Review and close-out Corrective Actions	All Incidents and related assigned corrective actions shall be managed via the <b>INX InControl</b> database and <b>closed out within a month</b> where practicable.  Incidents unable to be closed out within this timeframe shall be monitored and monthly progress reports provided until completed.  Those matters representing the greatest safety risk are to be given priority when undertaking corrective action.  Monthly update reports shall be reviewed by GMs and EGMs for all <b>Category 4 to 6</b> incidents and corrective actions shall be reviewed for effectiveness.	Responsible Manager
	Sharing Learnings with Downer Group	For all <b>Category 4 to 6</b> incidents, section 3.3 of the TDR will be completed on a monthly basis outlining actions associated with each incident.  A copy of the ICAM will be distributed to all divisional Zero Harm leads and the Downer Group representative.	EGM Zero Harm
	Zero Harm Alerts, Bulletins and Initiatives ( <i>Sharing Learnings across Downer New Zealand</i> )	Consider the need to alert the wider Downer NZ business about an event or associated risk based on, for example: <ul style="list-style-type: none"> <li>▪ Severity of the incident,</li> <li>▪ A risk associated with an identified incident trend, and/or</li> <li>▪ Findings from an investigation.</li> </ul> Where it is determined appropriate to share the learnings, appoint a person to draft the Alert, Bulletin or Initiative.	Responsible Manager and Regional HSE Operations Manager
		Zero Harm Alerts, Bulletins and Initiatives shall be developed using the standard templates; <a href="#">DN-QA-FM005.4 HSE Alert</a> , <a href="#">DN-QA-FM005.5 HSE Bulletin</a> and <a href="#">DN-QA-FM005.6 HSE Initiative</a> respectively.	Appointed author (eg ICAM lead)

Stages	Steps	Actions	Responsibility
	Zero Harm Alerts, Bulletins and Initiatives <i>(continued)</i>	The draft Alert, Bulletin or Initiative will be given to the Responsible Manager to review and provide comment.	Appointed Author
		The reviewed Alert, Bulletin or Initiative will then be discussed with the Regional HSE Operations Manager before being submitted to the GM HSE Operations for approval.	Appointed Author
		The approved Alert, Bulletin or Initiative is then sent to the relevant Operational Executive General Manager (EGM) to authorise issue and release to the business.	GM HSE Operations
		The authorised Alert, Bulletin or Initiative is also posted on the iDowner NZ Zero Harm intranet site, taking the next number from the Register.  This triggers an automatic e-mail notification to all people subscribed to the site (ie <i>Zero Harm team and Operational Managers</i> ), and for a link to appear on the iDowner NZ homepage.	Zero Harm Analyst
		The Alert, Bulletin or Initiative must then be discussed at Toolbox meetings for all relevant teams.	Responsible Managers

# 5 Referenced Documents

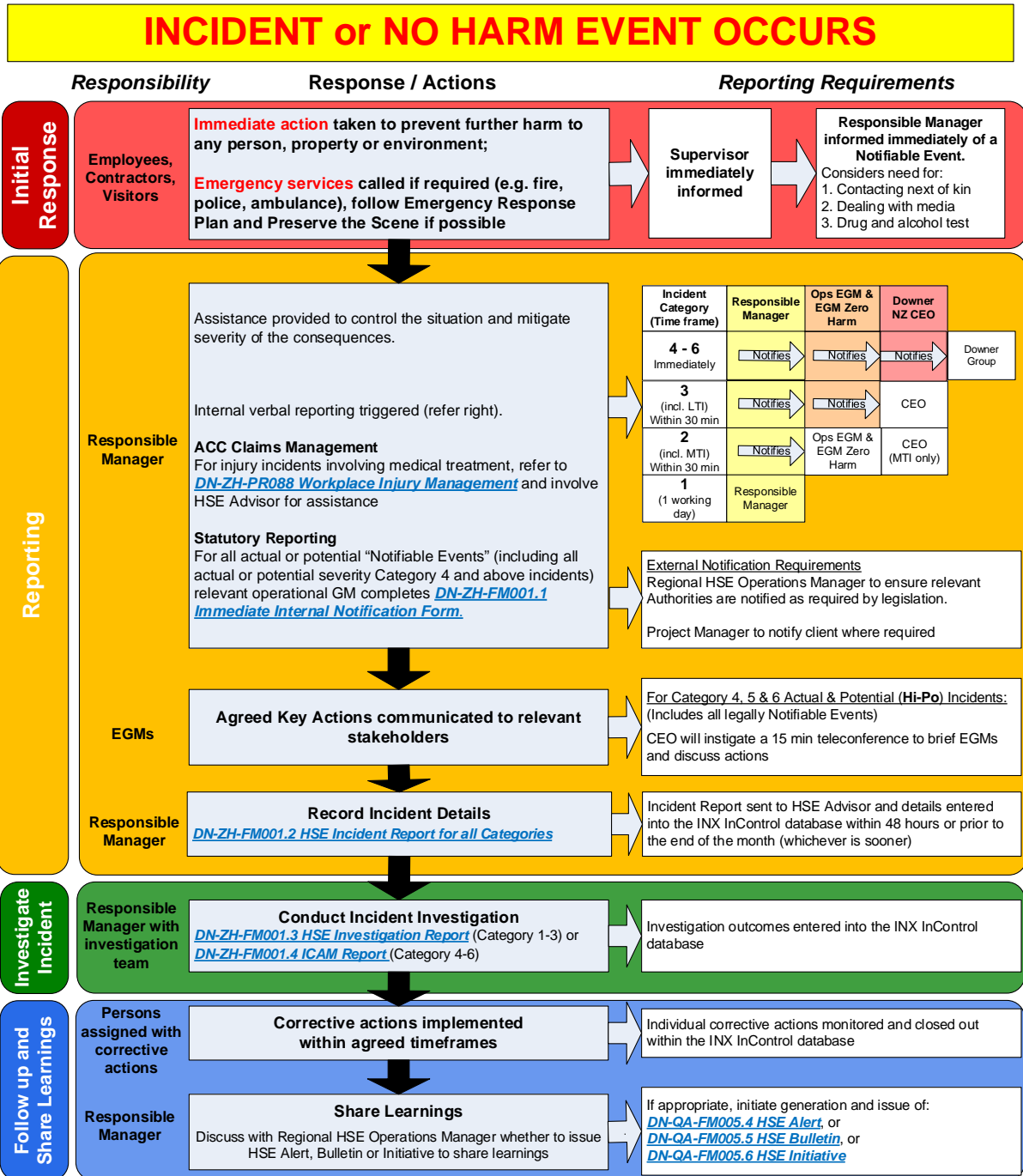
## PROCEDURES

<a href="#">DN-ZH-PR083</a>	Drug and Alcohol Procedure
<a href="#">DN-ZH-PR088</a>	Workplace Injury Management

## FORMS

<a href="#">DN-QA-FM005.4</a>	HSE Alert
<a href="#">DN-QA-FM005.5</a>	HSE Bulletin
<a href="#">DN-QA-FM005.6</a>	HSE Initiative
<a href="#">DN-ZH-FM001.1</a>	Immediate Internal Notification Form
<a href="#">DN-ZH-FM001.2</a>	HSE Incident Report
<a href="#">DN-ZH-FM001.3</a>	HSE Incident Investigation Report
<a href="#">DN-ZH-FM001.4</a>	ICAM Report
<a href="#">DG-ZH-MF007.1</a>	Downer Incident Reporting, Classification and Management
<a href="#">DG-ZH-MF007.1A</a>	Annex A – Downer Zero Harm Investigation and Reporting Matrix
<a href="#">Incident_Reporting</a>	INX In-Control database

# Annex 1 – Incident Reporting & Investigation Flowchart



## Annex 2 – Classification of Workplace Incidents Within Downer New Zealand

Severity (or potential severity) Ranking	Downer Severity (Category) Rating Level	Health and Safety	Environment and Community
<b>Extreme</b>	<b>6</b>	<ul style="list-style-type: none"> <li>Multiple fatalities or significant irreversible effects to numbers of people.</li> <li>Damage or harm with catastrophic loss that has the potential to impact Downer's Viability.</li> <li>Includes multiple Level 5 Incidents</li> <li>Loss of licence to operate.</li> </ul>	<ul style="list-style-type: none"> <li>Catastrophic, widespread impact on the Environment resulting in irreversible damage.</li> <li>Complete loss of trust by affected community leading to long term social unrest and outrage</li> </ul>
<b>Very High</b>	<b>5</b>	<ul style="list-style-type: none"> <li>Single fatality and/ or severe irreversible disability to one or more persons.</li> <li>Damage or harm with permanent loss of capability and has the potential the impact on the Divisional viability.</li> <li>Limitations to 'licence to operate.</li> </ul>	<ul style="list-style-type: none"> <li>Significant impact or serious harm on the Environment reversible.</li> <li>Prolonged community outrage.</li> </ul>
<b>High</b>	<b>4</b>	<ul style="list-style-type: none"> <li>Damage or harm with Permanent loss of function.</li> <li>Moderate irreversible disability of impairment to one or more persons.</li> <li>Lost time injury, more than 28 days lost.</li> <li>Includes Dangerous Occurrences.</li> </ul>	<ul style="list-style-type: none"> <li>Significant impact or material harm on the environment or a notifiable incident.</li> <li>Long term community irritant leading to disruptive actions and requiring continual management attention.</li> </ul>
<b>Medium</b>	<b>3</b>	<ul style="list-style-type: none"> <li>Lost Time Injury.</li> <li>Damage or harm with temporary loss of function.</li> </ul>	<ul style="list-style-type: none"> <li>Moderate impact to the environment or material harm or a notifiable incident.</li> <li>Short term community unrest and dissention.</li> </ul>
<b>Low</b>	<b>2</b>	<ul style="list-style-type: none"> <li>Medical Treatment injury.</li> <li>Damage or harm with no loss of function.</li> </ul>	<ul style="list-style-type: none"> <li>Minor impact on the Environmental.</li> <li>Community complaint</li> </ul>



Severity (or potential severity) Ranking	Downer Severity (Category) Rating Level	Health and Safety	Environment and Community
			requiring intervention and management attention.
<b>Very Low</b>	<b>1</b>	<ul style="list-style-type: none"> <li>▪ First Aid treatment required.</li> <li>▪ Insignificant disruption.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Negligible impact on the Environment.</li> <li>▪ No potential for community complaint.</li> </ul>

For detailed Injury definitions, refer [DG-ZH-MF007.1 Incident Reporting Classification and Management](#) For further information refer to [DG-ZH-MF007.1A Annex A – Downer Zero Harm Reporting and Investigation Matrix](#)

## Annex 3 – Notifiable Event Definitions

### [Health and Safety at Work Act 2015; S23 Meaning of notifiable injury or illness](#)

- (1) In this Act, unless the context otherwise requires, a **notifiable injury or illness**, in relation to a person, means—
- (a) any of the following injuries or illnesses that require the person to have immediate treatment (other than first aid):
    - i. the amputation of any part of his or her body;
    - ii. a serious head injury;
    - iii. a serious eye injury;
    - iv. a serious burn;
    - v. the separation of his or her skin from an underlying tissue (such as degloving or scalping);
    - vi. a spinal injury;
    - vii. the loss of a bodily function;
    - viii. serious lacerations;
  - (b) an injury or illness that requires, or would usually require, the person to be admitted to a hospital for immediate treatment;
  - (c) an injury or illness that requires, or would usually require, the person to have medical treatment within 48 hours of exposure to a substance;
  - (d) any serious infection (including occupational zoonoses) to which the carrying out of work is a significant contributing factor, including any infection that is attributable to carrying out work—
    - i. with micro-organisms; or
    - ii. that involves providing treatment or care to a person; or
    - iii. that involves contact with human blood or bodily substances; or
    - iv. that involves handling or contact with animals, animal hides, animal skins, animal wool or hair, animal carcasses, or animal waste products; or
    - v. that involves handling or contact with fish or marine mammals;
  - (e) any other injury or illness declared by regulations to be a notifiable injury or illness for the purposes of this section.
- (2) Despite subsection (1), **notifiable injury or illness** does not include any injury or illness declared by regulations not to be a notifiable injury or illness for the purposes of this Act.

### [Health and Safety at Work Act 2015; S24 Meaning of notifiable incident](#)

- (1) In this Act, unless the context otherwise requires, 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 or safety arising from an immediate or imminent exposure to—
- (a) an escape, a spillage, or a leakage of a substance; or
  - (b) an implosion, explosion, or fire; or
  - (c) an escape of gas or steam; or

- (d) an escape of a pressurised substance; or
  - (e) an electric shock; or
  - (f) the fall or release from a height of any plant, substance, or thing; or
  - (g) 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
  - (h) the collapse or partial collapse of a structure; or
  - (i) the collapse or failure of an excavation or any shoring supporting an excavation; or
  - (j) the inrush of water, mud, or gas in workings in an underground excavation or tunnel; or
  - (k) the interruption of the main system of ventilation in an underground excavation or tunnel; or
  - (l) a collision between 2 vessels, a vessel capsize, or the inrush of water into a vessel; or
  - (m) any other incident declared by regulations to be a notifiable incident for the purposes of this section.
- (2) Despite subsection (1), **notifiable incident** does not include an incident declared by regulations not be a notifiable incident for the purposes of this Act.

#### [Electricity Act 1992 S16 Notification of accidents](#)

- (1) This section applies to every accident that—
- (a) is caused wholly or partly by, or involves or affects, electricity, or involves or affects the generation, conversion, transformation, conveyance, or use of electricity; and
  - (b) results in—
    - (i) [*Notifiable injury or illness*] to any person; or
    - (ii) damage to any place or part of a place that renders that place or that part of that place unusable for any purpose for which it was used or designed to be used before that accident.

#### [Gas Act 1992 S17 Notification of accidents](#)

- (1) This section applies to every accident—
- (a) that involves the production, conversion, supply, distribution, or use of gas; and
  - (b) that results in—
    - (i) [*Notifiable injury or illness*] to any person; or
    - (ii) Significant property damage.

# Non Conformance and Opportunity for Improvement Form

<b>1. PROJECT NAME:</b>		NCR <input type="checkbox"/> OFI <input type="checkbox"/> No. (from Project Register):	
Project No:		Issued To:	
Location(s):		Originator:	
<b>2. Sector</b> Zero Harm - Safety <input type="checkbox"/> Quality <input type="checkbox"/> Environmental <input type="checkbox"/>		<b>Plant / Vehicle-</b> Type _____ Plant No. _____ Registration _____	
Maintenance - Construction <input type="checkbox"/> Pavement <input type="checkbox"/>		<b>Owner</b> <input type="checkbox"/> Downer <input type="checkbox"/> Hire <input type="checkbox"/> Sub Contractor <input type="checkbox"/>	
Surfacing - Asphalt <input type="checkbox"/> Chip seal <input type="checkbox"/>		<b>Civil Projects</b> - Utilities New <input type="checkbox"/> Utilities Existing <input type="checkbox"/> Structures <input type="checkbox"/> Roading <input type="checkbox"/>	
OSM Mowing <input type="checkbox"/> Horticulture <input type="checkbox"/> Playground <input type="checkbox"/> Cleaning <input type="checkbox"/> Building Maintenance <input type="checkbox"/>		<b>TELCO</b> <input type="checkbox"/> <b>FM</b> <input type="checkbox"/> <b>Rail</b> <input type="checkbox"/>	
		<b>Traffic Services</b> Road Marking <input type="checkbox"/> Traffic Management <input type="checkbox"/> Sign Maintenance <input type="checkbox"/> Lighting <input type="checkbox"/>	
<b>3. Scope</b> Damage <input type="checkbox"/> Rework <input type="checkbox"/> Waste <input type="checkbox"/> Customer Complaint <input type="checkbox"/> Legal <input type="checkbox"/>			
<b>Audit</b> <input type="checkbox"/> Downer (Internal) <input type="checkbox"/> Client (External) <input type="checkbox"/> Subcontractor <input type="checkbox"/> Supplier/ Manufacturer <input type="checkbox"/> Audit Report No. _____			
<b>4. Category of Situation or Opportunity</b> Observation <input type="checkbox"/> Improvement opportunity <input type="checkbox"/> Non-Conformance <input type="checkbox"/> Preventive <input type="checkbox"/> Other <input type="checkbox"/>			
<b>5. Risk Rating</b> Major <input type="checkbox"/> Minor <input type="checkbox"/>		<b>Remedial Cost</b> (Estimates Only): \$ _____	
<b>Root Cause Analysis</b> required <input type="checkbox"/> <i>reverse side of form</i>		<b>Remedial Cost Category</b> <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <b>Refer</b>	
<b>6. Description of Situation or Opportunity</b> [To be completed by the originator]		<b>Time</b>	<b>Date</b>
<b>7. Action Taken to Correct Situation</b>			
<b>8. People Notified</b> Downer Manager _____ Time _____ Date _____			
Regulatory Authorities Required Yes <input type="checkbox"/> No <input type="checkbox"/> Department _____		Officer Contacted _____	
Time _____	Date _____	Contacted By _____	Phone / Fax / Letter No. _____
<b>9. Reason For Occurrence</b> Lack of Training <input type="checkbox"/> Technical Failure <input type="checkbox"/> Responsibility not Allocated <input type="checkbox"/> No Procedure <input type="checkbox"/>			
Procedure not followed <input type="checkbox"/> Inadequate Monitoring <input type="checkbox"/> Communication <input type="checkbox"/> Equipment Failure <input type="checkbox"/> Material Failure <input type="checkbox"/>			
Test equipment out of calibration <input type="checkbox"/> No Document Control -Use of wrong revision Drawing <input type="checkbox"/>			
<b>10. Documentation relevant to Situation or Opportunity</b> Client Conditions of Contract <input type="checkbox"/> Specification <input type="checkbox"/> AS/NZS Standard <input type="checkbox"/> National Standard <input type="checkbox"/> Drawing <input type="checkbox"/> Code of practice <input type="checkbox"/>			
Document Title _____		Document Number _____	
Clause / Page _____		Revision _____	
<b>11. Corrective / Preventive Action(s)</b> (Short and Long Term) [To be completed by the responsible person]			
	By Who	By When	Date Closed
<b>12. Verification Action (s)</b> (To check effectiveness of the actions above)[To be completed by the responsible person]			
	By Who	By When	Date Closed

<b>13. Client Acceptance</b> Approved: Yes: <input type="checkbox"/> No: <input type="checkbox"/> Not Applicable <input type="checkbox"/>		
Client Representative: Accepted:	Position Title: Signature:	Date
<b>14. Close Out</b> Corrective, Preventive, Verifications Addressed <input type="checkbox"/> NCR /OFI Not Accepted <input type="checkbox"/>		
Name: _____ Date _____	Reason for not closing out NCR /OFI and action	
Signed: _____ (Responsible Person)		
Remedial Cost (actual): \$ _____		
<b>15. DISTRIBUTION</b> Responsible Person <input type="checkbox"/> Originator <input type="checkbox"/> Project File <input type="checkbox"/> Client (If applicable) <input type="checkbox"/> HSE Administrator (Q-Pulse) <input type="checkbox"/>		

**NCR/OFI Guidance**

**Major Non-Conformance**

Priority / Risk Example	Response Time / Report Type	Rework Remedial Cost Categories			
		Cat	\$ value	Report Type	Authorisation and Investigation
<p><b>1</b></p> <ul style="list-style-type: none"> <li>Total breakdown of system, control, or procedure</li> <li>Absence of an ISO 9001 requirement</li> <li>Cause Client consideration of significant control penalties including contract cancellation or non-renewal</li> <li>Cause a failure effecting significant system safety or capability</li> </ul>	<p>Maximum Five Business Days</p> <p>DN-QA-FM006.2 NCR/OFI</p>	4	>50,000	DN-QA-FM006.2 NCR/OFI  ICAM	<p>Prepared by EGM (or delegate) and the report signed off as reviewed by CEO</p> <p>Copy issued to local Zero Harm administrator to enter into Q-Pulse</p> <p>In addition for all Category 4 quality issues a Root Cause Quality Investigation will need to be completed</p>
		<p><b>2</b></p> <ul style="list-style-type: none"> <li>The absence or total breakdown of the system/ process to meet an ISO9001,ISO14001,AS4801 or other requirement</li> <li>A number of minor non-conformances against one ISO9001,ISO14001, AS4801</li> </ul> <p>Any nonconformity that would result in probable shipment of nonconformity or un-inspected product</p> <ul style="list-style-type: none"> <li>A condition that may result in the failure or materially reduce the usability of product for intended purpose</li> <li>A nonconformity that experience and judgment indicate will likely result in QMS failure or materially reduce its ability to assure controlled processes and products</li> </ul>	<p>Maximum Ten Business Days</p> <p>DN-QA-FM006.2 NCR/OFI</p>	3	>10,000 but < 50,000
2	<10,000			DN-QA-FM006.2 NCR/OFI	<p>Prepared by Site Project Manager and the report signed off as reviewed by their Manager.</p> <p>Copy issued to local Zero Harm administrator to enter into Q-Pulse</p>
<p><b>Examples:</b></p> <ul style="list-style-type: none"> <li>No documented procedure for any required element of the standard</li> <li>Document changes routinely carried out in an unauthorised manner</li> <li>Critical purchases made from unevaluated suppliers</li> <li>Product shipped without required inspection and tests</li> </ul>					

### Minor Non-Conformance

Priority / Risk Example	Response Time / Report Type	Rework Remedial Cost Categories			
		Cat	\$ value	Report Type	Authorisation and Investigation
<ul style="list-style-type: none"> <li>Failure to conform to a requirement which (based on judgment and experience) is not likely to result in QMS failure</li> <li>A single observed laps or isolated incident</li> <li>Minimal risk of nonconforming product or service</li> </ul>	Maximum 15 Business Days ST05A Event Report	1	< 1000	ST05A Event Report	Event report raised and approved by Supervisor / Manager.  Copy issued to local Zero Harm administrator to enter into Q-Pulse
		<b>Examples:</b> <ul style="list-style-type: none"> <li>A drawing marked up with unauthorized changes</li> <li>A purchase order released without review and approval</li> <li>An inspection instrument past its calibration date</li> <li>A training record not available</li> </ul>			